

Equity in retirement for disabled state employees

UPDATE ON SENATE BILLS 1168 and 1368 FROM JAN LO VECCHIO

Today, May 4, the preplanning session of the Rules Committee will meet this morning to determine which bills will be held by the Rules Committee in the afternoon. This is the first opportunity for SB 1168 to be heard.

Calls to the following people requesting that SB 1168 be scheduled to be heard and passed by the Rules Committee are still important.

Representative Aldridge - Co Rules Chair (Email daldridge@azleg.state.az.us)

Representative Voss - Vice Rules Chair (Email rvoss@azleg.state.az.us)
Speaker of the House Groscost (Email jgroscost@azleg.state.az.us)

CALL 800-352-8404 OR FAX 602-542-4511

I met with Minority Whip Herschella Horton and Representative Pickens over the weekend. The sponsoring Representatives will continue to meet with Representative Weiers and ask him to schedule SB 1168 for a hearing by the Rules Committee.

TIME IS OF THE ESSENCE SINCE THIS MAY BE THE LAST WEEK OF THE LEGISLATIVE SESSION. SB 1168 CAN EASILY BE HEARD BY THE RULES COMMITTEE AND VOTED ON THE FLOOR WITHIN THE SAME DAY. CALLS, ETC. WILL MAKE A DIFFERENCE IN GETTING THIS BILL THROUGH!

I also asked Representative Horton regarding the status of SB 1368, the bill regarding payment of sick leave to retired employees. She said that SB 1368 has been passed by the Appropriations Committee with limits of accrued sick leave and should be passed by the House of Representatives.

SB 1368

Sick Leave Bill

GENERAL FACULTY ACHIEVEMENTS

1997-98

1. CONTINUATION of the best traditions of *Senate* governance (Jeffrey Warburton, presiding)
2. Increasingly Effective STATE RELATIONS
 - The Arizona Faculties Council (AFC)
 - The State University System "Workload" Study for the Arizona Board of Regents (ABOR)
 - The New Salary Package ("Death of TIP"), with the remaining UPBP problem, emerging from the Legislative Study Committee on Faculty Roles and Rewards ("Burns/Bowers")
 - More direct involvement of faculty in state-level contacts, including new Senior Faculty Associate to the President for State Relations
3. Major Advances in SHARED GOVERNANCE
 - Passing the Shared Governance Guidelines
 - Setting up SGRC (Recently expanded and now reviewing college-level Shared Gov.)
 - The new Plan for *Extending* Shared Gov. (relates to new President's Advisory Council)
 - The ongoing work of the Committee on Constitution, Bylaw, and UHAP Revisions, *a major project that will culminate in '98-99*

- Greater faculty interaction with the Library, including Committee on Intellectual Property, which will help feed into '98-99 study of this vital issue by the RPC and the Senate itself
 - The Chair's Task Force on Faculty Salaries
 - Univ. Committee on Corporate Relationships
 - Work by the '97-98 Gen. Faculty Committees: C-11, CoC, IWC, UCEC, CAFT, Membership, Elections, ICAC, and SPBAC (with its report, ("The University of Arizona: 2000 & Beyond"))
4. The Building of Greater COMMUNITY at the UA
- Greater faculty connection to Arizona Alumni
 - The stepped-up voice of Students and Staff
 - Upcoming Task Force on Appointed Personnel
 - The *welcoming* of AIC to main campus (with help from the Senate's AIC Task Force)
 - The upcoming North Central Accreditation (NCA) Review, which will take the SPBAC report as its point of departure
 - The main challenge we face: using and/or revising the systems we *now* have (even in the Annual Performance Review) to ensure that every UA contributor feels properly *valued*, esp. when overworked and underpaid
5. Award for Extraordinary Service to the Faculty

THE UNIVERSITY OF ARIZONA®
ACADEMIC PERSONNEL POLICY COMMITTEE

A Standing Committee of the Faculty Senate

ANNUAL REPORT 1997-98

Committee Members:

Dr. Larry Aleamoni, Special Education & Rehabilitation
Dr. Anne E. (Betty) Atwater, Co-Chair, Physiology
Ms. Laura Casper, ASUA
Dr. Dennis Larson, Agricultural & Biosystems Engineering
Dr. Mitchel McClaran, Renewable Natural Resources
Dr. Gerald Monsman, English
Dr. Richard Poss, Humanities Program
Mr. Andrew Silverman, College of Law
Mr. Timothy Troy, Co-Chair, Center for Creative Photography

ACTIVITIES:

The Academic Personnel Policy Committee met on the average of twice per month throughout the 1997-98 academic year and studied a number of issues with relevance to academic personnel at the University of Arizona. The topics examined are abstracted below with results to date. A number of the items before APPC are still in process as we close out the year and will presumably be revisited by the Committee and the Senate in the fall of 1998.

EMERITUS STATUS: Draft language for changes to UHAP relative to emeritus status came forward to APPC early in the academic year. Resolution to conflicting language occupied the committee for a number of months. Apparently Faculty Senate wording for changes to UHAP (passed by the Senate in October 1996) contradicted ABOR language and intent. New language, reviewed by President Likins and APPC was finally presented to the Faculty Senate at its April, 1998 meeting.

EXTENDING SHARED GOVERNANCE: The "Guidelines for Shared Governance" passed by the Faculty Senate in September 1997 included a section calling for the appointment of a Task Force to extend participation in shared governance to professional personnel, staff, and students. The Task Force was subsequently formed, and its report came forward to APPC which reviewed the document and recommended several changes and reformatting. The final report, approved by the Task Force and by the Shared Governance Review Committee, was presented to the Faculty Senate at its April 1998 meeting.

PROMOTION AND TENURE GUIDELINES: APPC received a revised draft of the Provost's annual letter and guidelines for preparation of both the promotion and tenure and promotion and

continuing status dossiers. Of particular note was the inclusion of new language relating to the relevance of electronic publications in the promotion and tenure and promotion and continuing status processes. The Provost's letter and P&T Guidelines were brought before the Faculty Senate as informational items by APPC at the Senate's March 2, 1998 meeting.

PROMOTION & TENURE STATISTICS: APPC reviewed P & T statistics for academic year 1996/97 forwarded by the Provost's Office. No discernible changes were noted in the overall pattern of the P & T process and outcomes. The statistics were brought forward to the full Faculty Senate at its January 26th meeting.

SEXUAL HARASSMENT POLICY: The committee was presented a draft of a newly revised sexual harassment policy early in the fall of 1997. The new draft came forward from Janie Nuñez, Vice President for Affirmative Action. APPC presented the document to the Faculty Senate for discussion at its October 6th meeting. Ms Nuñez spoke to the Senate at that time as did a number of other resource people including Elizabeth Buchanan from the University Attorneys' Office. Comments collected during and after the Senate meeting were forwarded to Nuñez. Subsequently, there have been a number of delays on a final draft coming back to APPC from the Affirmative Action Office. The latest edition of the policy is evidently being reviewed by the UA Attorneys' Office. It is hoped that a final draft will be forthcoming soon and that it can be presented to the full Senate at its May 4, 1998 meeting.

UNIVERSITY ENHANCED REVIEW BOARD (UERB): APPC reviewed a proposal from the Academic Review Coordinating Team that described a process for forming the UERB. UERB will be one of the three options that a faculty member may select to perform an enhanced review if the faculty member receives an overall unsatisfactory rating in an annual performance review. With revisions the proposal was presented to the full Senate for passage at its March 2nd meeting.

WHISTLEBLOWING: The Committee was asked to track proposed state legislation (HB 2182) which would affect "whistleblowing" (e.g. the reporting of mismanagement, etc.) and possible retaliation against all UA employees, including faculty and staff. APPC developed an information packet for Faculty Senators containing definitions, summaries of current UHAP procedures, and summaries of applicable Arizona statutes and Arizona Personnel Board policy. APPC discussed the topic with a number of individuals including Dr. Carol Bernstein, members from both the Committee on Academic Freedom and Tenure and the Committee on Conciliation, Arizona State Personnel Board staff, and UA attorneys. The information packet was sent to the Senators, and a discussion was held during the February 9th Faculty Senate meeting. APPC continues to monitor the proposed state legislation, but its role in the process is simply to gather information for the Senate.

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**University of Arizona
Faculty Senate**

**Instruction and Curriculum Policy Committee
1996-1997 Annual Report**

Committee Members: Roger Dahlgran, Chair, Peter Foley, Jeffrey Goldberg, Wanda Howell, Tsianina Lomawaima, Donald Myers, Richard Reeves, Kim Montanaro.

The members of ICPC were kept very busy as they also sat on Undergraduate Council which met the first Tuesday of each month in the Fall semester and the third Tuesday of each month in the spring semester. Each member of ICPC also served on one of the three standing subcommittees of the Undergraduate Council. The subcommittees met on the third Tuesday of the month during Fall semester and the first Tuesday of the month during the spring semester.

ICPC held meetings of 60-75 minutes, on September 2, October 7, November 4, November 18, December 9, February 17, March 24, and April 21. The business considered by ICPC comes from several sources. Undergraduate Council, Graduate Council and the Faculty Senate Executive Committee all generate items for consideration by ICPC. Before reaching ICPC these initiatives are reviewed by the Provost's office. After ICPC consideration, these initiatives are presented for consideration by the Faculty Senate.

Programmatic Considerations: New Programs, Consolidations, Deletions

Considered 9/2/97

1. Reorganization into the College of Architecture of programs in Planning and Landscape Architecture.
2. Deletion of major in history for the M.Ed. degree.
3. Deletion of major in foundations of education for the MA and Ph.D. degrees.
4. Deletion of the dietetics major for the MS degree.
5. Consolidation of the graduate majors in music:
 - a. Consolidation of majors in composition, performance, music theory, musicology, and music education into a MM with a major in music.
 - b. Consolidation of majors in composition, conducting, and performance into a DMA with a major in music
 - c. Consolidation of majors in music theory and music education into a Ph.D. with a major in music
6. Establishment of a minor in statistics for the Ph.D.

Considered 11/18/97

1. Delete the major in Portuguese
2. Continue the Physical Education major in the College of Education.
3. Establishment of a dual Ph.D. program in Biochemistry/Molecular and Cellular Biology.
4. Change of program name from the Program of Education Administration to the Program of Educational Leadership

5. Department name change from Department of Special Education and Rehabilitation to Department of Special Education, Rehabilitation and School Psychology
6. Degree name changes: BS in Geosciences to BS, BS in Speech and Hearing Sciences to BS.

Considered 2/17/98

1. Change name of African Studies Program to Africana Studies
2. Merge graduate programs in Mining Engineering and Geological and Geophysical Engineering
3. Name change from Department of Hydrology and Water Resources to Department of Hydrology and Environmental Resources

Considered 4/21/98

1. MS in Mexican American Studies offered by the Mexican American Studies Research Center
2. Master of Engineering Degree with collaboration among UA, ASU and NAU

Policy Items Considered and Passed to the Faculty Senate:

November 4, 1997

1. Approval of a joint Ph.D. program involving both the U of A and ASU in the Theory and History of Art.
2. Modification of grading policy to accommodate a student's complete withdrawal from the university. This proposal created two new grade designations, W/P and W/F one of which must be awarded in each course attempted by the withdrawing student. These grades respectively indicate passing at the time of withdrawal and failing at the time of withdrawal. Final grading sheets will show only W/P or W/F as the available grades for withdrawn students. The grades are recorded permanently on the transcript but are not included in the computation of the student's cumulative grade point average.
3. Modification of Faculty Senate calendar guidelines so that the 2001-2002 academic year calendar could be finalized. The Faculty Senate requirement that "The last day of finals shall be the last Friday in December falling on or before December 21." was modified to read, "The last day of finals shall be the last Friday in December falling on or before December 20." This change accommodated the proposed 2001-2002 calendar and will prevent this conflict from reoccurring.

December 9, 1998

Change of policy which requires the award of an E to any student administratively dropped after the 4th week to a policy which allows faculty to award either a W or an E for administrative drops between the beginning of the 5th week and the end of the 8th week.

March 24, 1998

1. Policy change related to grade replacement opportunities in honors courses so that Honors courses can only have the Grade Replacement Opportunity with the same honors course. Petitioning for a variation in this policy is not available. Policy to go into effect Fall Semester of 1998.

2. Request by Physics, Chemistry and Mathematics Departments for exceptions to minor requirements.

Business Ready for Placement on the 1998-99 Faculty Senate Agenda:

Academic Calendar Initiative: In an effort to resolve the problem of perpetual Saturday commencement, the Calendar Committee considered several suggestions put forth by ICPC and has proposed a calendar wherein classes end on Tuesdays for fall and spring semesters instead of the currently scheduled Wednesday. Exceptions occur when Veterans' Day falls on a Monday, Wednesday or Friday in the fall semester. Classes end on Wednesday of these fall semesters. This shortens the fall semester by allowing 44 MWF teaching days instead of the currently scheduled 45 and results in four Friday graduations by the year 2011. Spring semester modifications result in 44 MWF teaching days each year instead of the currently scheduled 45. This initiative passed ICPC at its April 21st meeting and is ready for consideration by the Faculty Senate.

Business for Next Year's Agenda:

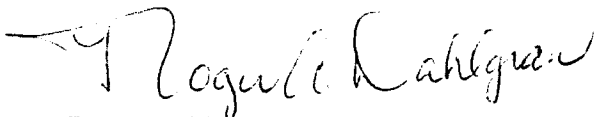
Upper Division Writing Program Examination: Undergraduate Council was confronted with two competing initiatives, elimination of the UDWPE because of its many problems, or implementing the recommendations of the Task Force on the Undergraduate Writing Experience (4/23/96). The choice is further complicated by the desire to integrate writing into the general education structure.

Recommendations:

Initiatives brought before Undergraduate Council, Graduate Council, or the Curriculum Office should have routing sheets attached at the outset. These sheets should indicate agreement as to where the initiative should be sent and the steps that must be taken in order to obtain ultimate approval. This will allow the initiator to determine where the process will lead and will make deadlines apparent to all. Approval dates, comments and revisions should be noted on the routing sheet. This system will create a more orderly flow of business coming before ICPC and will reduce the likelihood that initiatives will be overlooked.

It has been a busy year with a lot of details needing attention. However, I consider it an honor to have been asked to serve on ICPC and doubly an honor to serve as its chair. The members of the committee have been conscientious and extremely helpful in the conduct of our business. I thank them and I thank the Faculty Senate.

Respectfully submitted,



Roger Dahlgran

Faculty Senate

Research Policy Committee Annual Report, 1997-8

Committee Members

Laura Casper, student rep
Stephen Coons, Pharmacy Prac
Julie Ericksen, Nursing
Charles Hurt, Info Resources

James Clarke, Poli-Sci
Sue DeNise, Animal Sci
Raphael Gruener, Chairman; Physiology
Gordon Tollin, Biochemistry

The Research Policy Committee (RPC) concentrated its efforts on re-examining the Conflict of Interest & Commitment Policy (CICP) which was last sent to the Senate for discussion in May, 1996. The policy, which is currently the University's *interim* policy, has been subjected to numerous changes and revisions. The Committee's recommendations for changes are based on and are consistent with the recent Shared Governance document, the spirit of full disclosure and the principle of presumption of innocence. The CICP was presented to senators at the 4/6/98 meeting for comments and discussion at the 4/27/98 meeting. Revisions to the policy, by the RPC, have also been discussed with the Vice President for Research and the University Attorneys Office for compliance with State and Federal statutes. Following discussion of the suggested revisions (at the 4/27/98 meeting), the RPC recommends adoption of the policy.

The RPC will soon begin its re-evaluation of the Intellectual Property policy which is currently undergoing extensive revisions by the Office of Technology Transfer Advisory Committee. The RPC plans to bring these developments to the Faculty Senate for information early in the Fall of 1998.

In addition, the Chair of the RPC has participated on behalf of the Committee--as an *ex-officio* member-- in the deliberations of the Executive Committee of the Science and Technology Park of the UA and in the deliberations of the Advisory Committee to the Office of Technology Transfer Office. The RPC Chair will report to the Faculty Senate about these meetings in the Fall of 1998. In the meantime, the Chair urges faculty senators to become acquainted with the ABOR's Intellectual Property interim policy (posted on the web at the following address:

<http://vpr2.admin.arizona.edu/ott/IPOLDGP.HTM>) this will facilitate the senate's discussion of this policy in the Fall of 1998. Senators are urged to send their comments to the RPC chair at **rgruener@u.arizona.edu** for discussion by the RPC.

The following members of the RPC have agreed to serve an additional term (one year): Drs. Coons, DeNise, Gruener, Hurt and Tolin. This will provide continuity and therefore increased efficiency in the activities of the Committee.

1997 – 1998 Annual Report to Faculty Senate

from the

Student Affairs Policy Committee

Members

Terry Badger, Nursing
Laura Casper, ASUA
Robert Dvorak, Architecture
Robert Gore, Physiology
Alexis Hernandez, Office of Dean of Students
Mary McCaslin, Educational Psychology
Kim Montanaro, ASUA
Mikelle Omari, Art
Steven Smith, Plant Science
Donald Davis, Hydrology and Water Resources, Chair

Activities

SAPC first addressed issues brought up by the University Committee on Academic Integrity and referred to SAPC by the Provost. Two questions were posed:

- 1) Why are the policies and procedures related to academic integrity in Law and Medicine different from the rest of the campus?
- 2) Are the Law and Medicine procedures adequate?

Law and Medicine handle integrity violations with honor codes, the details of which reflect the experience of their professions. Their procedures are adequate in that all students accused of integrity violations at the University of Arizona have an initial hearing and appeal opportunity in the basic unit, and may further appeal to the University Hearing Board. These two colleges have agreed in principle to add to their codes the first five sections and the section on "Appeal to University Hearing Board" contained in the UA Code of Academic Integrity. This will make it quite clear that all procedures to handle integrity violations on the UA campus are closely aligned and meet the requirements of ABOR Policy 5-403.A.4 and are permissible supplements to the student Code of Conduct, ABOR Policy 5-308.D.1.

SAPC has forwarded to the Senate a seconded motion indicating Faculty Senate endorsement of the ASUA Senate's request for information about a graduating student's major to be included on the diploma.

SAPC was also charged with looking at student recruitment. The committee immediately added retention as the two are closely related. The committee heard from the Office of Undergraduate Education and others on these topics. Recruitment and retention are difficult tasks and the University devotes a considerable amount of resources to these tasks. Attached is a necessarily cursory review and initial recommendations by this committee. The committee's examination of recruitment and retention was aided by the 1997-1998 Marketing Plan developed by the Office of Admissions and New Student Enrollment, the Honors Center Annual Report, the first draft of the Student Retention White Paper from the Office of Undergraduate Education, and special statistical analyses developed for the committee by the Office of Student Research. SAPC recommends the Faculty Senate continue its interest and enquiry into recruitment and retention on this campus and continue to be part of the dialog the Office of Undergraduate Education is having on these topics with many university groups.

Recruitment and Retention

To graduate a lot of students with a distinguished education many capable students must be recruited, admitted, enrolled, and retained.

Recruitment is a very necessary, but exacting, competitive, resource intensive activity that must be well done if a university is to have students who can stay the course of a distinguished education. There are many signs the University of Arizona is having a difficult time in this competition: ASU is out recruiting UA in many areas, and the University of North Carolina recently recruited our former Assistant Vice President for Enrollment Services; he is now Vice Provost for Enrollment Services at UNC. UA does have an aggressive and responsible recruiting program. To succeed at UA a student must be well prepared academically, financially, socially, have good study habits, and be motivated. Our Office of Admissions and New Student Enrollment gets the message out. The message contains information about the UA and its superior education opportunities and about the level of preparation needed for success at UA. They and faculty visit high schools around the state, bring high school students to campus for visits and orientation, and coordinate personal communication between potential students and UA staff and faculty. In many cases contact starts in the 7th grade to motivate students to start preparing for the University as early as possible and necessary. After a student is enrolled at UA there are many programs and activities sponsored by departments, colleges, the Office of Undergraduate Education, and others, to keep these students academically, financially, and socially capable of continuing and finishing their education.

In UA's recruitment and retention efforts faculty play a large role. Personal contact with prospective students at all stages of the recruitment and message delivery process is one strategy UA uses to make up for lack of resources in competing with ASU for capable students. Indications are that more faculty participation is needed in recruiting, mentoring and other activities that help obtain and retain students. These activities are labor intensive; time spent by faculty on these activities takes time away from other activities. Many faculty believe that recruiting, advising, and mentoring activities are neither recognized nor rewarded at UA. Teaching and research are not rewarded per se; it is effective teaching and effective research that is rewarded. There is a need to take a close look at the faculty role in retention and recruiting. Faculty should be used effectively and efficiently. In the Student Retention White Paper many retention programs and efforts are evaluated. The Student Affairs Policy Committee hopes to examine the faculty role in recruitment and retention next year.

Efforts throughout UA are slowly raising the retention rate and the downward trend in recruitment was reversed last year. Despite these efforts, the retention of students at UA, as measured by graduation rate, ranks ninth among the PAC-10 universities. Some PAC-10 universities whose entering freshman average SAT scores are equal to or lower than UA's have a higher graduation rate. A natural question is "why?". A related question is whether it is desirable to use graduation rate alone as a measure of a university's success or whether it should be part of a larger picture. Graduation rates are positively correlated with academic preparation as measured by high school grade average or SAT score. By limiting enrollment to honors students graduation rates could be raised dramatically; such action would be neither feasible nor desirable. The low, but increasing graduation rate among minority students indicates success as well as a need for continuing progress. Completion of a distinguished education by an individual from a group that is poorly prepared by statistical measure is a success. The students that did not graduate might also be rated a success based on the education they did achieve. Some states such as California and Oregon have university systems that direct the less prepared students to non PAC-10 colleges. In Arizona those students have the opportunity to receive a distinguished education at a top research university. One price of providing that opportunity is seen in the retention statistics.

Still a valid concern is why ninth placed UA's retention rate is at least 4.5% lower than eighth placed University of Oregon considering that the UO entering freshmen have the same average SAT score as UA entering freshmen. Although the correlation of SAT scores with graduation rates is statistically significant the correlation coefficient is considerably less than one. Many other factors such as the student's financial condition and integration into the social fabric of the university affect retention. The study of retention more often focuses on factors relating to the student rather than on factors relating to the institution. Although it is difficult to quantify many institutional factors UA would do well to look at other similar universities to determine if some institutional aspects of UA could be changed in a manner that would increase graduation rates.

A quick look at the University of Oregon shows some differences. UA has more than four times as many minority students as UO. Does that explain the difference? No: Among the majority and minority students at UA the Asian American students have the highest graduation rate, and that rate is below the graduation rate for all UO students combined. The state of Oregon has seven institutions of higher learning, a majority of which are four year colleges. Does the Oregon system of higher education, universities through community colleges, allow for more student self sorting than in Arizona? Different levels of resources are available in the different states. The state of Arizona provides less than the average level of state support for higher education by any of several measures. Tuition at UO is 50% higher than tuition at UA. Does the higher tuition provide more resources to help retain students; does the high level of tuition deter some less motivated students from enrolling at UO? There are many institutional factors that should be examined. Care should be taken that the examination is not facile; e.g., while the level of state support to UA has fallen in recent years the graduation rate has shown a slight increase.

The second draft of the Student Retention White Paper is to be available shortly from the Office of Undergraduate Education. SAPC recommends copies be forwarded to all faculty senators and that the Faculty Senate continue to be an active part of the UA dialog on recruitment and retention.

MEMORANDUM

TO: Professor Jerrold Hogle, Chair of the Faculty

FROM: Christopher P. Puto, Chair of the Committee on the Constitution & By-Laws

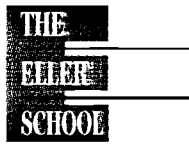
SUBJ: Committee Status Report – Academic Year 1997-98

DATE: April 20, 1998

The Committee is comprised of Professors Elizabeth Ervin, Rose Gerber, Donald Myers, Robert Sankey, Andrew Silverman, and myself. We have convened regularly throughout the Spring semester, and the following report provides an overview of our current status.

The Committee's charge and objectives are as follows:

1. Determine the areas/points of non-compatibility of the Faculty Constitution, (and ByLaws) UHAP, ABOR and the Shared Governance document, and make recommendations for changes to bring the Faculty Constitution, UHAP, and Shared Governance document into compatibility with each other and with ABOR.
2. Consider changes in the Faculty Constitution and ByLaws to deal with problems identified by CAFT, the Committee on Conciliation and other concerned Senate Committees with recommendations to the Faculty Senate as appropriate.
3. Review roles, duties, and responsibilities of Faculty Officers and recommend changes or additions as deemed appropriate.
4. Propose a protocol for UHAP revisions.
5. Review existing definitions of faculty from ABOR, the Faculty Constitution and UHAP to identify inconsistencies and to propose revisions where those inconsistencies are problematic.

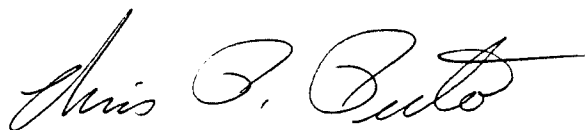


Our goal is to provide you and the Faculty Senate with a set of recommendations for suggested changes in these documents and procedures by early Fall, 1998, so that the senate can take action as necessary during Academic Year 1998-99. To that end, we have reviewed all of the documents you provided which reflect concerns raised by various Faculty Senate Task Forces and Committees prior to this one being formed. We have met with Professor Mary Wetzel, who provided additional information regarding issues affecting CAFT and the Committee on Conciliation. We have undertaken a review of all resolutions passed by the Senate since 1990 to determine what, if any, actions have been initiated to implement them. This master list is being reviewed with the goal of tracing each resolution to a corresponding policy action somewhere in the system, e.g., UHAP.

We have reviewed the Faculty Governance structures at ASU and NAU, especially with regard to the duties and responsibilities of Faculty Officers in the light of the new shared governance environment. We are preparing a set of recommendations regarding changes in the University of Arizona Faculty Officer structure, along with supporting documentation and rationale.

We have examined the procedures for updating and revising UHAP and found several places where discrepancies can occur between policy changes and actual implementations. We are identifying all sections of UHAP which pertain specifically to faculty activities, and we will put forth a specific set of recommendations for coordinating and executing all approved changes.

Finally, we are reviewing the Constitution and ByLaws to identify those elements, such as standing committees, which may no longer be necessary and other committees which may have become necessary but which have not been formalized. We will also review the appropriate procedures for determining committee size and representation, e.g., CAFT selection requirements.

A handwritten signature in cursive script, reading "Chris P. Buto". The signature is written in dark ink on a white background.

SENATE GENERAL EDUCATION OVERSIGHT COMMITTEE

20 April 1998

The committee met twice during the Fall semester to consider items relevant to implementation of the University's new General Education Program. Members included Wanda Howell, Keith McElroy, Peter Medine, Susan Steele (*ex officio*), Homer Pettey, and Richard Reeves (chair), three of whom also serve on the University-Wide General Education Committee.

The committee discussed issues related to the new curriculum, approval of specific course, and sufficiency of projected capacities of currently approved courses and existing classrooms to meet anticipated enrollment demands for Fall 1998. By consensus, the committee viewed its immediate involvement in these issues as premature-- in that the University-Wide General Education Committee and the office of the Vice president for Undergraduate Education are actively preparing for the Fall semester-- and perhaps eventually redundant-- in that various other faculty committees (including the University-Wide General Education Committee, Undergraduate Council, and the Senate's Instruction and Curriculum Policy Committee) have charges and functions relevant to curricular aspects of the program.

Concerns were expressed about incentives and rewards for individuals and departments participating in the new program and potential reallocation of University resources to units adversely effected, but meaningful consideration of these issues suffered from the general uncertainty surrounding a program that is not yet in effect. The one area in which a majority of committee felt that progress might be achieved this year involve establishing procedures for program monitoring and evaluation. Jennifer Franklin, Director of Instructional and Evaluation Services, has kindly consented to assist the committee in considering and, perhaps, implementing such procedures. Unfortunately, the committee chair has been slow in accepting the offer.

R.W. Reeves, chair

REPORT TO THE FACULTY SENATE FACULTY SENATE AIC TASK FORCE

4 May 1998

AIC Students have recently made a critical assessment of their situation. Among their concerns is that the move to the main campus will "devastate the close relationship they have established with both their classmates and professors". The Senate AIC Task Force shares this concern and has the additional concern that there will be outside pressures to make it much harder for new College to continue to develop its own, innovative style. Thus, the Task Force strongly believes it should remain in existence for at least another year to allow AIC to proceed with its own educational program with a minimum of interference. (The Faculty Senate Task Force on AIC was created by then Faculty Chair J. D. Garcia in 1995 to observe, report and recommend, but not to act on issues concerning AIC.)

The Task Force is currently considering the following topics:

1. **CONDITIONS OF SERVICE:** The development of the *Conditions of Service* for AIC faculty is currently under way. The drafting committee consists of Ed Clausen and David Gnage of AIC, Faculty Chair Jerry Hogle, Assistant to the President Terry Burke, Vice Provost for Academic Personnel Elizabeth Ervin, and Linda Harrington, member of the attorney's staff. The document is to be presented at the June 1998 ABOR meeting. The Task Force has met with Clausen and Gnage and made suggestions for its modification to improve AIC faculty protection. Another document dealing with the implementation of the Conditions of Service, *The Personnel Manual for Fixed Term Faculty*, is also being prepared. The Task Force has reviewed the current draft of this document and at least one more meeting will be scheduled when the next revision is available. It should be in place by July 1, 1998. Protection of the faculty, absent tenure, is of chief concern.
2. **AIC DEAN SEARCH:** A newly appointed search committee first met on 5 March 1998 to begin the selection process for a Dean from within the Arizona University system. The Committee is headed by Dean Charles Tatum, College of Humanities. The Committee includes two AIC students, two AIC faculty members, three AIC administrators and staff members, two U of A faculty members, one U of A administrator, the chair of the AIC Community Relations Committee and the Chair of the Senate AIC Task Force. At the initial meeting President Likins made the commitment that if AIC has not become an independent institution in five years, it will become a permanent college of the U of A. The Search Committee should begin interviewing candidates by early May and it will forward three names to President Likins when the interviews have been completed.
3. **FACULTY SEARCHES** for five new AIC faculty members in comparative literature, psychology and statistics, business, fine and performing arts, and physical sciences are currently under way. Last semester the Task Force appointed three main campus faculty members for each of these search teams. The first candidate for the fine and performing arts position will be interviewed April 27. Roughly three candidates per week for the next four weeks will be interviewed. We will thus not be able to report the results until next fall.

4. **TRANSITION TEAMS:** Course approvals have been progressing through the Undergraduate Council. The Undergraduate Council's 9 December 1997 decision to approve all AIC courses on a temporary status through 1998-99 and to allow block transfer of the first two years to the main campus is still in effect, although a change in the number of units of some of the introductory courses from five to three is causing them to be reviewed by the Undergraduate Council and the General Education Committee.

Related issues have now been taken over by a *Transition Team* co-chaired by Provost Fernandez and Vice President Gottfredson. Senator Dahlgran, Chair of ICPC and Undergraduate Council is a member of this team. This team is systematically reviewing all of the educational policies relevant to AIC. See the attached March 6, 1998 Memo from the Transition Team to Main Campus and AIC Academic Advisers, indicating in greater detail the nature of the relationships that have been worked out.

DECISION FRAMEWORK Probably the most important document to be developed by this committee is the Decision Framework, which was approved, with minor alterations, by President Likins on 11 March 1998. A copy is attached to this report.

The Undergraduate Council is systematically working through permanent approval of AIC courses. Nancy Walker, Special Assistant to the VP for Undergraduate Education is in the process of organizing all of the documentation for the course approvals.

A course equivalency guide is almost complete.

A second transition team chaired by Director of Academic Projects Bob Sankey is continuing to work on administrative issues. This team has gone through the entire Catalog and investigated every policy to see how it applies to AIC students and, in turn, how this affects the main campus (e.g. cost of providing the services) Only a few issues remain to be worked out. They are too numerous to be reproduced here, but are available on request.

The Task Force has been given observer status on these transition committees.

5. **ASSESSMENT:** The question has been raised as to how we will know if AIC is successful. AIC has a detailed Assessment Document, written in October 1996 by Anne G. Scott AIC Director of Institutional Research, Assessment and Evaluation. She went over the document with the Task Force in detail. It is a 31 page text with appendices of all of the evaluation forms, so it is not included with this report. Baseline assessments have already been made on the present AIC student body and will be made on all new students. Then, after each year, further examinations will be given to see how much value had been added to the student's education. In this way the effectiveness of AIC's teaching methodologies can be documented.

(Students will be rated by their degree of improvement, but in addition, absolute standards will also be applied, as far as student grades are concerned.)

6. **AIC Student Concerns** Two critical assessments of student attitudes have recently been made: one by the faculty and one by the students. The student critique shows a spirit of constructive suggestions and reflects a desire to continue the development of their programs in the most effective way. These student concerns are being addressed by the Transition Team.

7. **BUDGET.** Attached is a brief summary of last year's and the proposed budget for next year. However, no appropriations have yet been made for next year.

Corrections to the AIC Task Force Report to the Faculty Senate 3 November 1997.

FACULTY HIRING.

In January 1997 two *full-time* faculty members, not temporary, were hired using the 1995-96 search teams.

Thus, only six, not eight courses were taught by temporary faculty. Budget restrictions prevented AIC from hiring full-time faculty to teach these six courses.

Attachments:

Transition Team Memo of 6 March 1998 to advisors

Decision Framework

Budget

Date: March 6, 1998

To: Main Campus and AIC Academic Advisors

From: AIC Transition Team

Re: Curricular relationship between AIC and Main Campus

In summer 1998, the Arizona International College (AIC) will move to a new location north of The University of Arizona campus. This location will provide AIC students with easy access to the educational resources and student services available on the main campus. Specifically, UA offices and facilities, such as CCIT, the Registrar, Bursar, Financial Aid, Dean of Students, Libraries, Bookstore, Student Union, Student Health Service and Student Recreation Center, will provide services for AIC students in the same manner as they do for UA students. AIC will develop and operate its own programs, policies, services, curriculum, and conditions of service in anticipation of becoming independent. Until AIC develops and gets approval of these policies and programs, UA academic policies and procedures will apply.

But while AIC and main campus will be in close proximity and share student services, it is important to be mindful of the fact that with respect to educational missions, curricula and educational philosophy, AIC and the UA are significantly different and should be thought of as separate and distinct institutions.

Students will be enrolled in either AIC or another U of A college and will generally take courses offered by the institution where enrolled. As part of the AIC curriculum, students complete a learning contract which is reviewed each semester with their advisor. AIC students cannot register for UA courses unless it is part of their learning contract and their advisor has approved their enrollment. Conversely, Main Campus students may want to sample courses from the AIC selection. Because AIC has an integrated curriculum designed to be taken from beginning to end, and because of differences in pedagogy, AIC courses tend to be small and interdisciplinary. These courses cannot accommodate great numbers of Main Campus students and in fact great numbers of Main Campus students would detract from the AIC approach. Therefore, Main Campus students can add AIC courses only with the instructor's permission during the drop/add period at the beginning of the semester.

To the extent possible, students should explicitly select, and commit to, the institution (AIC or Main Campus) from which they wish to graduate. However, the proximity of the two institutions will undoubtedly lead to cases where students want to transfer.

Organizationally, AIC is a college of the University of Arizona but transferring to or from AIC is not like transferring between other U of A colleges. In particular, these transfers will require a student to apply for admission to the new institution and be accepted prior to transfer. Furthermore, the differences between educational missions and philosophies make course equivalencies difficult to identify.

If after enrolling a student decides to change institutions, the student must be made aware that differences between program requirements of the two institutions will likely require the completion of additional course work, which may in turn extend the time required to earn a baccalaureate degree. Transfer will be easier at some points in a degree program. In particular, the AIC core requirements will transfer as a block and will be accepted as meeting the UA university-wide general education requirements (with possible additional courses needed in mathematics and fine arts). Likewise, the Main Campus general education requirements will be accepted by AIC as meeting its core requirements: subject to proficiencies in languages and technologies. If the core is not completed, course equivalencies will be determined on a course by course basis. Courses that do not transfer directly for general education or curriculum requirements will count only as unrestricted electives.

A student who is considering transferring between Main Campus and AIC should confer with transfer advisors in the target institution (UA Center for Transfer Students, 621-8333; AIC Admissions and Enrollment, 574-6357 prior to June 1, 626-0624 after June 1) for pre-transfer advising.

Attachments: Decision Framework
 Reciprocity Agreement: Main Campus Students to AIC
 Reciprocity Agreement: AIC Students to Main Campus
 Articulated courses.

Decision Framework*

Goals, Conditions, Principles, and Actions which Govern or Guide the Deliberation Regarding the University of Arizona Main Campus and Arizona International College as Established by President Likins and the ABOR.

Background:

- Arizona International Campus will move to the UA campus during the summer of 1998 and will be renamed Arizona International College. (a)
- Arizona International College will be developed toward the goal of its becoming an independent four-year institution of higher education. (a)
- Arizona International College is anticipated to remain on the University of Arizona campus for three to five years. (b)
- The University of Arizona main campus will share resources and services with Arizona International College. (a)
- Arizona International and the University of Arizona main campus will keep a strict accounting of direct and indirect costs associated with the operation of Arizona International so as to have clear accounting of the true costs of operating Arizona International College. (a)
- Unless and until Arizona International College achieves the goal of independence, students and employees of Arizona International College are students and employees of The University of Arizona. (b) However, students can not be enrolled in two colleges of the University of Arizona at the same time. Therefore students are required to apply to, be admitted by, and enroll in either Arizona International College or another college of the University of Arizona. Students wishing to register for courses outside of their home college must meet all of the requirements of the college that is offering the course.
- All policies, procedures, and conditions of service governing Arizona International as an independent entity or in its relationship with the University of Arizona main campus, including this document, must be approved by the President of the University of Arizona and/or the Arizona Board of Regents or their designees, prior to implementation.

Guiding Assumption:

In order to facilitate Arizona International's progress toward independence, the following Guiding Principles will be in force until the President and the Arizona Board of Regents determine that the current relationship between Arizona International and the University of Arizona shall change.

Guiding Principle 1: Arizona International College will continue to function with its own mission.

* Approved by President Likins March 11, 1998

Guiding Principle 2: Arizona International College will develop and operate its own programs, policies, services, curriculum, and conditions of service in anticipation of becoming an independent institution.

Guiding Principle 3: Arizona International College students and employees are entitled to the same rights, services, programs, and use of facilities as are University of Arizona main campus students and employees except in cases where: (1) Arizona International has an approved corresponding program or service; or (2) The University of Arizona policies approved by the President exclude Arizona International students or employees.

Guiding Principle 4: There must be clear and concise policies that detail the relationship between Arizona International and The University of Arizona for prospective and current students, the faculty, and staff of both organizations who may be interested in using the programs or services of either organization.

Guiding Principle 5: There must be an accounting of all direct and indirect costs borne by The University of Arizona in support of Arizona International.

Charge to the Transition Team:

To recommend a range of policies to the President on salient issues related to the (1) facilitation of Arizona International College as an independent institution; (2) the efficient sharing of UA resources and services with Arizona International College; and (3) the strict accounting of costs attributable to the operation of Arizona International College. (a)

Project Oversight Team:

Beginning with the fall 1998 semester, the President of the University of Arizona should appoint a project oversight team. The team will consist of three members of the University of Arizona staff and three from Arizona International. The purpose of the team is to make recommendations to the President concerning issues relating to the ongoing relationship between the two organizations.

Recommendation:

Arizona International College should be permitted to elect a non-voting member of the Faculty Senate.

Notes:

- (a) From President Likins' charge to the committee.
- (b) From President Likins' public statement (to the faculty Senate and elsewhere)

Arizona International College Preliminary Budget

	1997-1998		1998-1999	
	FTE	Expenditure	FTE	Expenditure
FALL FTE STUDENTS	98		219*	
PERSONNEL				
Faculty	7.97 [†]	\$ 413,884	11.50 [‡]	\$ 630,000
Professional Staff	6.00	\$ 243,498	5.00	\$ 178,498
Support Staff	9.50	\$ 184,255	9.50	\$ 184,255
Administration	<u>2.00</u>	<u>\$ 220,379</u>	<u>2.00</u>	<u>\$ 190,379</u>
Sub Total	25.47	\$1,062,016	28.00	\$1,183,132
ERE		\$ 203,593		\$ 230,626
Total Personnel	25.47	\$1,265,609	28.00	\$1,413,758
OPERATIONS				
Rent/Mortgage		\$ 473,000		\$ 170,000
Operations		<u>\$ 467,391</u>		<u>\$ 456,242</u>
Total		\$ 940,391		\$ 626,242
Grand Total	25.47	\$2,206,000	28.00	\$2,040,000
Cost/Student		\$ 22,510		\$ 9,315
(State University System Average Cost/FTE is \$8,300.)				

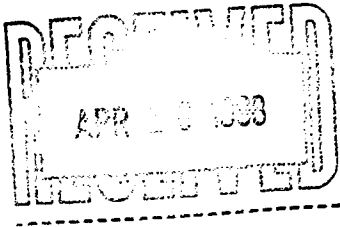
* Currently there are 460 applications of which 308 have been admitted.

Projected Headcount Enrollment

First Year Students	165
Second Year Students	48
Third Year Students	<u>25</u>
	238

[†] Of these, 7 are full time faculty, and 1 FTE temporary.

[‡] Of these, 11 will be full time faculty if all of the new positions are filled, and 0.5 FTE temporary.



COMMITTEE ON CONCILIATION
 Annual Report
 1997-1998

<u>Committee Membership</u>	<u>Department</u>	<u>Term</u>
Steven P. McLaughlin, Chair	Office of Arid Lands Studies	5/96-4/98
George Gutsche	Russian and Slavic Languages	5/96-4/98
Alfredo Huete	Soil, Water and Environmental Science	5/97-4/99
Philip C. Keller	Chemistry	5/97-4/99
Robert Mitchell	Main Library	5/97-4/99
Jim Patten	Journalism	5/96-4/98
Susan Wilson-Sanders	University Animal Care	5/96-4/98

Seven formal, written grievances were submitted to the Committee on Conciliation during the 1997-1998 academic year. Two additional faculty contacted the Chair but eventually decided not to file grievances.

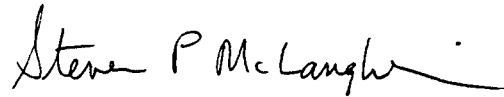
Three of our cases involved appeals to unfavorable promotion and tenure decisions, one involved a personal conflict in which the complainant was concerned about potential reprisals on a future P & T decision, one involved a salary dispute, one involved an annual performance evaluation, and one involved a work-load assignment.

Two of these cases are still active, one involving a 2nd-year review and the one involving annual evaluations. At this point I am doubtful that either case can be resolved through conciliation. The case involving the personal conflict with potential P & T repercussions was resolved over the summer by Dr. Thomas Cetas, chair of the Committee on Academic Freedom and Tenure. The two additional cases involving P & T appeals had no outcome resolvable by conciliation. The salary dispute was also unresolvable through conciliation, and is currently the subject of a law suit in which the Chair of this committee was included as a defendant. Finally, the case involving a work-load assignment appears to have been successfully resolved.

Most of the cases that come to the Committee on Conciliation do so because of requirements spelled out in the Faculty Senate Handbook. These include many cases that are not resolvable through conciliation—appeals to P & T decisions, salary disputes, ethics issues, and affirmative action issues. The COC discussed this problem in our annual report to the Faculty Senate for academic year 1996-1997.

At the initiative of the Chair of the COC, a meeting was held on December 16, 1997, at the Faculty Center, attended by the chairs of the COC, the CAFT, Chair of the Faculty Dr. Jerry Hogle, Susan Free of the Affirmative Action office, and Thomas Thompson of the University Attorneys Office. The purpose of this meeting was to discuss mechanisms for stream-lining the appeals process and getting grievances to the proper committee in a timely manner. The outcome of this meeting was that the COC would prepare a list of recommended changes to the Handbook and its own operating guidelines for consideration by the Faculty Senate. To date the Chair of COC simply as not had the time to work on these revisions. At the most recent meeting of the COC a subcommittee was appointed to work on these recommended revisions over the summer months, with the goal of presenting them to the Faculty Senate at the start of academic year 1998-1999.

Submitted on behalf of the Committee on Conciliation.

A handwritten signature in black ink, reading "Steven P. McLaughlin". The signature is fluid and cursive, with a long horizontal stroke at the end.

Steven P. McLaughlin,
Chair, Committee on Conciliation

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UNIVERSITY OF ARIZONA
COMMITTEE ON ETHICS AND COMMITMENT

1997-1998 Annual Report

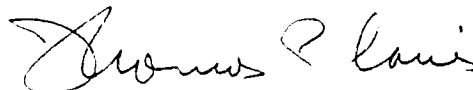
Thomas P. Davis, Pharmacology (5/94-4/00)
Neal Armstrong, Chemistry (5/97-4/00)
Don P. Bourque, Biochemistry (Ad Hoc Member - 1-yr. term)
John Bradley, LRC, Education (5/95-4/98)
George N. Frantziskonis, Civil Engineering (Ad Hoc Member - 1-yr. term)
William B. Hubbard, Lunar and Planetary Laboratory (Ad Hoc Member - 1-yr. term)
Sam James, Internal Medicine (5/96-4/99)

The committee met to review several formal allegations which were inquired upon and resolved. Several informal allegations were also presented. Three allegations are still in the inquiry phase. The Chair of the Committee, Dr. Tom Davis, attended an intensive three day workshop funded by the National Institutes of Health on Mechanisms for Investigating Allegations into Research Misconduct: Inquiry and Investigation.

Respectfully submitted on behalf of the Committee on Ethics and Commitment.

Thomas P. Davis, Chair

TPD/rkd



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April 21, 1998

TO: All members of the Faculty Senate

FR: The Faculty Chair's Task Force on Faculty Salaries
Jerry Hogle, Chair of the Faculty and Task Force Chair 
(see attached complete list of Task Force members)

RE: Our 1998 recommendations (to come to the Senate in the Fall)

This Task Force, first announced to the Senate last September, has been meeting regularly throughout the Fall and Spring terms. Our mission has been: (1) to do extensive data research on the salaries of faculty and academic professionals throughout the University; (2) to identify groups of people whose salaries are strikingly below the average salaries for their ranks and fields at peer institutions; (3) to highlight all cases of compression in salaries at this University, particularly within our institution; and (4) to recommend solutions to these problems within the parameters of state appropriations, even to the point of affecting UA salary distributions in this and future years. Our efforts have been aided immensely by the work of Wendy Miley, a Specialist in the Office of Decision Planning and Support (DAPS); Ari Anand, Graduate Assistant to the Faculty Chair and a student in Comparative Cultural and Literary Studies (CCLS); and Pam Bridgemon, Administrative Assistant in the Faculty Center and secretary to the Task Force. We are very, very grateful for all that they have done.

One of the initiatives within our research has been a survey of the General Faculty about their perceptions of several salary-related issues. We are grateful that you let us "pilot" this survey with you several months ago. After incorporating your suggestions, we sent the survey out to all voting faculty at the UA (except retirees). We have since received an excellent response of over 670 completed surveys. The results are included in the attached survey report compiled by Ari Anand from all the surveys sent back to the Faculty Center. This information has been very helpful to us as we have decided what recommendations to put forward to you and others at this stage.

We have recently agreed upon recommendations in the following areas: how merit money should be divided among the Colleges when it comes; how promotion raises should be modified; how compression should be addressed with forthcoming Classification Salary Adjustment funds (CSA); how individual units should develop more regularized and shared-governance-based procedures for recommending merit adjustments; and how retention raises should be determined in the future, compared to what generally happens

now. At the same time, we have not yet agreed completely among ourselves about the ways these recommendations should be put forward, and we are still in need of some focussed data to help us work out one of our recommendation areas. Consequently, we will be submitting our 1998 recommendations to you and others in the early days of the Fall semester, knowing that salary decisions -- for this or next year -- will almost certainly not be made by then (with all indications suggesting that any adjustments will again occur mid-year). At the September meeting, we will most likely ask for your support for our recommendations as they are worded at that time. Thank you for your patience, interest, and support so far.

The Task Force Chair is particularly grateful to the members of the Task Force themselves, who have all agreed that they will stay on a second year and that their terms of service are the same as the term of the Chair of the Faculty (which currently runs through April 30 of 1999). They have all worked very hard and proceeded quite thoughtfully and deliberately. These are difficult matters, but the members of this group have studied and debated them with judiciousness and care. It is a pleasure for me to salute them all as we come to the end of the 1997-98 academic year.

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Chair's Task Force on Faculty Salaries

Membership List, 1997-98

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FACULTY SALARY SURVEY

Spring 1998

Current rank: _____

Years in current rank: _____

Gender: _____ female _____ male

Years with University: _____

Minority: _____ yes _____ no

1. Is it your perception that full-time faculty salaries are equitably allocated throughout the University?
_____ yes _____ no _____ don't know

Please comment briefly on your response to #1: _____

2. Is your current salary equitable relative to your peers in the University?
_____ yes _____ no _____ don't know
3. Is your current salary equitable relative to your counterparts at peer universities?
_____ yes _____ no _____ don't know
4. Does your Department Head distribute salary increases according to an established Departmental Policy?
_____ yes _____ no _____ don't know
5. Does your Department have a faculty-approved algorithm for determining salary increases for merit?
_____ yes _____ no _____ don't know
6. Does your Department have a faculty-approved algorithm for determining market adjustments?
_____ yes _____ no _____ don't know
7. Do you believe that faculty salaries are equitably distributed in your Department?
_____ yes _____ no _____ don't know

What is the basis for your response to #7? (mark all that apply)

_____ factual knowledge of salaries in your Department

_____ hearsay knowledge of salaries in your Department

_____ discussions with colleagues

_____ other (please specify: _____)

8. Is your current salary equitable relative to peers in your Department?
_____ yes _____ no _____ don't know
9. In your opinion, what is the major problem that needs to be addressed in faculty salaries?

10. What suggestions do you have for increasing resources for faculty salaries?

FACULTY SALARY SURVEY RESULTS

Spring 1998

(Responses to questions disaggregated by Current rank¹, gender and minority status)

Total No. of respondents: 674

Current Rank:

Assistant Professor: 95

Associate Professor: 197

Professor: 290

Other (incl. unidentified): 92

Gender:

Female: 214

Male: 451

Unidentified: 9

Minority Status:

Self Identified Minority: 72

Not Identified as Minority: 602

1. **Is it your perception that full-time faculty salaries are fairly allocated throughout the University?**

Rank	Yes	No	DN
Assistant	6	59	30
Associate	11	146	39
Professor	28	196	61
Other	4	59	28
Total	49	460	158

Other Status	Yes	No	DN
Male	41	292	112
Female	7	163	44
Minority	5	50	17
Not identified as minority	44	410	141

- 1b. **Please comment briefly on your responses to #1:** _____

2. **Is your current salary fair relative to your peers in the University?**

Rank	Yes	No	DN
Assistant	23	34	36
Associate	43	106	43
Professor	97	140	50
Other	25	45	21
Total	188	325	150

Other Status	Yes	No	DN
Male	145	211	88
Female	41	108	61
Minority	17	41	14
Not identified as minority	171	284	136

¹ In all, there were at least 37 different ranks identified. For convenience, only the most populated ones have been disaggregated in this report. A fuller version is available.

3. **Is your current salary fair relative to your counterparts at peer universities?**

Rank	Yes	No	DN
Assistant	18	60	15
Associate	20	147	30
Professor	40	213	35
Other	13	50	27
Total	91	470	107

Other Status	Yes	No	DN
Male	62	322	63
Female	28	140	44
Minority	11	50	10
Not identified as minority	80	420	97

4. **Does your Department Head distribute salary increases according to an established Departmental Policy?**

Rank	Yes	No	DN
Assistant	46	13	35
Associate	125	42	27
Professor	183	66	32
Other	64	13	11
Total	418	134	105

Other Status	Yes	No	DN
Male	283	93	64
Female	132	37	40
Minority	36	17	18
Not identified as minority	382	117	87

5. **Does your Department have a faculty-approved algorithm for determining salary increases for merit?**

Rank	Yes	No	DN
Assistant	43	21	31
Associate	95	64	34
Professor	142	110	34
Other	38	24	28
Total	318	219	127

Other Status	Yes	No	DN
Male	206	158	79
Female	110	55	47
Minority	23	25	24
Not identified as minority	295	194	103

6. **Does your Department have a faculty-approved algorithm for determining market adjustments?**

Rank	Yes	No	DN
Assistant	5	42	48
Associate	31	97	67
Professor	62	167	56
Other	22	32	37
Total	120	338	208

Other Status	Yes	No	DN
Male	80	242	125
Female	39	89	82
Minority	8	32	32
Not identified as minority	112	306	176

7. **Do you believe that faculty salaries are fairly distributed in your Department?**

Rank	Yes	No	DN
Assistant	16	51	27
Associate	47	121	25
Professor	97	149	38
Other	27	48	15
Total	187	369	105

Other Status	Yes	No	DN
Male	134	236	71
Female	52	127	32
Minority	13	44	14
Not identified as minority	174	325	91

7b. **factual knowledge of salaries in your Department**

Rank	Yes
Assistant	40
Associate	134
Professor	210
Other	65
Total	449

Other Status	Yes
Male	300
Female	141
Minority	44
Not identified as minority	405

7c. hearsay knowledge of salaries in your Department

Rank	Yes
Assistant	23
Associate	31
Professor	32
<u>Other</u>	<u>14</u>
Total	100

Other Status	Yes
Male	64
Female	35
Minority	13
Not identified as minority	87

7d. discussions with colleagues

Rank	Yes
Assistant	34
Associate	70
Professor	84
<u>Other</u>	<u>35</u>
Total	223

Other Status	Yes
Male	140
Female	80
Minority	25
Not identified as minority	198

7e. other (please specify: various reasons/sources)

Rank	Yes
Assistant	10
Associate	13
Professor	26
<u>Other</u>	<u>10</u>
Total	59

Other Status	Yes
Male	42
Female	17
Minority	3
Not identified as minority	56

8. Is your current salary fair relative to peers in your Department?

Rank	Yes	No	DN
Assistant	37	26	29
Associate	78	83	29
Professor	128	118	37
Other	37	38	11
Total	280	265	106

Other Status	Yes	No	DN
Male	196	180	63
Female	81	80	43
Minority	29	30	11
Not identified as minority	251	235	95

9. In your opinion, what is the major problem that needs to be addressed in faculty salaries? (compiled by main theme)

10. What suggestions do you have for increasing resources for faculty salaries? (compiled by main theme)

Responses to question 1b, 9, and 10 often overlapped or referred to each other in terms of *why* faculty members thought full-time faculty salaries were or were not equitably allocated throughout the University, *what* the major *problems* to be addressed were, and *what suggestions* they might offer to increase resources for faculty salaries. They are listed below in approximate order of frequency of occurrence:

Problems and Suggestions:

Compression of salaries;
 Need to lobby legislature;
 Reallocation of funds, especially from administration to faculty;
 Inequity amongst faculty salaries;
 Make salaries competitive vis-à-vis peer or comparable institutions;
 Inconsistency between Faculty and Administrative salaries; especially former administrators maintaining high salaries as faculty;
 Focus on academic performance and merit (research, teaching, or both), sometimes rather than blanket or across the board raises;
 Focus on Market Adjustments, COLAs, Broad-based Step Systems, rather than pure merit;
 Gender Inequity;
 Rewarding of "lack of loyalty" in that raises are available only through counteroffers for people looking elsewhere for jobs;
 Need for fundraising, including commercial contracting and endowments;
 Improve public perception of value of University;
 Clarify and Standardize allocation processes and measures publicly;
 Inequities result from market forces at work—supplement them if necessary, but do not interfere with them;
 Inequitably low salaries for minorities;
 Others: downsize programs, increase tuition, raise tax money, consider unionizing, strike, etc.

THE UNIVERSITY OF ARIZONA®

**Committee on Intellectual Property and Scholarly Communication
Progress Report - April 1998**

The Faculty Senate voted to appoint the Committee on Intellectual Property and Scholarly Communication to work with the Library in October 1997. The Committee has several goals: to educate the wider University community about intellectual property issues as they pertain to the use of electronic and print materials for teaching and research; to explore and support alternative publishing options; and to develop a mechanism for advocating and supporting copyright actions that protect the scholarly communication process on an ongoing basis.

The Committee was appointed in December 1997.

Members of the Committee received numerous documents to review prior to an afternoon "kick-off" meeting that was held in February 1998. At the meeting, members reviewed the Committee charge and discussed the following issues:

- the rising cost of information
- the growing monopoly in the publishing industry
- electronic publishing as an alternative to print
- issues related to licensing of information
- negotiating copyright terms with publishers
- pending intellectual property legislation
- copyright issues and Fair Use in the electronic environment
- the Scholarly Publishing and Academic Resources Coalition (SPARC) of the Association of Research Libraries

Committee members asked the Library to further investigate specific issues: licensing, SPARC, university copyright policy, copyright fees for document delivery, copyright terms with publishers.

At a second meeting in April, the Library reported to the Committee its initial findings and asked for feedback. The Committee agreed to continue work over the summer months. Committee members working with librarians will prepare action plans for the following:

- Endorsement of a Licensing Guidelines document
- Development of a University Copyright Guidelines, Principles and Resources Web Site
- Active membership in the Scholarly Publishing and Academic Resources Coalition

These documents, if supported by the Committee, will be presented to the Faculty Senate, academic departments and other governing bodies on campus for support and approval.

Submitted by Carrie Russell, Copyright Librarian.

Committee Chair: Carla J. Stoffle, Dean of Libraries

Committee Members:

Hsinchun Chen (Management Information Systems)

Achintya Haldar (Civil Engineering)

Charlie Hurt (Library Science)

Rita Manak (Office of Technology Transfer)

William McCallum (Mathematics)

Eileen Meehan (Media Arts)

Chestalene Pintozzi (Chair of the Library Information Resources Council)

Carrie Russell (Copyright Librarian)

Bobbie Schorr (Office of Federal Relations)

Rex Woods (Dance)

Steven Wright (Physiology)

4-20-98

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Annual Report, May 1998
Intercollegiate Writing Committee

The Chair of the Intercollegiate Writing Committee (IWC) is charged with the production of an annual report dealing with matters pertaining to undergraduate writing proficiency at the University of Arizona. This year the committee has focused on issues pertaining to faculty, curriculum, and the teaching of writing. Our aim is to effect an overall comprehensive improvement in undergraduate writing through examination of and support for initiatives in the areas of curriculum and faculty development. The following is a synopsis of committee activity during the 1997-98 academic year.

1. The committee met periodically throughout the Fall and Spring semesters.
2. The chair tried unsuccessfully to constitute a full committee, with representatives from every college granting undergraduate degrees. BPA and Engineering did not send representatives to this year's committee. See attached roster of members.
3. Fall semester was taken up with orienting new members to the committee and reorienting continuing members to current issues.
4. In the Spring semester two subcommittees were established. One focuses on the Upper Division Writing Proficiency Exam and the question of its relationship to the new University-wide General Education curriculum that will go into effect in 1998-99. The other focuses on how the IWC can support faculty teaching in the new curriculum as they attempt to satisfy the writing requirements of that curriculum, particularly at the Tier I level. We expect these subcommittees to continue working into the coming academic year.
5. The committee understands that there is one other issue that will become increasingly important once the new curriculum is in place: the Writing Emphasis courses currently required in each discipline. Once the dust has settled next year, the committee will begin to examine how Writing Emphasis courses can be made more consistent and more effective.
6. The results of the Upper Division Writing Proficiency Exam for the period September 1996-July 1997 are attached.

The statistics show a slight decrease in the number of students receiving a score of Unsatisfactory (20%) as compared to former years (roughly 25%). 61% received a score of Unsatisfactory or Low Satisfactory, down from the usual figure of about 66%. Though this indicates some improvement in student writing across the university, the fact that 61% of our upper division students write at an unsatisfactory or minimally satisfactory level must also be taken as an indication of the need for further attention to student writing.

Elizabeth G. Harrison
East Asian Studies & University Teaching Center
April 20, 1998

1997-98 Intercollegiate Writing Committee

Agriculture

Angela Taylor
Judy Verbeke

Family and Consumer Resources
Plant Sciences

Architecture

Fred Matter

Architecture

ASUA

Maura Olivieri

Business and Public Administration

Education

Kathy Carter
Dana Fox

Teaching and Teacher Education
Language, Reading and Culture

Engineering and Mines

Fine Arts

Bill Lang
Keith McElroy

Theatre Arts
Art

Health Professions

Tim Kempf

Physiology

Humanities

Malcolm Compitello
Elizabeth Harrison, Chair

Spanish and Portuguese
East Asian Studies

Nursing

Judy Ayoub

Nursing

Science

John Cocke
Eugene Mash

Astronomy
Chemistry

Social and Behavioral Sciences

Karen Anderson
Juan Garcia

History
Associate Dean

Ex-Officio Members

Marvin Diogenes
Thomas Miller

University Composition Board
Freshman Composition Program

UPPER-DIVISION WRITING-PROFICIENCY EXAM STATISTICS

PERIOD: September 1996 - July 1997

AVERAGE:	<u>Unsat</u>	<u>Unsat + Low Sat</u>	<u>Satisfactory</u>	<u>Excellent</u>
	20 %	61 %	74 %	6%
<u>By College:</u>				
AGRI	22 %	62 %	74 %	3 %
ARCH	29 %	59 %	61 %	10 %
A + S	17 %	57 %	76 %	7 %
FA	19 %	58 %	73 %	8 %
GEN	17 %	60 %	78 %	6 %
HRP	30 %	73 %	68 %	3 %
HUM	11 %	49 %	78 %	11 %
SCI	15 %	53 %	78 %	7 %
SBS	19 %	58 %	74 %	7 %
BPA	23 %	68 %	73 %	4 %
EDUC	27 %	69 %	70 %	3 %
EM	28 %	69 %	67 %	5 %
NRSG	8 %	53 %	89 %	3 %
PHAR	19 %	58 %	77 %	3 %

NOTE: The figures highlighted in gray are a breakdown of A+S totals.

UPPER-DIVISION WRITING-PROFICIENCY EXAM STATISTICS
PERIOD: September 1996 - July 1997

College *****	Total *****	Unsat 2 *****	Unsat 3 *****	Low Sat 4 *****	Mid Sat 5 *****	High Sat 6 *****	Excell 7 *****	Excell 8 *****
AG	472 9%	72 15%	33 7%	189 40%	114 24%	48 10%	11 2%	5 1%
ARCH	49 1%	10 20%	4 8%	15 31%	9 18%	6 12%	5 10%	- -
A + S	3149 58%	357 11%	184 6%	1245 40%	727 23%	406 13%	187 6%	43 1%
FA	494 9%	64 13%	28 6%	196 40%	105 21%	62 13%	32 6%	7 1%
GEN	462 8%	53 11%	24 5%	202 44%	106 23%	51 11%	19 4%	7 2%
HRP	37 1%	9 24%	2 5%	16 43%	3 8%	6 16%	1 3%	- -
HUM	281 5%	23 8%	9 3%	106 38%	65 23%	47 17%	25 9%	6 2%
SCI	613 11%	52 8%	42 7%	229 37%	162 26%	85 14%	35 6%	8 1%
SBS	1262 23%	156 12%	79 6%	496 39%	286 23%	155 12%	75 6%	15 1%
BPA	1021 19%	162 16%	71 7%	464 45%	184 18%	95 9%	35 3%	10 1%
EDUC	206 4%	43 21%	13 6%	86 42%	41 20%	17 8%	4 2%	2 1%
EM	488 9%	93 19%	46 9%	199 41%	80 16%	47 10%	19 4%	4 1%
NRS	38 1%	2 5%	1 3%	17 45%	12 31%	5 13%	1 3%	- -
PHAR	31 1%	5 16%	1 3%	12 39%	10 32%	2 6%	1 3%	- -
TOTALS	5454	744 14%	353 6%	2227 41%	1177 22%	626 11%	263 5%	64 1%

NOTE: The figures highlighted in gray are a breakdown of A+S totals.

UDWPE GRADERS
September 1996 – July 1997

COLLEGES	# of Graders	% of Graders	% of Students Writing UDWPE
College of Agriculture	25	9.46	9
College of Architecture	5	1.89	1
College of Arts & Sciences	78	29.54	58
<i>College of Fine Arts</i>	5	1.89	9
<i>College of Humanities</i>	25	9.46	5
<i>College of Science</i>	26	9.84	11
<i>College of Sco & Behav Sci</i>	22	8.33	23
College of Business & Public Admin	9	3.40	19
College of Education	15	5.68	4
College of Engineering & Mines	28	10.60	9
College of Nursing	18	6.81	1
College of Pharmacy	7	2.65	1
TOTAL FOR COLLEGES	263	70.03	

AHSC, LIBRARY, ACADEMIC PROGRAMS & SERVICES, STUDENT SERVICES, MISC.

Arizona Health Science Center	18	6.81
Library	12	4.54
Academic Services	13	4.92
Student Services	10	3.78
Miscellaneous	26	9.84
TOTAL	79	29.89

TOTAL GRADERS FOR UDWPES: 342

NOTE: The figures highlighted in gray are a breakdown of A+S totals.

Joaquin Ruiz
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April 20, 1998

Memo to: University Community

From: Joaquin Ruiz, Chair, Strategic Planning and Budget Advisory Committee

Re: The University of Arizona's Vision for the year 2000 and beyond

The stated vision of The University of Arizona, a public, land grant, Research 1 University, is to be a premier student-centered research university whose strength in research and commitment to the highest quality of education are combined to give students a unique learning experience. A student-centered research university is one in which education is centered on discovery and the processes of discovery. The University of Arizona is committed to continue its leadership in discovery and in education through discovery -- an education that develops life-long learners capable of improving society.

As part of our on-going strategic planning process, the Strategic Planning and Budget Advisory Committee (SPBAC) coordinated a comprehensive study of the University of Arizona. Our goal has been to assess the current state of affairs of some key critical issues, and to develop strategies to realize the University of Arizona's vision to become a premier student-centered research University. The study was initiated by SPBAC but many members of the University as well as the external campus community participated in the review. The drafts of the subcommittee reports are now available in their entirety through the web at <http://DAPS.arizona.edu/uaplan/index.html>. Attached to this letter is the working draft of the executive summary of the reports. SPBAC urges the University community to comment on the report and to begin a dialog that will strengthen, clarify, and where adequate revise the conclusions of the study.

You can send your comments to Joaquin Ruiz at the Department of Geosciences or jruiz@geo.arizona.edu. We also welcome the opportunity to discuss this study and its implications with any interested group. We plan to seek out and initiate a discussion with a wide variety of faculty, staff, student and community forums in the early Fall. Please let us know if you are interested.

The University of Arizona: 2000 and Beyond

Introduction

As part of its on-going strategic planning process, the Strategic Planning and Budget Advisory Committee (SPBAC) coordinated a comprehensive study of the University of Arizona in 1997-1998. The goal of the process was to assess the current state of affairs in several strategic issues, and to develop strategies to realize the University of Arizona's vision to become a premier student-centered research University. The issues we focused on are how to: (1) maintain and enhance excellence in undergraduate education, (2) maintain and improve the quality of graduate education, (3) support an environment for scholarship and research, (4) effectively perform the outreach mission of the University, (5) improve campus life, and (6) develop resources for sustained excellence and institutional renewal. SPBAC invited members of the University and external campus community to participate in this review (subcommittee members and their affiliation are listed in Appendix A). The most significant conclusions and recommendations follow.

The University of Arizona as a Student-Centered Research University

The student-centered research University is one in which education is centered on discovery and the processes of discovery. In becoming a premier student-centered research university, The University of Arizona is dedicated to continuing leadership, both in discovery and in learning through discovery – an education that develops life-long learners capable of improving society. A necessary condition for a student-centered research university is a strong research program, where discoveries are ubiquitous. The University of Arizona fulfills this requirement and can provide students with an education in which they are active participants in the process of discovery. In addition to strength in research, our study concluded that a successful student-centered research university must fulfill the following requirements:

- To have a clear and consistent message from the University community about its mission, and vision, both on- and off-campus;
- To create and sustain a vibrant learning community that calls for high standards, is diverse, and fosters collaboration;
- To develop clear and consistent guidelines used to recruit and reward students, faculty, staff, academic professionals, and administrators within a student-centered research university, its mission, and goals;
- To provide students with access to faculty who deeply care about the education and the well being of undergraduate and graduate students while being leaders in their research fields;

Draft-For Discussion Purposes

- To employ staff and academic professionals who also are committed to the student-centered research university and do their part to fulfill the University's mission;
- To educate students who are active participants in their learning and discovery process;
- To cultivate leadership skills amongst students, so that these students in turn may assume leadership roles in their own communities (regardless of how that community may be defined: as a business, as a laboratory, as a civic government, or as one's own family);
- To improve the quality of life of people in the State, nation, and international community.

It is evident from the subcommittee reports (see Appendices B-G) that we already are doing much of what is required to be a leading university that fosters discovery among both its faculty and students. However, because our transformation to such an entity has been so rapid, it is now important to fine-tune those aspects of our performance that need attention. The subcommittee reports discuss how we are already progressing toward being a premier student-centered research University, those endeavors to which we need to pay careful attention, and the projected costs of proposed changes and new activities.

Although we already do much of what is required to be a top 10 research university, many of our successful activities seem not to be well known within the University, let alone the external community. The result is that many excellent activities go unappreciated and fail to achieve optimal utilization. There is also the feeling that the overall quality and impact of the University as a whole is not equal to the sum of its parts. One of the primary reasons for this incongruity may be the lack of a community spirit--the lack of a common sense of purpose. This presumably is caused partially by the rapid change of the University's vision during the last 30 years, which separated teaching from research and which tended, in different periods of time, to emphasize one over the other. Research and teaching need not be separated. The vision of the student-centered research university builds upon both teaching and research and the relationship that each has to discovery.

In some areas, we already have a foundation for realizing the vision of leadership as a student-centered research University. We attract a good and a diverse undergraduate student body within constraints set by the State's Constitution and the Regent's rules for access to the University. We have a faculty of extraordinary discoverers as indicated by our rankings of the National Science Foundation (NSF), the National Research Council (NRC), and other evaluating entities. Staff and academic professionals, on the whole, are strongly committed to the institution. The challenge for the year 2000 and beyond is to expand and build on this foundation, modernize an aging physical plant, and take advantage of the learning opportunities afforded by the rapid changes in information technology.

Findings and Conclusions: The Elements of a Student-Centered Research University

Maintaining and Enhancing Excellence in Undergraduate Education

To achieve the vision of becoming a premier student-centered research university, the University of Arizona must provide undergraduates with an education that fosters the development of discovering minds. To this end, cultivation of discovering minds means treating teaching and research not as different but as ultimately similar activities because each is a genuine modality of learning. In a pedagogy that emphasizes discovery, a series of active learning strategies mix with the more conventional lecture format. A rich array of educational experiences and aspects of the educational infrastructure are required to promote the development of discovering minds successfully. They are identified and described in the subcommittee's report (see Appendix). The report also documents that many of the activities necessary to achieve the stated vision already occur on campus, yet not always in a consistent manner. The major challenges right now in the area of undergraduate education appear to be to:

- Provide certain educational experiences that accent active learning strategies to greater numbers of students, including
 - (1) the freshman colloquium;
 - (2) opportunities for the involvement of students in the research and creative activities of faculty;
 - (3) opportunities for students to engage in team learning;
 - (4) opportunities for active learning through electronic interaction both in and outside of the classroom;
 - (5) opportunities for students to learn how to criticize their own work; and
 - (6) opportunities and support for internships, exchange programs, and study abroad.
- Assure the continued presence and/or improvement of elements of the educational infrastructure, including
 - (1) a faculty of first-class discoverers with outstanding scholarly records who are effective teachers and who have access to adequate resources and incentives for continuous faculty development;
 - (2) competent and consistent advising as well as other enhancements necessary to recruit and retain a highly qualified and diverse student body;
 - (3) top-quality classrooms and residence halls with vibrant living/learning environments;
 - (4) up-to-date, well maintained technology in classrooms and labs;
 - (5) first-class libraries with 24-hour daily access;
 - (6) curricula designed for graduation in four years for full-time students;
 - (7) timely entry into courses;
 - (8) high-quality, student-friendly support services with staff who are paid appropriately and have access to adequate resources;
- Assess the extent to which the educational experiences and elements of the infrastructure identified in the subcommittee report for which we do not yet have sufficient data are satisfactory or need improvement, and the costs to do so;
- Communicate successfully, both within and outside of the University, about the

effectiveness with which we serve our students in their educational endeavors.

Maintaining and Improving the Quality of Graduate Education

Many challenges became evident during the review of graduate education. An appropriate balance should be achieved between the undergraduate and graduate education missions of the University of Arizona. If interdisciplinary programs are to be maintained as a distinctive quality of the University of Arizona, then these programs should be supported more broadly across campus. In addition, interdisciplinary activity should become a more prominent review criterion for all APRs and post-tenure review. The quality of graduate student life and educational programs affect the University's competitive ability to recruit and retain the best graduate students, an area in which we appear to be slipping. To turn this situation around, it is recommended that the University of Arizona:

- Increase support for graduate assistants (health insurance, stipends, fee waivers, community);
- Adjust some graduate assistant workloads downwards to national norms in certain fields;
- Regard and treat graduate students as professionals-in-training, encouraging them to complete practica – one in teaching and one in publication - and to teach;
- Offer instruction on professional ethics and survival skills; and
- Ensure that students have requisite language skills with strong support for diversity in the graduate student population.

The University's educational infrastructure needs to support the graduate academic enterprise too. The committee recommends:

- A review of the Graduate College with an eye to further improvements to help it function more effectively in a decentralized environment;
- Provision of enhanced services, resources, and collections at the University Library;
- Pointed attention to the issue of differential tuition policy;
- Offering lower enrollment course sections to ensure timely graduation and opportunity to study exciting, but maybe not high demand, areas;
- Restructuring the Academic Program Review Process to enhance the impact of graduate program reviews, all the while acknowledging program diversity and considering appropriate benchmarks.

The Environment for Scholarship and Research

Critical to the concept of a distinguished student-centered research University is the availability of strong research programs that are strongly established in their communities. It is the research-based quality – not the mere quantity – of classroom teaching that distinguishes great Universities.

At a student-centered research university, there must exist an environment in which undergraduate and graduate students can interact and work with world-class scholars. The University must, therefore, promote high quality research programs that are structured to permit undergraduate student participation. This concept distinguishes the student-

centered research university from institutes or laboratories, in which the focus is research, and from four year colleges and universities at which students learn by traditional teaching methods. This study found that the University of Arizona has nationally recognized programs, such as the Undergraduate Biology Research Program (UBRP), NASA's Space Grants and the Entrepreneur program, that are superb examples of student-intensive enterprises at a student-centered research university.

The study indicated that in order to fulfill our stated vision, we must:

- Have faculty development programs that provide opportunities for connecting teaching and research;
- Identify programmatic opportunities for undergraduates that already exist within the university;
- Establish mechanisms for faculty to implement undergraduate research programs;
- Aggressively recruit graduate students with financial packages that are competitive with our peer institutions;
- Operate a first-rate library;
- Develop relationships with business and communities, that make our students competitive and that permit co-beneficial sharing of technical resources.

The Outreach Mission of the University

The phrase, "improving the quality of life for the people of Arizona and the nation," is a critical part of the University's mission. It provides the reason for the "student-centered research institution," in which students "learn through discovery;" it explains why the University engages in outreach; and it opens the door for student learning off campus.

Outreach is the extension of the University's teaching, research, creative, and service activities to the external community. University outreach activities are numerous and diverse, but their planning, management, assessment, and funding is uncoordinated.

- Outreach activities should continue to be expanded, managed, and provided at the unit levels as they currently are, but their planning, tracking, reporting, and assessment should be coordinated centrally;
- Central coordination must include unit involvement.

Many units consider outreach to be peripheral to their educational and research missions. Actually, it is interwoven. Therefore:

- All academic and appropriate other units should be charged with providing outreach;
- Unit outreach programs should conform to institutional requirements and they should utilize consistent reporting methods and benchmarks;
- Faculty roles, incentive structures, and evaluation criteria should be adjusted to appropriately reflect the University's outreach commitment.

There is no systematic way of identifying statewide issues or coordinating outreach activities between the State's three universities.

- Outreach activities should be expanded especially to educationally underserved rural and remote areas of the State.

The University should:

- Engage in a continuing involvement with the other Arizona universities to identify and prioritize State needs and to coordinate the resulting outreach activities;
- Revisit distributed learning agreements to reach underserved areas better.

Campus Life

This subcommittee concurs with the President's statement that this university is less than the sum of its parts. Rewarding individual field-specific enterprises, while commendable, has worked against a strong sense of community at the U of A. Open communication is lacking, along with little shared understanding of how this University works, and the rules which govern. By communicating openly the common values/purposes that undergird our work, we can look forward to a more enriching culture in the years ahead. We should, therefore:

- Redesign the orientation experiences for faculty, staff, students, and administrators;
- Develop a world-class training program for managers at all levels;
- Support the pilot program for SmartStart (90K);
- Maintain a relationship with University retirees;
- Pay attention to ceremonies honoring our best and creating opportunities for us to develop traditions together.

The social isolation at the University of Arizona also is reflected in the physical campus, where gathering places are few and connections between and among facilities are relatively neglected. Hence:

- We should concentrate on the campus physical environment to reduce its capacity to isolate and thus create environmental changes that would promote interaction of students, staff, and faculty;
- SPBAC should embrace the open space proposals (e.g. Arts Oasis) and recommend placement in the Capital Improvement Plan queue.

Developing Resources for Sustained Excellence and Institutional Renewal

The challenge here is to generate new revenues to affect changes in the margins, while maintaining the institution's integrity. The subcommittee offered the following suggestions:

- Identify opportunities through collaborative efforts between Heads-Up and the central administration;
- Create and promote programs that allow all units to be effective fund raisers;
- Consider the relative benefits of centralization vs. decentralization. At the moment the University's budget is mostly in the hands of the colleges, with the understanding that those who are closer to the issues will make better decisions. However, this may be

part of the reason why the whole does not add up to the sum of its parts. The central administration requires funds so that it can move the University overall in the directions that are appropriate, and so that it can maintain a balance that may improve the overall quality of the entire institution;

- Consider the relative benefits of an entrepreneurial environment vs. a collaborative environment. Traditionally research, instruction, and outreach have been based on entrepreneurship, which appears to have been successful in times of expanding budgets. In these times, a greater balance may need to be achieved between field specific enterprises and wider collaboration.

Implications of This Report

A change is needed in the culture of the institution so that:

- Students recognize and take advantage of the opportunities of being in a student-centered research university;
- Faculty and administrators agree on reasonable time distributions for work;
- Staff and administrators must create procedures to facilitate the requirements of a student-centered research university.

Budget reallocations also will be required to maximize the availability of discovery and discovery processes to students.

Next Steps

The key findings of this study, which are summarized above and described in more detail in the subcommittee reports (Appendices B-G), must be discussed campus-wide and in our larger community. The result of this dialogue should be a plan that has a clear and consistent message from the University community about its mission and vision, on- and off-campus.

SPBAC will help develop and coordinate a plan of action in conjunction with relevant deans and vice-presidents, especially for 1998-99 and beyond. The strategic issues raised in these reports and the strategies to deal with them should be considered as budgets are developed, funds are reallocated, and the University's strategic plan is revised. The budget guidelines developed by SPBAC (Appendix H), must be evaluated annually. A progress report should be provided by SPBAC to the President's Cabinet and the Faculty Senate on an annual basis.

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Maintaining and Enhancing Excellence in Undergraduate Education

John Schwarz-Chair
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Maintaining and Improving the Quality of Graduate Education

Jerry Hogle-Chair
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Wendy Miley
Lyn Ragsdale
Michael Ray
Melinda Rivera
Kenneth Smith

Environment for Scholarship and Research

Judy Parrish-Chair
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Carol Bender
Suellen Crano
Mike Cusanovich
Bill Dixon
Bill Epstein
Robert Gonzalez (Greater Tucson Economic Council)
Nancy Parezo
Chestalene Pintozzi
Buddy Powell
Steve Villaescusa (Raytheon Corp.)
Peter Wierenga

Developing Resources for Sustained Excellence and Institutional Renewal

Gary Rhoades-Chair
Ken Brown
Doug Jones
Pat St. Germain
Saunie Taylor

Outreach Mission of the University

Andy Polk-Chair
Roger Caldwell
Richard Eribes
Carmen Garcia-Downing
Julieta Gonzalez
Pat St. Germain

Camous Life

Murray DeArmond-Chair
Cisco Aguilar
Phyllis Bannister
Sue Brichler
Nik Groesser
Patricia Hutton
Vern Lamplot
Mary Raphael
Kathy Sherrill
Gary Wagner

Report to: Faculty Senate

From: Wanda Howell, Chair, University-wide General Education Committee
Dennis Ray, Faculty Associate to the Vice President for Undergraduate Education

Date: April 20, 1998

Re: Update on the new University-wide General Education Curriculum

I. Projected Seats vs. Enrollments, 1988 Academic Year

The Center for Research on Undergraduate Education has provided estimates of the number of "seats" needed in the new curriculum for Fall 1998 and Spring, 1999. The model was built to predict the number of seats necessary to accommodate the students entering The University of Arizona in Fall, 1998. These students will be the first class under the new General Education Curriculum, and the predicted numbers should ensure that students can complete their requirements in a timely manner. The table below includes the projected number of seats needed in each curricular area, the estimated enrollment for the courses that have been approved by the University-wide General Education Committee, and the differences between projected and enrollment numbers.

Table comparing the projected number of seats and the proposed enrollments for the approved University-wide General Education courses in Fall 1998 and Spring 1999.							
	Curricular Area						
	Tier One			Tier Two			
Fall 1998	TRAD*	INDIV*	NATS*	HUM*	ARTS	NATS	INDV
	Fall 1998						
Projected	2619	2619	1929	222	213	186	173
Enroll.	3087	2563	3295	410	1491	380	1170
Diff.	+468	- 56	+1366	+188	+1278	+194	+997
	Spring 1999						
Projected	2451	2451	1812	312	299	257	238
Enroll.	2695	2829	1600	460	1168	330	1445
Diff.	+244	+378	-212	+148	+869	+73	+1207

*TRAD = Traditions and Cultures; INDV = Individuals and Societies; NATS = Natural Sciences; HUM = Humanities

There is a slight shortfall of seats (56) in Tier One Individuals and Societies for Fall, 1998. This is about 2% of the projected number of seats needed for this curricular area, and should not present a problem since many of these courses are in lecture halls of greater capacities than the number of seats submitted by the proposing faculty. With the agreement of faculty, this shortfall can be alleviated during registration. There is a larger shortfall of seats in the Natural Sciences for Spring, 1999. This may not remain a problem since several faculty members have indicated interest in submitting courses in this area by the July 15, 1998 deadline. If new Natural Sciences courses are not approved by the July 15 deadline, faculty of several existing courses have indicated that they could increase their enrollments as needed.

In the curricular areas where there are more seats approved than needed, the excess will be available to current students during Spring registration. Tier One and Tier Two courses have also been evaluated for placement into appropriate study areas in the current General Education Curriculum. In most cases, the seats in the new General Education Structure will not be open for registration until Freshman Orientation.

II. Deadlines

The deadlines for course submissions for inclusion in the new University-wide General Education Curriculum are as follows:

September, 15, 1998 for Summer, 1999
December, 15, 1998 for Fall, 1999

III. Upcoming Events

- **General Education Speaker Series.** Beginning Fall, 1998, this series is designed to bring prominent speakers to The University of Arizona for the entire campus community; and to allow for a common forum to be used by students in the Tier One University-wide General Education Curriculum.
- **General Education Abroad.** This program seeks to provide faculty and students with opportunities in General Education abroad. Cooperative arrangements have been discussed with Universities in Costa Rica and Great Britain. Francis Himes of the University Teaching Center chairs the advisory committee.

**REPORT TO THE FACULTY SENATE
COMMITTEE ON ACADEMIC FREEDOM AND TENURE
1997-98 Academic Year
Thomas C. Cetas, Chair**

CAFT Members:

Term ending 5/98:

Thomas Cetas, Chair, Radiation Oncology and Electrical and Computer Engineering
Jody Glittenberg, Nursing
Donna Iams, Gerontological Studies (retiring from the University)
Nina Janic, Music and Dance
Adrianne Lehrer, Linguistics
Jane Williams (deceased)

Term ending 5/99:

Nathan Buras, Vice Chair, Hydrology and Water Resources
Li-Zhi Fang, Physics
Shitala Mishra, Special Education and Rehabilitation
Hamid Saadatmanesh, Civil Engineering

Term ending 5/00:

Albrecht Classen, German Studies
Jeffrey Haskell, Music
Juan Heinrich, Aerospace and Mechanical Engineering
Allan Matthias, Soil, Water and Environmental Science

Term ending 5/01:

Victoria Mills, Library
Marek Rychlik, Mathematics
Edward Williams, Political Science
Amy Williamsen, Spanish and Portuguese

Ad Hoc:

Anne Baldwin, Physiology
Richard Cortner, Political Science
Alice Paul, Teaching and Teacher Education
Steven Goldman, Cardiology, VA and UA
Patricia Hoyer, Physiology
Philip Kanof, Psychiatry, VA and UA
Margaret Kidwell, Ecology and Evolutionary Biology
Gail Manke, Nursing
Alfred Quiroz, Art
Mark Smith, Chemistry
Leslie Tolbert, Neurobiology, ARL
Mary Wetzel, Psychology

Charge:

The Committee on Academic Freedom and Tenure shall have jurisdiction to make inquiry and to conduct hearings in two general areas, namely: in regard to those matters contained in the Conditions of Service dealing with the contractual employment relationship between the General Faculty member and the University/Board of Regents; and in regard to any internal matters relating to grievances against or by any member of the General Faculty. The Committee shall consider the protection of academic freedom and tenure as a principal obligation. (Constitution of the General Faculty of the University of Arizona, Art. V, Sect. 9b.).

Further, according the University Handbook for Appointed Personnel, second edition, 1995, section 2.13.09, the following excerpt is noted. *For purposes of this policy "misconduct" means (1) fabrication, falsification, plagiarism, or other serious deviations from accepted practice in proposing, conducting or disseminating the results of research, scholarship or creative endeavor, (2) material failure to comply with federal and other requirements for protecting researchers, human subjects and the public or for ensuring the welfare for laboratory animals; and (3) failure to meet other material legal requirements governing research, scholarship and creative endeavors.*

Cases Requiring Panels: (Six panels were formed. One case did not go to hearing and one case required two panels.)

1. P&T - five member panel formed - complainant died of stroke before hearing convened. Preliminary activity spanned at least three years before a formal procedure was initiated by CAFT.
2. P&T - heard before five member panel, case to be resolved shortly. Again preliminary complaints, appeals to administrators and reviews by the Committee on Conciliation (CoC) and especially the Office of Affirmative Action had all taken place.
3. Post tenure review dispute - issue regarding annual reviews and arbitrary administrative actions - heard before three member panel. Issue arose when new department head chose to pursue new direction for the department.
4. Scientific Misconduct - five, then seven, member investigatory panel formed to determine charges based "upon reason to believe misconduct occurred" resulting from preliminary inquiry by University Committee on Ethics and Commitment (UCEC). Upon formulation of charges, a second panel was convened to hear publicly the case presented by the first panel and defended by the respondent. Recommendations of the hearing panel have been forwarded to President Likens for his final decision.
5. P&T - five member panel formed, hearings underway. Again the issue has been around for some time and was subject to review by the Office of Affirmative Action. A decision was made by the Chair of the Faculty, the Chair of CAFT and the Chair of CoC to refer such cases directly to CAFT in the future rather than prolong the process by a pass through CoC.

Informal Actions: (All required two to several hours of discussion and counseling, mostly between the complainant and the Chair of CAFT and/or other "ombudsmen" such as the Chair of the Faculty. It is only after an initial interview or so that involvement of other CAFT faculty becomes appropriate.)

1. Dispute between two faculty members in a department which was referred to CAFT by the Dean of their College. Arbitrated privately by the CAFT chair; the resolution was signed by the

disputing parties and was accepted by Dean and Department Head. Resolution document is held in confidential CAFT files only.

2. Dispute between a demoted department head and his Dean. The issue was negotiated by the CAFT chair, members of the UA Attorney's Office and by the principal parties. No final results were communicated to CAFT and the issue is presumed to be resolved.

3. Dispute between a faculty member and his research center director involving duties and "hard money" support. The CAFT chair expressed interest. The College involved choose not to open the issue for precedent, but chose to negotiate an agreement with the faculty member. There was significant involvement of the Chair of the Faculty and University Attorneys.

4. Dispute between a teaching faculty member and his department and Dean. After a long discussion, he was referred to the Committee on Conciliation who helped parties arrive at an acceptable resolution. Kudos to CoC!

5. Three other faculty complaints on failure to achieve promotion and tenure. Counsel and discussion by CAFT chair with complainants. In the end, the complainants choose not to further pursue their matters - or at least, they did not come back to CAFT.

6. Issue regarding a dispute over a negotiated compensation contract between a former department head (who, several years ago, was forced to step down and became a part time faculty member) and his college and department. The issue determined to be a matter of contract outside the purview of CAFT. Court action is underway.

7. Issue involving the dismissal of a faculty member from Arizona International University. It was resolved by negotiation mediated by the Chair of the Faculty. Uncertainty arose over whether CAFT had jurisdiction and from where appropriate, unconflicted counsel could be found to advise CAFT.

Other Matters:

1. Discussions between the Chairs of CAFT and Conciliation, Chair of the Faculty and the Director of Affirmative Action led to the working decision to refer all matters regarding failure to attain promotion and tenure directly to CAFT without prior referral to the Committee on Conciliation. The decision was based upon ambiguity and inconsistency in the various guideline documents (ABOR, UHAP, Faculty Bylaws) regarding jurisdiction and the fact that a complainant would have already had been through several panel reviews. Conciliation was deemed to be impossible at this late stage and so referral to CoC merely results in an unnecessary delay to due process. Issues for CAFT are to be based on whether there existed a lack of due process in the P&T review or perhaps peripheral, inappropriate issues were influential in the review. The merits of the complainant's case for tenure were not to be considered by CAFT. The presumed outcome in most such cases, if the complainant prevailed, would be an additional year of employment and an additional independent review of the tenure decision on its merits. Determination of policy in this regard is referred to the Senate for final resolution.

2. Lack of long term "CAFT" memory is a problem with regard to understanding and interpreting regulations and precedent. A strength of CAFT is its intense faculty participation and continually rotating leadership. This policy keeps CAFT from becoming institutionalized and bureaucratized. The negative aspect of this feature of continual renewal is that each year a new Chair must learn, from scratch, the regulations and determine how to interpret them. Hence it is very difficult to speak with authority to faculty members who come for help, especially at the

beginning of the term of the new Chair. An example of the difficulty related to case mentioned above regarding the AIC. Others came up as well. The University Attorney's Office should have an attorney to advise the CAFT Chair and perhaps others to assist or advise panel chairs when multiple cases are underway simultaneously.

The role of University Attorney's Office is perceived as first to defend and advise the University. This is interpreted usually by the UAO to advise, represent and defend the Administration. Such an interpretation is reasonable when the challenge is from outside the University. Until such time, it is more reasonable that the Attorney's office not assume a role of advisor or advocate to a Department Head or Dean in a dispute. The faculty member frequently seeks outside legal counsel in such matters. It is appropriate for a Department Head to receive support for legal advice, but this counsel should be from an outside attorney, not conflicted with interpreting policy to University committees. The converse, that of having an outside attorney serve as interpreter of ABOR and University policies to University committees, seems far less reasonable and less stable with respect to providing the long term memory for the committee.

3. The process of dealing with cases involving allegations of scientific misconduct must be modified. The nature of such a case is that whistleblowers bring forth accusations that something is wrong. But these are not fully developed charges as would be expected from a complainant with a grievance. Rather, the whistleblower is referred to UCEC, a committee which performs an informal inquiry to determine if a full investigation is warranted. If it is warranted, the question arises as to whom should conduct the investigation. It is appropriate that a CAFT panel hear the case presented by the investigators and report to the President of the University. That is well within the defined guidelines of the CAFT. An investigation of scientific misconduct requires several features. First, there must be professional guidance in carrying out investigations. Faculty members do not have training or experience, in general, in these investigations. On the other hand, it is essential that faculty with special expertise in areas close to the scientific field of the respondent be part of the investigation in order to understand and determine whether fabrication, falsification or plagiarism occurred. In the case this year, a CAFT panel was formed with the goal of being able to do both, but it became apparent during the course of the proceedings that a second adjudicatory panel would be necessary. It is appropriate that the Faculty Senate revise the written procedures so that when another case comes forward, these two separate functions - investigation with its attendant formulation of charges and adjudication with the responsibility of advising the President - be in place and recognized from the beginning.

Regarding the investigation, both elements are necessary - legal guidance and experience in conducting investigations and faculty participation with relevant scientific expertise. The question lies in where the authority and responsibility for the investigation should reside. One course is to place it under the Research Integrity Officer within the Administration. Another is to form an ad hoc faculty committee under the auspices of the Faculty Chair or Faculty Senate with advice and counsel to be provided by the University Attorneys Office.

4. Finally, it was noticed that some departments (colleges) have more problems than others. Does this arise from the lack of administrative skills of the Department Head and/or Dean? Are some faculty and faculty disciplines particularly contentious? Or is this just another reflection of

the cluster phenomenon in statistics? Clearly none of us want as our chiefs professional administrators who lack qualifications in our disciplines. But scholarship does not necessarily beget administrative ability nor does scholarliness necessarily preclude enlightened administration. Attitude seems to be important here, both in the chiefs and the laborers - in Department Heads and the faculty.

**UNIVERSITY OF ARIZONA
COMMITTEE OF ELEVEN
ANNUAL REPORT
1997-98**

Membership:

Dr. Lawrence Aleamoni, Special Education & Rehabilitation, Chair
Dr. Marlys Witte, Surgery, Vice Chair
Dr. Roger Caldwell, College of Agriculture
Ms. Laura Casper, Undergraduate Student Representative
Mr. Rick Emrich, Graduate Student Representative
Dr. Billie Raye Erlings, Music
Dr. Robert Feltham, Chemistry
Dr. J. D. Garcia, Physics
Dr. Jody Glittenberg, Nursing
Dr. Susan Heckler, Marketing
Dr. Jerry Hogle, English, Chair of the Faculty
Dr. Donald Myers, Mathematics
Mr. Andrew Silverman, Law

Meetings

The Committee met on alternate Friday afternoons, with adjustments made due to holidays or meetings of the Arizona Board of Regents. Guests included Dr. Thomas Davis, President Peter Likins, Dr. Joaquin Ruiz, Dr. Roy Emrick, Dr. Robert Sankey, Professor. Libbie Ervin, Dr. Larry Schooley, Dr. Betty Atwater, Mr. Tim Troy, Dr. Peter Medine, Mr. John Wilson, Mr. Dick Roberts, Mr. Tom Wickenden, Dr. Michael Gottfredson and Mr. Bruce Wright.

Major Activities

Representatives of the Committee participated in the continuing review and shared governance work on the Academic Personnel Policy Committee.

The Committee was represented by the Chair on the Arizona Faculties Council, which met at each Regents meeting, sometimes with the chief academic officers of the universities, on the subject of continuing review, faculty workload, teaching incentive program, etc. The Committee also was represented by the Chair on the Executive Committee of the Faculty Senate and President's Advisory Council.

The Committee discussed the document entitled "Role of the Committee of Eleven," designed to build upon its historical position as an independent, faculty-wide elected body to study issues, illuminate problems, and propose solutions for the betterment of the University community. The Committee then generated two documents: "The University of Arizona Committee of Eleven" and "Committee of Eleven Operating Guidelines." A homepage (w3.arizona.edu/~c11/) was also generated for the Committee of Eleven with the first document on it.

The Committee sent an outreach letter to the campus community to encourage departments to interact with the Committee of Eleven.

The Committee discussed the topics of continuing review, Science/Technology Park, salaries, budget, faculty workload, administrative costs, undergraduate education, K-12 accreditation, and the core curriculum with the invited guests.

The Committee also discussed the topic of Distributed Learning and identified three areas to explore during 1998-99: 1) how is faculty time applied and measured; 2) definition and application of intellectual property; and 3) what are the risks of changing too fast or too slow toward the new learning environments.

The Committee organized and conducted three focus groups with diverse faculty representation. The purpose was to identify issues of importance to the faculty regarding the work environment at the University and their perceptions of faculty governance. The information collected in these groups is being summarized and the summary report will be posted on the Committee of Eleven webpage. The report will also be used to support future activities of the Committee of Eleven.

Conflict of Interest and Commitment Policy

Key:

1. Changes as submitted to Faculty Senate (Copy Distributed):
~~remove this text~~.....**add this text**
2. Additional Proposed Changes (mostly “cosmetic”) 4/3—4/27/98
~~remove this text~~.....**add this text**

Senate President
4/27/98

REVISED DRAFT 3/25/98 (additional grammatical/format revisions 4/27/98)
FOR DISCUSSION & VOTE on 4/27

INTERIM UNIVERSITY OF ARIZONA

**CONFLICT OF INTEREST
AND COMMITMENT POLICY**

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CONFLICT OF INTEREST AND COMMITMENT POLICY

I. INTRODUCTION

Employees of the University must be aware that outside obligations, financial interests or other employment may result in a conflict of interest or commitment **and could therefore** affect the objectivity of employees' decisions and the effectiveness of their performance. It is the purpose of this Policy to set forth the principles for identifying potential conflicts and the procedures for reviewing and addressing conflicts that occur. This Policy covers all University employees.

Nothing in this Policy restricts faculty members from choosing the subject matter of their research, scholarly work or other activities, subject to the budgetary and programmatic constraints of the unit and the University in any given year. **Similarly, ~~Not~~ is this Policy is not** intended to limit the types of external activities or business transactions of University employees as long as those activities do not present conflicts of interest and commitment.

II. CONFLICT OF INTEREST DEFINED

A. UNIVERSITY POLICY

A conflict of interest exists when an employee is in a position to influence any University business transaction, research activity or other decisions in ways that could lead to any manner or form of personal gain for the employee, other than salary from the University, regardless of source, or for his/her family members.

This Policy incorporates all policies and procedures set forth in the: *Arizona Board of Regents (ABOR) Policy Manual*, *University Handbook for Appointed Personnel (UHAP)*, *Classified Staff Personnel Policy Manual*, Arizona Conflict of Interest statute (ARS § 38-501, et seq.), and all applicable federal laws and regulations. Use of this policy does not preclude the use of any other departmental, unit, University or ABOR policy to address these issues, including but not limited to the grievance procedures involving the Committee on Academic Freedom & Tenure (CAFT), Section 6, UHAP. However, these alternatives cannot be used to avoid compliance with the Policy.

B. STATE AND FEDERAL LAW

Under the Arizona Conflict of Interest statute, employees must disclose in writing to the University any substantial interest, as defined in this Policy (**see Sec IV #18,21**), they or their close relatives have in dealing with the University and refrain from voting upon or participating in any decision in which the employee or his/her relative has a substantial interest. Under the statute there are also instances in which employees may need to submit a Disclosure of Substantial Interest form to ABOR.

Federal law and grant regulations ~~now~~ require assurances from recipient institutions that their conflict policies are in force, will be utilized and that records as to employee activities are maintained. In reviewing University records, Federal agencies may **not agree with the decision of the University concerning this matter.** ~~find conflicts, even though the University reached a different conclusion.~~ Copies of applicable federal policies are available through Sponsored Projects and in the offices of academic units.

III. CONFLICT OF COMMITMENT DEFINED

A conflict of commitment is an activity that interferes with an employee's ability to carry out his/her duties effectively. External employment, or self-employment in an employee's profession or specialty, is permitted where there is not a conflict of interest or commitment. Employees on full-time appointment are compensated for full-time employment and outside or dual employment or other activity, whether compensated or not, that in any way interferes with the performance of an employee's University duties and responsibilities is a conflict of commitment and as such is not permitted.

Conflicts of interest and commitment do not include ~~standard, external,~~ professional and academic activities such as: site visits, academic panels, promotion and tenure activities, program reviews, ~~faculty~~ recruiting, journal editing, attendance or preparations for conferences or other professional activities. **Such activities are considered to be integral to the employee's professional standing and public service commitments and hence are encouraged.**

IV. DEFINITIONS

1. **Administrators:** Employees of the University whose Notice of Appointment incorporates the ABOR Conditions of Administrative Service as the conditions of their employment.

2. **Appeal:** A process of requesting a re-evaluation of a conflict determination by ~~from higher authority~~ a panel (under this policy, a panel of three, consisting of the **elected Committee on Ethics & Commitment**, the Vice President for Research, the Senior Vice President for Business Affairs, and the Provost) ~~subsequent to a~~ after the decision by of the Vice President for Research or the Senior Vice President for Business Affairs, ~~has having~~ been delivered to the employee. **The determination of this panel may be further appealed to the President, whose decision shall be final.**
3. **Appeals Process:** All appeals must be in writing, include documents related to the case and be submitted to the ~~panel~~ parties **listed in paragraph 2 above.** ~~stated in this Policy. The determination of the panel referenced above is final.~~
4. **Appointed Personnel:** All employees with a Notice of Appointment including administrators, faculty, academic and service professionals and graduate assistants and associates.
5. **Business Transactions:** Covers all business transactions involving the University and/or ABOR for the University, except sponsored research. For forms and procedures, contact the Associate Vice President for Business Affairs.
6. **Classified Staff:** All employees whose positions are classified under the Arizona Universities Personnel System (AUPS) and who are either regular classified staff, part-time classified staff or temporary classified staff.
7. **Committee on Academic Freedom & Tenure (CAFT):** The faculty committee that hears grievances under Section 6 of UHAP and which can be utilized in a parallel procedure by faculty who are involved in assertions of non-compliance under this Policy.
8. **Conflict of Interest and Commitment Disclosure Form (Disclosure Form):** The university form to be completed containing information about an employee's "substantial interest," as defined in this Policy. "Conflicts" as used in the Policy refers to both conflicts of interest and commitment.
9. **Consulting:** External, professional activities including, but not limited to, any activity that: (1) is performed on an individual contractual basis for any individual, firm or agency other than the University of Arizona; (2) is based upon one's professional knowledge, experience and abilities; and (3) is undertaken for personal gain beyond the payment of a nominal honorarium and/or reimbursement for expenses.
10. **Employees:** All paid members of the University community including faculty, appointed personnel, classified staff and student employees, whether full-time, part-time or contract employees.

11. **Faculty:** Employees who are responsible for and whose performance evaluations are based primarily on the teaching, research and public service goals and objectives of the University.
12. **Financial Data:** Financial data describes the type of information reported on the Disclosure Form for any interests that are not "Remote Interests" under Arizona law. It includes, but is not limited to, anything of monetary value excluding reimbursed expenses. The data required includes, but is not limited to, salary, payment for services, consulting fees, honoraria, stocks, stock options, warrants, patents, copyrights, trade secrets, future rights, in-kind remuneration, gifts, debts or other financial benefit. Disclosures of financial interest may include data on an employee's family and business associates, if the individual(s) is doing business with the University.
13. **Institutional Review Committee (IRC):** The IRC shall review the Disclosure Form, and other matters as set forth in this Policy. The seven members shall be appointed by the President and include: three tenured faculty nominated by the **Chairperson of the Faculty Senate and elected by the Faculty Senate** (two of whom must have scientific or technical training), one college-level administrator, one appointed personnel who is not faculty, one member of the classified staff, and one person with the appropriate background who is not affiliated with the University. **In addition, this group shall have one representative from the Office of Technology Transfer and representative from the University Attorney's Office** ~~UA Legal Office to act in an advisory capacity.~~ The presence of any four members, two of whom shall have scientific or technical training, shall constitute a quorum. ~~An attorney from the University Attorneys' Office shall serve in an advisory capacity.~~
14. **Office of the Vice President for Research (OVPR):** The OVPR acts as staff to the IRC and maintains conflicts forms, files, and a database on all potential and actual conflicts, allegations of non-compliance and sanctions, in keeping with federal requirements.
15. **Principal Investigator (PI):** The principal investigator is the individual who has decision-making responsibilities for the design, conduct, evaluation, monitoring, expenditure of funds and reporting of a sponsored research project at the University. PI includes any co-principal investigators.
16. **Provost:** The Provost and Senior Vice President for Academic Affairs as a member of the three-person panel shall consider appeals under this Policy. The Provost may delegate resolution of any matter hereunder if unavailable or unable to review the matter impartially.
17. **Relatives:** ~~Relatives are as defined under ABOR Policy 6-704 and ARS §38-502 . and include spouse, and children, grandchildren, parents, grandparents, brothers, sisters, and all half, step and in-law relations in these categories. For purposes of personnel decisions the definition of relative also includes great-grandparents, great-grandchildren, aunts, uncles, nieces and nephews.~~

18. **Remote Interest**: A remote interest as defined in ~~the Arizona Revised Statutes~~ ARS § 38-502, ~~et. seq.~~ is any of the following. Under this Policy employees do not have to disclose remote interests.

- a. Any interest or income less than a monetary value of \$10,000 **annually** (Federal standard);
- b. A nonsalaried officer of a nonprofit corporation;
- c. Landlord or tenant of a contracting party;
- d. Attorney of a contracting party;
- e. Member of a nonprofit cooperative marketing association;
- f. Ownership of less than 3 percent of the shares of a for-profit corporation from which the dividend income **to the employee does not exceed five percent of the employee's total annual income** ~~or \$10,000 annually~~ the ~~person's total family income~~, and other payments from the corporation to the ~~person~~ **employee** do not exceed an additional 5 percent of the ~~person's total family~~ employee's annual income ~~in accord with~~ (see §ARS 38-502);
- g. Reimbursement for actual and necessary expenses incurred in the performance of official duties;
- h. Recipient of public services generally available to the public;
- i. A public officer or employee of another public agency unless the action of that agency would confer a direct economic benefit or detriment upon the employee or the employee's family;
- j. Member of a trade, business, occupation, or professional association or class of persons whose interest is no greater than the interest of any other members of that or similar groups (see ARS §38-502);
- k. Gifts, in cash or in kind, of no more than \$400.00, in any year, from any entity doing business with the University.

19. **Senior Vice President for Business Affairs (SVPBA)**: The SVPBA is charged with reviewing allegations of non-compliance for all classified staff under Section VII of this Policy. The SVPBA may delegate resolution of any matter hereunder if unavailable or unable to review the matter impartially.
20. **Sponsored Activities**: Academic, research or educational programs funded by any outside source or entity including: government, for-profit, or not-for-profit entities.
21. **Substantial Interest**: Any pecuniary or proprietary interest, either direct or indirect, other than a remote interest (see ARS §38-502).
22. **University Attorneys' Office (UAO)**: UAO shall advise unit heads and administrators as to implementation and interpretation of this Policy. A member of UAO shall serve in an advisory capacity to the IRC.

23. **University Committee on Ethics and Commitment (UCEC)**: The committee that deals with questions of fraud in research, conflict of commitment, and facilities misuse.
24. **University Handbook for Appointed Personnel (UHAP)**: UHAP contains University policies applicable to faculty and appointed personnel.
25. **Vice President for Research (VPR)**: The VPR is responsible for monitoring all Sponsored Activities under federal and state law and shall make certain decisions under this Policy. The VPR may delegate resolution of any matter hereunder if unavailable or unable to review the matter impartially.

V. REPORTING POTENTIAL OR ACTUAL CONFLICTS

The Disclosure Form must be completed and submitted any time an employee or the employee's relative: (1) is or may be involved in an activity covered in Section VI; (2) has or may have a substantial interest as defined in this Policy; or, (3) is involved in any actual or potential conflict of commitment or interest which involves remunerative, part-time or full-time employment, self-employment, consulting or advising, whether or not done on University premises or during University business hours and even if for a not-for-profit or government entity.

This Policy establishes a process which is self-identifying. However, third parties may report alleged conflicts, in writing, to their supervisor, IRC or OVPR, if an employee fails to do so or do so adequately. Reports by a third party shall be held in confidence by the recipient.

VI. PROCEDURES

- A. There are three types of transactions:
 1. **Business Transactions** involving any contracts not based on a sponsored activity.
 2. **Personnel Transactions** concerning appointment, retention, promotion or compensation of a relative or responsibility for managing or evaluating the work of a relative.

3. **Sponsored Transactions** cover participation by an employee in sponsored activities which includes but is not limited to research, training, testing, clinical trials, patient care or services provided to the University in connection with sponsored activities in the form of : grants, contracts, and gifts from any government agency or unit, for profit, or not-for-profit entity.

B. Disclosures for any of the above transactions will be routed as follows depending upon the employment status of the employee:

1. Classified staff members will submit Disclosure Forms to the Associate Vice President for Business Affairs.
2. Faculty, Appointed Personnel, and students will submit Disclosure Forms to the Associate Vice President for Research.

C. The process by which Conflict of Interest and Conflict of Commitment reviews will take place is as follows:

1. When submitting a Proposal Routing Sheet for Sponsored Activities, the PI **shall initial the box stating "I read, understand and will abide by the University of Arizona Policy on Conflict of Interest and Commitment"**. ~~must indicate whether an actual or potential conflict exists by checking the appropriate space under approvals.~~ Copies of the Policy are available at the Faculty Center, at departmental offices as indicated on the disclosure form, and will be posted on the VPR's web site.
2. ~~If the employee checks "does"~~ **When an employee indicates, on the Proposal Routing Sheet, the existence (or potential existence) of conflict of interest and/or commitment,** the employee shall complete the Conflict of Interest Disclosure form, place it in a sealed envelope with any supporting documentation, mark it confidential and forward it to the appropriate office.
3. The routing of material for Sponsored Activities will continue according to University and sponsor requirements but if a conflict is found commencement of funded activity will proceed only after the adjustment of the conflict.
4. The OVPR or the OSVPBA shall review all disclosures and forward them to the IRC. If the IRC determines that no conflict exists, it shall notify the employee in writing.
5. If the IRC determines that a conflict does exist, it shall notify the employee in writing and allow the employee to provide it with information and present the matter before a quorum of the IRC. At the employee's request the IRC meeting may be open to the public.

If the matter is not resolved using No. 5 above, the IRC shall recommend one or more of the following to the VPR or the SVPBA: the proposal be: (1) directed to be revised in a manner that results in compliance; or (2) granted an exemption by ABOR under ARS 15-1635.01(B); (3) any other resolution which results in compliance with this policy by both the institution and the employee. The recommendations shall be in writing and a copy sent to the employee.

7. The VPR or the SVPBA shall review the recommendations of the IRC and decide on the appropriate course of action, including, but not limited to the options set forth in No. 6 above. The employee may present materials to and meet with the VPR or the SVPBA whose decision shall be in writing with copies sent to the employee and IRC.
8. The employee may appeal the Vice President's decision to the Provost who shall convene a meeting of the **appeals panel consisting of the elected Committee on Ethics & Commitment**, the Vice President for Research, the Senior Vice President for Business Affairs, **and the Provost** ~~and the three of them who~~ will evaluate all of the materials presented and allow the employee a chance to present the case in person **and with the assistance of counsel or ombudsperson of the employee's choice**. This Panel's review is limited to approving the respective Vice President's decision or referring it back to the respective Vice President for further consideration. **After reconsideration by the respective Vice President, the employee may further appeal that decision to the President, whose decision shall be final.**

D. CONSULTING and OUTSIDE EMPLOYMENT: FULL-TIME EMPLOYEES.

Conflicts of interest and commitment do not include ~~standard, external~~, professional and academic activities which are uncompensated (**or include** only a minimal honorarium), such as: site visits, academic panels, promotion and tenure activities, program reviews, ~~faculty~~ recruiting, journal editing, attendance at or preparations for conferences or other professional activities.

1. All consulting or outside employment whose income is likely to **exceed the limits defined as Remote Interest (Section IV; #18)** must be reported to the employee's supervisor before engaging in such activity. **All such activities must be approved by the employee's supervisor** ~~University annually and approved by an employee's supervisor~~. By November 1st each year, full-time employees shall provide a written summary of these activities to their supervisor for approval. ~~Employees with no outside employment or consulting must so indicate, in writing, to their supervisors.~~ This information must be updated if the facts change during the year.

2. **Supervisors shall forward all reports (paragraph 1 above) to the unit head who shall then** ~~Unit heads shall forward the reports from No. 1 (section D, 1 above)~~ to the dean, director or vice president. Reports from academic units shall also be sent to OVPR for record keeping.
3. If the unit head ~~rejects~~ **fails to approve** any reported activity under this Section, the employee may request that the matter be reviewed by the IRC.
4. **If there is evidence to suggest that a conflict may exist, a supervisor shall discuss the issue with the employee in order to seek resolution of the matter.**
5. If an employee requests review of a decision on consulting or outside employment, the IRC, shall follow the procedures set forth in Article VI, Section C of this Policy.

E. CONSULTING and OUTSIDE EMPLOYMENT: PART-TIME EMPLOYEES

1. Part-time employees are required to disclose to their supervisors ~~need not disclose all outside activities to their supervisors, but must report those which may result in a conflict of interest or commitment.~~
2. **If there is evidence to suggest that a conflict may exist, a supervisor shall discuss the issue with the employee in order to seek resolution of the matter.** ~~If an employee has not made a disclosure of outside employment or consulting, but the supervisor is concerned that the employee may have a conflict, the supervisor may require the employee to disclose the outside activity.~~
3. ~~Following disclosure, the supervisor shall meet with the employee to review the matter and shall then make a determination as to whether a conflict exists and suggest corrective action to resolve the matter and, if requested present the decision to the employee in writing.~~
4. **If the unit head fails to approve any reported activity under this section, the employee may request that the matter be reviewed by the IRC. The employee may appeal the supervisor's decision to the administrator to whom the supervisor reports. This appeal is final.**

F. SPONSORED RESEARCH: COMPLIANCE BY CONSULTANTS

1. In compliance with federal regulations, the University will ensure that outside parties, whether not-for-profit or for-profit, consulting to or participating in the University's federally funded sponsored activities agree to be bound by this Policy, or similar policies of their own institutions, and not engage in conflicts of interest as defined in the applicable regulations.

2. It is the responsibility of the employee to provide consultants with copies of this Policy and report their compliance to the funding agencies and the Office of Sponsored Projects Services. The determination as to unacceptable conflicts for outside participants rests with the funding agency.

VII. SANCTIONS FOR NON-COMPLIANCE

A. DEFINITION OF NON-COMPLIANCE

1. Non-compliance includes, but is not limited to, failure to: (1) comply with this Policy, (2) report accurately on the Disclosure Form, (3) comply with decisions under the Policy. Other actions may be deemed non-compliance at the discretion of the administrator or committee involved. Non-compliance may result in disciplinary action, up to and including termination from employment.

B. REPORTING OF NON-COMPLIANCE

1. Any employee may make an allegation of non-compliance to the IRC. All allegations must be in writing and shall be treated as confidential.

C. PROCEDURES FOR REVIEW OF ALLEGED NON-COMPLIANCE

1. The IRC shall provide the employee subject to the allegation with an anonymous copy of the charge. The employee shall have an opportunity to present materials **with the aid of counsel at employee's choice** and meet with the committee. Proceedings of the IRC are confidential.
2. If the IRC finds no violation, it shall so inform the employee in writing, and provide a copy of the finding to the VPR or SVPBA.
3. If the IRC finds either non-compliance with this Policy or a decision of the VPR or SVPBA, it shall make a written finding and send it to the employee and the VPR or SVPBA.
4. The VPR or the SVPBA shall give the employee an opportunity to present materials and meet with the VPR or SVPBA and then consider the finding of the IRC, determine the proper remedy to correct the situation or begin the process to impose sanctions as set forth in Subsection D below. The VPR or SVPBA shall notify the employee in writing of the decision.
5. An employee may appeal the decision of ~~either the VPR or the SVPBA or the IRC~~ to the Provost. The Provost shall call a meeting with the VPR and SVPBA and the Committee of Ethics and Commitment to re-evaluate

~~three person panel may either affirm the decision of the VPR or SVPBA or the IRC send the matter back for reconsideration. The decision of the panel is final. The decision of this panel will be presented to the President for a final decision.~~
After reconsideration by this panel, the employee may appeal that decision to the President, whose decision shall be final.

D. SANCTIONS

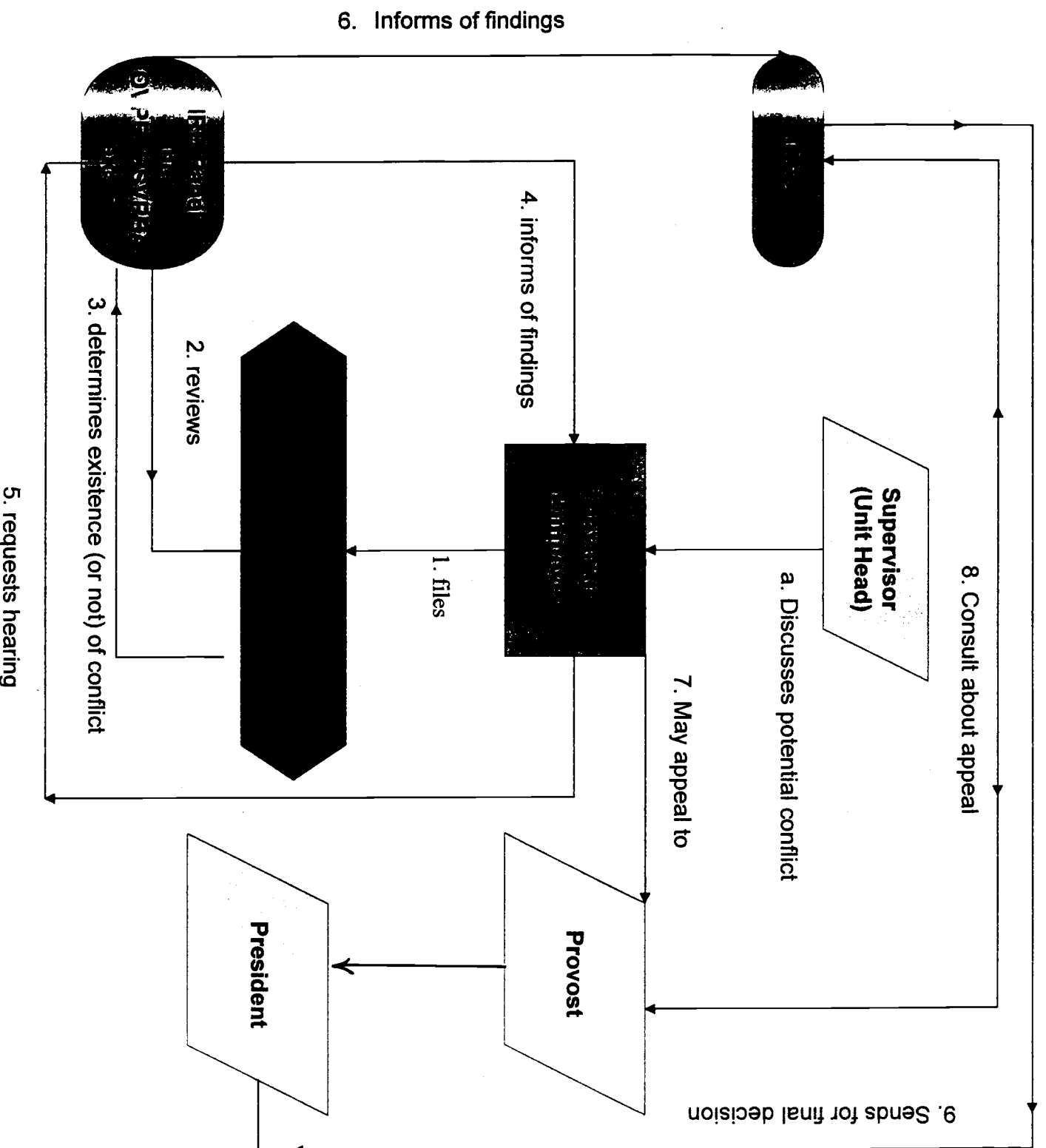
1. Both the procedures for imposing sanctions and the sanctions used shall be governed by existing ABOR and University policies and procedures and state law, if applicable.
2. Violations of this Policy relating to participation in sponsored research shall also be reported to the employee's funding agency, if applicable. Any penalties imposed by an external funding agency shall be deemed separate from any imposed by the University or ABOR.

Attachments

- 1. Revised Proposal Routing Sheet**
- 2. Revised Disclosure Form**
- 3. Summary of Procedures and Appeals Flow Chart**

uaconf422.doc/rpc/
RPC COM rev 4/22/98
Further revisions (grammatical) 4/27/98

Summary of Procedures and Appeals: Conflict of Interest & Commitment Policy
(revised draft of 3/25/98)



UNIVERSITY OF ARIZONA
Conflict of Interest Disclosure
See Instructions on Reverse Side. UA Policy Attached

DRAFT

Name: _____

Date: _____

Department: _____

TEL: _____

Campus Address: _____

Email: _____

A. Provide a full description of any potential/actual. Consult the University Policy for definitions and terms.

B. If your responsibilities or commitment (teaching, research, clinical, other) with the University are affected by an outside interest, please explain.

C. If your substantial interest is with a company or other entity, provide:

Name of Organization: _____

Description of Business Activity: _____

Address: _____

Contact Person: _____

Telephone: _____

D. If your activities, in this regard, involve students, post doctoral fellows, or other trainees or employees, provide the following information:

Name of individual(s): _____

Description of Activity: _____

Location of Activity: _____

SIGNATURE: _____ Date: _____

ORIGINAL TO: ASSOC. V.P.R, ADMIN 601 (FOR APPOINTED PERSONNEL & STUDENTS)
COPY TO: ASSOC. V.P. FOR D.A. ADMIN 610 (FOR CLASSIFIED STAFF)
EMPLOYEE'S SUPERVISOR

Instruction and Curriculum Policy Committee
Proposals for possible Faculty Senate action on May 4, 1998

New Programs:

MS in Mexican American Studies offered by the Mexican American Studies Research Center
Master of Engineering Degree with collaboration among UA, ASU and NAU

Approvals: Graduate Council 3/27/98
ICPC 4/21/98

Policy change related to grade replacement opportunities in honors courses.

Problem: Some courses have honors sections which are open only to honors students and have regular sections which are open to all students. Suppose an honors student takes an honors course and subsequently decides to use the Grade Replacement Opportunity to retake the non-honors section of the course. Is the nonhonors course truly the same course so that GRO should apply?

Proposal: Honors courses can only have the Grade Replacement Opportunity with the same honors course. Petitioning for a variation in this policy is not available. Policy will go into effect Fall Semester of 1998.

Approvals: Undergraduate Council 1/20/98,
ICPC 3/25/98.

Request by Physics, Chemistry and Mathematics Departments for exceptions to minor requirements.

Current Policy: As a result of Faculty Senate action taken April 7, 1997, minors can be offered only by academic departments. As a result, minors must be discipline-based, contain no fewer than 18 units of which a minimum of 9 must be upper division. (Faculty Senate Minutes 4/7/97)

Problem: In some technical disciplines, minors require substantial prerequisites so that the 18 unit minor requirement does not allow for a suitable number of upper division courses. The requested exceptions are:

Physics minor: complete one of the following sequences:

151-152-251-252, 141-142-241-242, 141H-142H-241H-242H, 131-181-132-182-242 plus 6 units of upper division physics courses.

Teaching minor in physics: complete one of the following sequences:

151-152-251-252, 141-142-241-242, 141H-142H-241H-242H, 131-181-132-182-242 plus 433 and 3 units of upper division physics courses.

Chemistry: Complete 16 units of lower division course work in general and organic chemistry. Requiring 9 upper division units raises the chemistry minor to at least 25 units.

Mathematics: complete 15 units of mathematics, chosen from the following courses: 125b, 215, 223, 243, 254, and upper division course except 301. Requiring 15 units is justified by the fact that the courses in the minor begin with 125b, second semester calculus. Calculus I can be obtained in a three unit or a 5 unit course.

Proposal: Accept these variations in the requirements for a minor effective fall 1998.

Approvals: Undergraduate Council 1/20/98,
ICPC 3/24/98.

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MEMORANDUM

April 21, 1998

To: Faculty Senate
From: Academic Personnel Policy Committee
Subject: Annual Performance Evaluation
Clarification of the Performance Improvement Plan

Last spring, following the approval by each of the three Arizona universities of their respective Annual Performance Review/Post-Tenure Review policies, a "Common Elements Document" was prepared by the Arizona Board of Regents (ABOR) staff and the Arizona Faculties Council (AFC). During the summer of 1997, the ABOR central office staff reviewed the procedures developed by each campus for implementing the Board policy on post-tenure review, as called for in the Common Elements document.

The accompanying letter from Tom Wickenden, ABOR Associate Executive Director for Academic and Student Affairs, identified a few of the Common Elements that were not explicitly mentioned in the University of Arizona post-tenure review policy. Subsequently, three of the five items listed in Tom Wickenden's letter have been addressed and resolved. Resolution of the remaining two items (#3 and #4) is proposed in this memorandum.

(Note: The University of Arizona policy on 'Annual Performance Review' can be found in Chapter 3, Section 10 of the University Handbook on Appointed Personnel - UHAP - which is located at the following web address: <http://w3.arizona.edu/~uhap/chap3.html#3.10>.)

The UA responses to items #3 and #4 listed in Tom Wickenden's letter are presented on the following page. These items refer to aspects of the Performance Improvement Plan (PIP) found in UHAP 3:10:04. In essence, these two items can be resolved in the manner listed below.

- #3 - The original statement, item "b" in this section of UHAP, seems to adequately cover the concern raised in Wickenden's letter. Even if a period of 145 days is allowed, implementation of a PIP can begin *during* the semester following the overall unsatisfactory evaluation.
- #4 - The first two items in the original list have now been presented separately, as mandated components of a PIP, in item "e" of this section of UHAP. The remaining items have been retained and labeled as part "f".

UA Response to Wickenden items #3 and #4

From UHAP 3.10.04 (2).....

The Performance Improvement Plan: When the annual review of a tenured faculty member results in an overall unsatisfactory performance rating, upheld in the enhanced review process, or if a tenured faculty member fails to achieve a satisfactory outcome in a Faculty Development Plan, a Performance Improvement Plan will be developed. The objective of the plan will be to enable the faculty member to resume his or her place as a fully contributing member of the faculty. The faculty member must take responsibility for helping to develop and for following the Performance Improvement Plan.

a. Within 45 days of the rating or outcome, the Performance Improvement Plan will be developed by the faculty member, the unit head, and the unit peer committee, with approval of the dean.

3

→ b. The Performance Improvement Plan shall be implemented no later than the semester following the overall unsatisfactory evaluation.

c. The plan must state reasonable expectations and may involve an altered mix of job responsibilities.

d. The university will make reasonable efforts to provide appropriate resources to facilitate the plan's implementation and success.

insert new "e" here:

e. The Performance Improvement Plan must include:

- a description of specific deficiencies
- a list of reasonable outcomes needed to correct deficiencies

4

e. f. Depending upon facts and circumstances, the improvement plan might *also* include the following:

- the process to be followed to achieve outcomes
- the timeline for accomplishing the process, including annual or
- more frequent benchmarks
- the criteria to be used in evaluating progress in the plan
- the resources needed to facilitate the plan

f. The faculty member's performance within the context of the improvement plan must be evaluated as early as possible and no later than one year after the plan is put into effect. This special evaluation will be carried out by the unit head and the elected peer review committee in place at the time of the evaluation, and approved by the dean.

g. The improvement plan will stay in effect until performance returns to a.....

**ARIZONA BOARD OF REGENTS**

2020 NORTH CENTRAL, SUITE 230
PHOENIX, ARIZONA 85004-4593
(602) 229-2500
FAX (602) 229-2555

MEMORANDUM

TO: Paul Sypherd, Sr. Vice President for Academic Affairs and Provost
University of Arizona

FROM: *Tom Wickenden* Tom Wickenden, Associate Executive Director for Academic and Student Affairs
Arizona Board of Regents

SUBJECT: Central office review of implementation of post-tenure review at UofA

DATE: September 16, 1997

Thank you for providing us with a copy of the *University of Arizona Handbook for Appointed Personnel*, Chapters 3 and 5, Revised (1997), as well as the draft *University of Arizona Reference Document for Post-tenure Review*. The central office staff has now completed a review of these procedures for implementing the Board policy on post-tenure review, as called for in the Common Elements document.

We would like to commend you for your work on these procedures. In general, we found that the points in the Common Elements document were well covered. We have attached a checklist noting which elements we found to be present, as well as those that appeared to be partially present or not present. We recognize that some of the Common Elements that were not found or that differed significantly from the wording in your procedures may be implicit in the procedures or described in other documents. Therefore, we have listed below only those Common Elements which we were not able to find and which we believe are significant enough in their implications that they should be mentioned explicitly in procedural documents for each campus. For each such element, our specific concerns are noted. We welcome your comments on the elements in question. In particular, please let us know if we have missed a reference to the element in question, and please send us a copy of any other document where the element is described.

#1 Common Element 1.c (2) - Academic Program Review

The three bullets in this section note that academic program reviews will "occur every 5-7 years, will be conducted by the Dean and a panel of qualified members, which shall include external experts, community members and recent alumni of the program, and where the appropriateness of a contribution is questioned, the file will be returned to the unit peer committee for intense examination."

We did not find this element in our review of your documents; however, the *Reference Document for Post-Tenure Review* indicates that the campus reference for this policy element is the *UA Academic Program Review Manual*, currently being revised. Please send us a copy of this document to review, once the revision is complete.

Common Element 2 (3) - Outcome of the Annual Review and Consequences of Performance Evaluation

2

The third bullet of this section notes that "an overall unsatisfactory rating may result from two or more areas of unsatisfactory or may result from one area of unsatisfactory depending on the emphasis ..." In the *University of Arizona Handbook* there are statements describing the responsibility of units for developing written evaluation criteria and stated expectations which differentiate between satisfactory and unsatisfactory performance. However, we did not find a description of what types of deficiencies might result in an overall unsatisfactory rating, other than the statement in paragraph 3.10.04 (1) (d) of the Handbook that "If the head and the peer committee determine that satisfactory improvement in the deficient area has not occurred in one year within the terms of the plan, an overall unsatisfactory rating will be assigned" Except for this, the Handbook leaves the impression that an overall unsatisfactory rating might only be applicable when a person is unsatisfactory in all of the areas of responsibility, which is, of course, not what was contemplated by the Regents.

If this issue has been addressed in the document, please let us know. If not, please consider adding a statement similar to that in the Common Elements to the Handbook.

Common Element 5 (1) - Performance Improvement Process

3

This element states that "development and implementation of a performance improvement plan shall occur no later than the semester following the overall unsatisfactory evaluation." In section 3.10.04 of the Handbook, paragraphs c and d under The Enhanced Review indicate that "the enhanced review is to take no longer than 100 days from the date of communication to the faculty member of the results of the annual performance review," and "should the overall unsatisfactory finding be upheld by the enhanced review, a Performance Improvement Plan must be developed and approved by the dean within 45 days following the decision." In the case where a PIP is required and where the process takes the full 145 days allowed for, the stipulation in the Common Elements document that the plan be developed and implemented "no later than the semester following the overall unsatisfactory evaluation" could be satisfied under certain conditions, but it might not be satisfied under others.

Is there some language that could be added to this section to ensure that the process will always be in compliance with the deadline in the Common Elements? For example, you might consider adding a sentence somewhere to the effect that "under no circumstances will the development and implementation of a plan occur later than the semester following the overall unsatisfactory evaluation."

Common Element 5 (3) - Performance Improvement Process

4

The element states that the "Performance Improvement Plan (PIP) identifies areas of specific deficiency, and identifies the means by which the faculty member will improve performance." In section 3.10.04 of the Handbook, paragraph (e) under The Performance Improvement Plan states that "Depending upon facts and circumstances, the improvement plan might include the following:

- a description of specific deficiencies
- a list of reasonable outcomes needed to correct deficiencies
- the process to be followed to achieve outcomes
- the timeline for accomplishing the process, including annual or more frequent benchmarks
- the criteria to be used in evaluating progress in the plan

- the resources needed to facilitate the plan"

Because the description of the contents of a plan begins with the phrase "might include the following," it appears to be possible for a particular plan not to identify areas of specific deficiency and/or not to identify the means by which the faculty member will improve performance. This would clearly not be in compliance with the statement in the Common Elements document.

Please consider revising the wording of this paragraph so that while there is sufficient flexibility regarding the specific contents of an individual plan, there is also no doubt that every plan will include the two components required by the Common Elements document.

Common Element 7. - Documenting the Impact of Post-Tenure Review

The Common Elements document notes that the impact of post-tenure review will be documented in a Tenure Audit, a Dean's Level Audit Report, and in the Academic Program Review Report. In some cases, the contents of these reports are also prescribed. While the documents describing the post-tenure review procedures at each campus should mention these audits, we believe that they do not necessarily need to address the contents of the reports, which will be determined by a format common to all campuses.

The central office will work with the universities to develop formats for these reports that reflect Board policy.

Thank you again for forwarding to us the University of Arizona procedures implementing post-tenure review. In general, we found these documents to be consistent with the Board-approved Common Elements document. We look forward to hearing from you regarding the few questions described above.

Attachment

cc: Joel Sideman
Elizabeth Ervin

5

Post-Tenure Review Implementation
Checklist of Common Elements

Name of Institution University of Arizona

Common Element	Reference	Present	Partially Present	Not Present
1. Performance Evaluation				
a. Annual Review				
(1) Normally covers the immediately preceding 36 month period with substantial emphasis on current year for evaluation of teaching.	3.10.01 ¶6, 3.10.05		X	
(2) There will be four measurements — teaching, scholarship, service, and overall performance.			X	
(3) Conducted by unit head and/or peer committee.	3.10.01 ¶4, 3.10.03.3	X		
(4) Based on a written, goal-based agreement negotiated by the individual and unit head that fits within unit and campus mission and guidelines.	3.10.01 ¶5, 3.10.02 ¶1,2 3.10.03.4	X		
(5) Every annual review of teaching will contain and seriously consider student input, including evaluation of faculty classroom performance in all classes.	3.10.01 ¶8, 3.10.03.1, 3.10.03.3	X		
(6) Every instance of unsatisfactory evaluation in teaching will be addressed (see outcomes and consequences of performance evaluation).	3.10.04 ¶2	X		
b. Dean's Level Audit				
(1) Covers a proportion of reviews each year, so that over a maximum of 5 years, every file is reviewed.	3.10.01 ¶9,10	X		
(2) Panel is convened by the Dean.	3.10.01 ¶9	X		
(3) Checks adequacy of the process and makes appropriate recommendations to unit peer committee.	3.10.01 ¶9	X		
(4) If appropriate, refers files back to the unit peer committee.	3.10.01 ¶9	X		
c. Academic Program Review				
(1) Occurs every 5-7 years.				X
(2) Conducted by Dean and a panel of qualified members, which shall include external experts, community representatives and recent alumni of the program.				X
(3) Where appropriateness of contribution is questioned, the file will be returned to the unit peer committee for intense examination.				X

		Present	Partially Present	Not Present
2. Outcome of the Annual Review and Consequences of Performance Evaluation				
(1) Satisfactory performance in all areas of evaluation allows the faculty member to remain in the regular evaluation process with the possibility of merit pay raises.	3.10.04 ¶1	X		
(2) Overall satisfactory with a single area of unsatisfactory leads to a faculty development plan at the unit level.	3.10.04 ¶2, 3.10.04.1	X		
(3) An overall unsatisfactory rating may result from two or more areas of unsatisfactory OR may result from one area of unsatisfactory depending on the emphasis assigned to that area in the goal-based agreement and the extent of the deficiency.	3.10.04 ¶2, 3.10.04.2		X	
(4) Overall unsatisfactory leads to a Performance Improvement Plan approved at the college level.	3.10.04 ¶2, 3.10.04.2 Perf. Impr. Plan	X		
(5) The Chief Academic Officer on each campus shall ensure that every unit develops a clear definition of unsatisfactory performance that is appropriate to the mission of that particular unit and consistent with the mission of the university.	3.10.02 ¶1		X	
3. Addressing Unsatisfactory Performance Faculty members found to be performing at an unsatisfactory level are required to enter one of two processes, depending on the extent of deficiency.				
(1) Any single area of unsatisfactory performance will be addressed in a faculty plan at the unit level.	3.10.04 ¶2, 3.10.04.1	X		
(2) Faculty members with overall unsatisfactory performance go directly into the Performance Improvement Process.	3.10.04 ¶2, 3.10.04.2	X		
4. Faculty Development Plan (unit level)				
(1) Addresses a single area of deficiency, where the overall performance is satisfactory, before it becomes sufficiently serious to impair the faculty member's overall performance.	3.10.04.1	X		
(2) Maximum of 1 year duration with appropriate interim monitoring and feedback.	3.10.04.1 (b,c)	X		
(3) If satisfactory in all areas at the end of the Faculty Development Plan, the faculty member returns to the regular performance evaluation process.	3.10.4.1 (c)	X		

		Present	Partially Present	Not Present
(4) If plan objectives are not achieved at the end of the year, the faculty member shall receive an overall rating of unsatisfactory and must enter the Performance Improvement Process.	3.10.04.1 (d)	X		
5. Performance Improvement Process				
(1) Development and implementation of a performance improvement plan shall occur no later than the semester following the overall unsatisfactory evaluation.	3.10.04.2 PIP (b)		X	
(2) Performance Improvement Plan is developed in concert with appropriate administrators and peers.	3.10.04.2 PIP (a)	X		
(3) Performance Improvement Plan identifies areas of specific deficiency, and identifies the means by which the faculty member will improve performance.	3.10.04.2 PIP (e)		X	
(4) Teaching and service deficiencies will generally be addressed through a one-year Performance Improvement Plan. In those rare circumstances where the nature of the deficiency cannot be fully remedied in one year, the duration of the plan may go beyond one year. Any plan that exceeds one year must be approved by the provost.	3.10.04.2 PIP (f,g)	X		
(5) Annual or more frequent benchmarks tied to performance goals must be met.	3.10.04.2 PIP (f)	X		
(6) Failure to demonstrate adequate progress relative to these annual or more frequent benchmarks and performance goals shall lead to a recommendation for dismissal.	3.10.04.2 PIP (f,h)	X		
(7) For a research deficiency or for the research component of an overall deficiency, the duration of the plan shall be as brief as is reasonable, but under no circumstances will it be longer than three years. Any plan that exceeds one year must be approved by the provost.	3.10.04.2 PIP (g)	X		
6. Implementation				
(1) Each university shall adopt procedures to implement board policy and common elements for the 1997-98 academic year.	In progress	X		
(2) Procedures shall be reviewed for consistency by appropriate university and central office staff.	In progress	X		

		Present	Partially Present	Not Present
7. Documenting the Impact of Post-Tenure Review				
a. Tenure Audit The tenure audit will contain:				
(1) The number of faculty members who are evaluated as satisfactory or better	3.10.01 ¶10	X		
(2) The number of faculty members who enter Faculty Development Plans, the nature of the deficiencies, and the outcomes of those Plans	3.10.01 ¶10		X	
(3) The number of faculty members who enter the Performance Improvement Process, the nature of the deficiencies, the number of plans of different lengths, and the outcomes of the Process	3.10.01 ¶10		X	
b. Dean's Level Audit Report				
(1) The deans will report annually to the Regents on their audits of the annual reviews.	3.10.01 ¶10		X	
c. Academic Program Review Report The Academic Program Review Report will contain:				
(1) Summary data on the evidence about the appropriateness of faculty contributions to the unit's and university's mission				X

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**Faculty Senate Meeting
May 4, 1998**

The Student Affairs Policy Committee presents the following resolution for the consideration of the Faculty Senate. The approval of this resolution comes as a seconded motion from the Student Affairs Policy Committee.

The Faculty Senate endorses the ASUA Senate's request that a graduating student's major(s) be shown on the graduation diploma and recommends that the Registrar consider adding this information to diplomas as soon as the implementation details can be worked out.

Donald R. Davis, Chair
Student Affairs Policy Committee

dl
4-22-98

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University Committee on Corporate Relationships

Mission Statement

Subsequent to its first meeting on April 24, 1998, the University Committee on Corporate Relationships adopted the following mission statement:

“To describe the basic principles which guide the University in establishing corporate relationships; to develop policies which facilitate the implementation of these principles; and to engage in consultative oversight regarding corporate relationship issues significant to the University community.”

Senator Thomas Davis, Chair
University Committee
on Corporate Relationships

5-1-98

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University Committee on Corporate Relationships

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MEMORANDUM

DATE: May 4, 1998
TO: Members of the Campus Community
FROM: Lawrence M. Aleamoni, Chair of the Committee of Eleven
RE: Information Collected during Spring Semester 1998

The Committee of Eleven is charged with addressing faculty issues and concerns. In an effort to identify important issues from a broad group of faculty, our committee implemented three focus groups during Spring Semester of 1998. Each group consisted of faculty members selected to provide a diverse representation of the campus.

Use of the Information

This information (together with other input) will be used by the Committee of Eleven to determine possible activities to pursue in the upcoming academic year. In addition, because the participants' reaction to the process was very positive, the Committee plans to develop an ongoing data collection program using a combination of face-to-face and electronic data collection techniques.

Results of the Information

A brief summary of each group is attached. Some of the key insights reflected in the faculty discussions include:

The role of the department heads in creating a good working environment is critical and significant.

Finding increased operating revenues outside the legislative process is important, but doing so may also create some special challenges to maintaining a high quality academic environment.

Faculty workload issues are important to understand and address, however, the situations are complex and simple solutions do not exist.

The institution is not currently operating as effectively or efficiently as possible due to fragmentation, mistrust, resource competition and lack of a long term perspective.

Shared governance is an experiment, there is cynicism that there will be any change from the historical hierarchical management style and faculty frequently see the governance process as a waste of their time or something additional they just can't fit in with the heavy research and teaching demands being made of them.

Attachments

The attachments which follow describe the process we used, and provide short summaries of the discussions. If you have any questions about the process or the results of our efforts, please feel free to contact the Committee of Eleven through our webpage (<http://w3.arizona.edu/~c11>).

ATTACHMENT 1

Data Collection Process

Each group consisted of faculty members from across the campus. A list of voting faculty members was given to a research assistant who was asked to recruit a set of faculty with diverse characteristics regarding academic field, length of employment at the University, tenure status and College.

GROUP 1:

The first group, a traditional face-to-face discussion, was conducted with twelve people on March 2, 1998. These face-to-face discussions allow the participants to easily build on (or disagree with) what others are saying, they allow for the group to build some consensus about the most important issues, and they had an added benefit of introducing faculty members from around campus to people they had never met.

Two questions were posed to the first group of participants. First, respondents were asked to discuss their opinions regarding the work environment at the University of Arizona, and next they were asked to speak specifically about the faculty governance process. The respondents were told that the results of this discussion would be used to create the plan for two additional groups which would be conducted using the Group Systems software (described in the next section). A one page summary of this discussion is included as Attachment 2.

GROUPS 2 and 3:

These groups were conducted using a computerized software system which allows as many as 30 people to respond to questions concurrently via linked computers. The amount of information which can be collected using this technique is much greater than can be gleaned in a face-to-face discussion, it allows the respondents to be completely anonymous when offering opinions, and it prevents the more assertive participants from dominating the discussion. It does not allow for as much personal interaction as the face-to-face groups, and it is more difficult for respondents to respond to each other (as opposed to commenting on the issues at hand). These groups were conducted with eleven people on March 25, 1998 and eighteen people on March 30, 1998. The format of the sessions was as follows:

Phase 1: Participants rated their agreement with a series of attitude statements developed as a result of the face-to-face focus group. The statements with the most variation in response were then selected for discussion. Participants could comment on any or all of the 3-4 statements selected for discussion and also were able to respond to any comments made by others.

Phase 2: Participants ranked a series of possible activities/issues which could be tackled by various faculty governance groups (including, but not limited to the committee of Eleven). The top 2-3 topics were then identified for discussion and once again, participants could offer suggestions regarding moving forward on these tasks, or comment on statements made by other.

Phase 3: Participants were encouraged to note any issue/topic of interest to them regarding the work environment at the University of Arizona, which had not been part of the previous discussions and they were asked to evaluate the usefulness of the session overall.

A summary of these two groups is included as Attachment 3.

Note: This page scan is from an original paper copy from the Faculty Center files. This scan represents the condition of the original copy - it is an incomplete page.

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ATTACHMENT 3
SUMMARY OF ELECTRONIC FOCUS GROUPS
Anonymous data collection using computers

Statement Ratings: Clearest agreement (5 point scale where 5= strongly agree)

Group 1 (10 people attended)

- 4.4 Department head effectiveness is the key to creating a positive environment for faculty.
- 4.1 Many faculty are not interested in participating in the faculty governance process because they felt it is a waste of their time.

Group 2 (18 people attended)

- 4.1 Diminished resources have lead to unpleasant competition between colleges, departments and individual faculty within departments.
- 4.1 Department head effectiveness is the key to creating a positive environment for faculty.
- 4.0 There doesn't seem to be any time for new tasks... - the benefits once considered to be an integral part of academic life

Clearest disagreement

Group 1

- 2.8 The current manner in which the UofA Senate is constituted is effective
- 2.4 Emeritus faculty should be eligible to participate in all faculty governance processes.

Group 2

- 2.5 Emeritus faculty should be eligible to participate in all faculty governance processes.

Summary of Electronic Discussion:

Concern for time squeeze -- no time to be creative; feeling that routine chores have increased; more administrative tasks being handed to faculty as a result of shared governance

The shared governance concept is OK, but faculty are already too overloaded with research and teaching requirements to find time for more committee work; for the shared governance process to work, tangible incentives must be developed for people who spend time on governance activities

Junior faculty feel that they are bearing the burden of increased class sizes, etc., but are still "tenured" (or not) based on very high expectations of research productivity; full professors seem not to be held accountable for excellence in teaching, as long as grant money is coming in.

Increased pressure on faculty to bring in money leads to unhealthy work environment

Department heads 'set the tone' of the work environment for faculty -- their experiences within the department determine how they feel about governance; a great department head can still be blocked by poor leadership at the Dean and higher levels of administration; the most important faculty governance takes place at the department level

SUMMARY OF ELECTRONIC FOCUS GROUPS (continued)

Top ranking of topics that governance bodies should work on:
(Top rank sums)

Group 1:

1. Assisting with more effective management of faculty workload
2. Identifying ways to increase operating revenues outside of the legislative budgeting process.
3. Evaluation of resource allocation processes at the University and College level, to identify any inequities based upon types of scholarly pursuits and/or focus of faculty on instructional vs. research activities.

Group 2:

1. Assisting with more effective management of faculty workload
2. Identifying ways to increase operating revenues outside of the legislative budgeting process.

PREPARATION FOR MALL REDEVELOPMENT PROJECTS TO BEGIN THIS SUMMER

This summer, **AVOID CHERRY.**

A new chilled water line is being installed and Cherry Ave. will be **CLOSED** at the mall.

- New bike paths will help you get from north to south during construction.
- A new bus loop will provide access to busses near their regular stop.

Closing Cherry is just the beginning of construction projects on the Mall, including the Integrated Learning Center, the Student Union, McKale and Main Library. When it's all done, the Mall will not only be preserved, it will be better than it was when we started. During the construction, frankly, it will be a mess. We'll try to keep you informed all along the way.

If you have questions about construction, call Melissa Dryden at **621-9251**.

Be sure to visit the Integrated Learning Center web site at

www.opi.arizona.edu/ilc/ilc.htm

