

THE UNIVERSITY OF ARIZONA\*  
 VOTING FACULTY BY VOTING CODE

2/11/98

VOTE	NO	CE	IT	TE	RY	NT	EMERITUS	TOTALS
A	60	24	20	13	26	16	33	192
B	1		68	27		5	19	120
C	72	30	138	31	1	2	104	378
D		1	18	3		4	6	32
E	3		60	16			32	111
F	2		93	25			33	153
H		5	107	25		12	39	188
I	6		247	39		5	72	369
J	11	4	171	58		5	57	306
K			120	17	1	2	59	199
L	8	2	21	5	1		6	43
M	16	6	210	60	3	4	32	331
N			16	8		24	19	67
O			21	7			7	35
P			22	9			6	37
Q			1	1			10	12
TOTALS	179	72	1333	344	32	79	534	2573

(See codes on reverse.)

## Key to Abbreviations Used on the University of Arizona Voting Faculty List

### Track

T = Tenured  
TE = Tenure-eligible  
C = Continuing  
CE = Continuing-eligible  
NT = Non-tenured  
YY = Year-to-year

### Status

A = Active  
L = Leave  
M = Leave (honorary, distinguished)  
N = No salary  
P = Sabbatical  
R = Retired

### Class

A = Administrator  
P = Academic professional  
F = Faculty

### Voting Code

A = Non-college  
B = Business and Public Administration  
C = Agriculture  
D = Architecture  
E = Education  
F = Fine Arts  
H = Humanities  
I = Science  
J = Social and Behavioral Science  
K = Engineering  
L = Law  
M = Medicine  
N = Nursing  
O = Optical Sciences  
P = Pharmacy  
Q = Health Professions

THE UNIVERSITY OF ARIZONA  
VOTING FACULTY BY COLLEGE

2/11/98

COLLEGE	C	CÉ	T	TE	Y	NT	EMERITUS	TOTAL
Arizona International Campus			1					1
Business Affairs	1				2		2	5
College of Agriculture	72	30	138	31	1	2	108	382
College of Architecture		1	19	3		4	6	33
College of Business & Public	1		67	26	1	5	19	119
College of Education	3		60	11			34	108
College of Engineering & Min			120	17	1	2	60	200
College of Fine Arts	2		92	25			33	152
College of Humanities		5	104	24	1	12	39	185
College of Law	8	2	21	5	1		6	43
College of Medicine	3	1	207	59	3	3	31	307
College of Nursing			16	8		24	19	67
College of Pharmacy			22	9			6	37
College of Science	6		243	38		5	69	361
College of Social & Behavior	11	4	166	56	1	6	59	303
Health Professions			5	2		1	12	20
Health Sciences	10	4	1				1	16
President			2		9		2	13
Provost			23	7			9	39
Research and Graduate Studie	22	5	20	3			5	55
Sierra Vista Campus			1	11			2	16
Student Affairs	2	1	1		5	14	4	27
Undergraduate Education	2		4	9	4	1	6	26
University Libraries	36	19			1		2	58
<b>TOTAL</b>	<b>179</b>	<b>72</b>	<b>1333</b>	<b>344</b>	<b>32</b>	<b>79</b>	<b>534</b>	<b>2573</b>

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THE UNIVERSITY OF ARIZONA,  
Instruction and Curriculum Policy Committee

**Consent Agenda for Faculty Senate Meeting**  
March 2, 1998

*The following items have been approved by all relevant department and college committees. All items have also been approved by the Undergraduate Council or the Graduate Council and the ICPC. All consolidations meet ABOR guidelines on shared majors.*

1. Proposal to change the name of the African American Studies Program to Africana Studies.
2. Proposal to change degree name from B.S. in Hydrology to B.S. in Environmental Hydrology and Water Resources.
3. Approval of a recommendation that the M.S. and Ph.D. programs in Mining Engineering be consolidated with the M.S. and Ph.D. programs in Geological and Geophysical Engineering to form new M.S. and Ph.D. programs in Mining, Geological, and Geophysical Engineering.

Roger Dahlgran,  
Chair, ICPC

THE UNIVERSITY OF ARIZONA®  
Faculty Center  
1400 E. Mabel St. - PO Box 210473  
621-1342 Fax: 621-8844  
facsen@u.arizona.edu

M E M O R A N D U M

February 16, 1998

To: Faculty Senate  
From: Academic Personnel Policy Committee  
Subject: Process for Formation of University Enhanced Review Board (UERB)

The Academic Personnel Policy Committee (APPC) has reviewed a proposal, submitted by the Annual Review Coordinating Team, that describes a process for forming the University Enhanced Review Board (UERB). APPC has reviewed this proposal and made some revisions. The attached proposal, supported by APPC, is now forwarded to the Faculty Senate as a seconded motion.

The proposed University Enhanced Review Board would be the University-level faculty group that a faculty member may select to perform an enhanced review, should the faculty member receive an overall unsatisfactory rating in his or her annual performance review. The options for faculty members who receive such a rating are described in Section 2a of Chapter 3 (3.10.04) in the University Handbook for Appointed Personnel (copy attached).

## **Process for Formation of University Enhanced Review Board (UERB)**

### **UERB Membership:**

The pool of faculty members who will serve on the University Enhanced Review Board shall be comprised of faculty elected by the faculty advisory council of each college. The University Committee on Committees shall ask the advisory council of each college to nominate and elect faculty members to serve based on the size of the college, as follows:

- colleges with more than 200 faculty shall elect three members
- colleges with 100-to-200 faculty shall elect two members
- colleges with fewer than 100 faculty shall elect one member

Members shall serve staggered two-year terms, with the pattern to be determined by the Chair and Vice Chair of UERB in as neutral a manner as possible. For UERB's first year of operation (1998), the Chair of the Faculty and the Provost together shall nominate two faculty from among the pool of elected UERB members for the position of Chair and two for Vice Chair. From this slate, the members of UERB shall elect the Chair and Vice Chair of UERB. In subsequent years, the members of UERB shall annually elect the Chair and Vice Chair from among those of its members who have served at least one year. The role of the Vice Chair shall be to assist the Chair and to take over Chair responsibilities if the Chair is indisposed.

### **The Review Process:**

For each enhanced review, a new panel of from three-to- five members shall be appointed by the Chair of UERB. Each year the panel size will depend upon the total number of enhanced reviews coming to UERB, with five-member panels being preferable in years with fewer enhanced reviews required by UERB. The Chair of UERB shall also appoint the panel chair from among the panel members. No more than one member from any one college may be on any individual panel, nor may any member be on a panel who has been involved earlier in the review process of the case in question. Should he or she request, the faculty member being reviewed has the right to a panel formed entirely of members from outside of his/her college.

In implementing the policies and procedures for enhanced review described in the University Handbook for Appointed Personnel (UHAP), the Chair and Vice Chair of UERB shall work in coordination with the Office of the Vice Provost for Academic Personnel.

Based upon the request of any panel members and/or the faculty member under review, the panel may decide to invite and hear faculty, staff, or students from the faculty member's college or elsewhere and gather information that the panel deems advisable in any appropriate manner. A final written report, signed by UERB panel members, shall be submitted to the Head or Director of the faculty member's unit within the time period allotted for the enhanced review. This report shall include a summary of the types of evidence gathered by the panel and the panel's findings with regard to the faculty member's overall performance.

## UNIVERSITY HANDBOOK FOR APPOINTED PERSONNEL (UHAP)

### CHAPTER 3: FACULTY PERSONNEL POLICIES AND PROCEDURES

#### 3.10.04 OUTCOMES OF ANNUAL PERFORMANCE REVIEW

All faculty members who are found to be performing overall at satisfactory levels in the annual performance review will be eligible for salary increases and other rewards which may exist or be established at the unit, college, or university levels.

Tenured faculty members found to be performing at unsatisfactory levels in any area of responsibility are required to enter one of two processes, depending upon the extent of the deficiency. A tenured faculty member who is evaluated overall as satisfactory, but with a deficiency in any single area of performance -- for example, teaching, will enter into a Faculty Development Plan at the unit level. Tenured faculty members with overall unsatisfactory performance will enter directly into the Performance Improvement Plan process.

##### (1) Overall Satisfactory with a Deficiency in Teaching, Research, or Service

###### The Faculty Development Plan:

For tenured faculty, the Faculty Development Plan addresses a single area of deficiency before it becomes sufficiently serious to impair the faculty member's overall performance.

- a. Corrective action can involve a plan to improve the deficiency and/or to redirect the faculty member's work responsibilities to areas of particular strengths.
- b. The plan, developed at the unit level in collaboration with the faculty member, may have a maximum of one year duration and should include appropriate interim monitoring and feedback
- c. Improvement to a satisfactory level in the deficiency area within one year will make the faculty member eligible for any rewards that become available during that year.
- d. 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 and the Performance Improvement Plan process described below, which addresses cases of overall unsatisfactory ratings, will apply.
- e. The faculty member may appeal the finding that there has been unsatisfactory improvement in the Faculty Development Plan at the next highest administrative level.

##### (2) Overall Unsatisfactory

###### The Enhanced Review

For tenured faculty, when the annual performance review identifies cases of overall unsatisfactory performance of stated expectations, an enhanced review of the faculty member's performance will occur unless the faculty chooses to proceed directly with a Performance Improvement Plan. The enhanced review will include the following:

- a. the faculty member may opt to have an enhanced review by
  1. a committee of the unit appointed jointly by the head and by the chair of the unit peer review committee;
  2. by the elected peer committee at the next higher level; or
  - UERB--> 3. by an elected peer committee at the university level.
- b. if deemed necessary by either the faculty member or the peer committee, evaluations from external reviewers expert in the faculty member's discipline will be sought and taken into consideration as part of the enhanced review. Expenses for such external review shall be borne by the University.



- c. 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. The enhanced review may find that the faculty member's performance meets stated expectations and is satisfactory, or that it fails to meet stated expectations, precisely how it fails, and that the faculty member's overall performance is unsatisfactory. For a decision to be reached that performance is unsatisfactory, the burden of proof is on the institution to show that such a finding is warranted.
- d. 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.

**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.
- 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.
- e. 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
- 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 satisfactory level according to stated expectations. Any plan that exceeds one year must be approved by the provost. In no case shall an improvement plan take more than three years to lead to satisfactory performance.
- h. Failure to demonstrate adequate progress relative to the benchmarks and performance goals of the Performance Improvement Plan shall lead to a recommendation for dismissal, according to ABOR policy, Chapter 6-201 I.1.
  - a,b. Such action may occur in cases where one of the following circumstances exists:
    - the faculty member is unwilling to enter into a Performance Improvement Plan following an unsatisfactory judgment and the conclusion of any appeals provided for in this chapter and in chapter 6, sections 6.02, 6.04, and 6.05;
    - the faculty member fails to make progress considered acceptable within the evaluation periods under the implementation of the Performance Improvement Plan;
    - the faculty member fails to achieve a satisfactory performance according to stated expectations within the duration of the Performance Improvement Plan.

In such cases the procedures specified in The Arizona Board of Regents Policy Manual, Chapter VI, sections I.1 and K can be initiated.

THE UNIVERSITY OF ARIZONA®  
Faculty Center  
1400 E. Mabel St. - PO Box 210473  
621-1342 Fax: 621-8844  
facsen@u.arizona.edu

M E M O R A N D U M

February 18, 1998


To: Faculty Senate  
From: Academic Personnel Policy Committee  
Subject: Promotion & Tenure Process and Preparation of Dossiers 1998-1999

The Academic Personnel Policy Committee (APPC) has reviewed the accompanying materials pertaining to the preparation of Promotion and Tenure dossiers for 1998-1999. We plan to provide a brief report on this matter to the Faculty Senate on March 2, for information only (rather than for action) since the materials do not include any changes in the existing policies found in the University Handbook for Appointed Personnel (UHAP).

We call the attention of Senators particularly to the underlined sections in these materials as they represent changes from the previous year. Comments or feedback on the changes are invited by the Vice Provost for Academic Personnel and should reach her office no later than March 15.

February 10, 1998

**MEMO TO:** Betty Atwater, Co-Chair  
Academic Personnel Policy Committee

**FROM:**   
Elizabeth Ervin, Vice Provost for Academic Personnel

**RE:** Provost's Annual Letter of Instruction for Preparation of  
Promotion & Tenure Dossiers

I am forwarding, for your information, a draft of the Provost's 1998 letter of instruction for preparation of promotion and tenure dossiers. Changes from the previous year's letter are underlined.

I understand that APPC wishes to review the changes and will provide a report, for information only, to the Faculty Senate. We intend to release the letter by April 1, 1998. Therefore, any comments or feedback on the changes will need to reach my office no later than March 15.

Thank you for your interest and assistance. I look forward to hearing from you in early March.

EE/aec  
Enclosure

DRAFT 2/4/1998

April 1, 1998

**MEMO TO:** Academic Deans, Directors, and Department Heads

**FROM:** Paul S. Sypherd, Sr. Vice President for Academic Affairs  
and Provost

**RE:** Promotion and Tenure Process and Preparation of Dossiers 1998-1999

This letter initiates the promotion and tenure review process for 1998-1999. The University Advisory Committee on Promotion and Tenure is called upon each year to consider more than 100 recommendations. It is essential to provide adequate time for the Advisory Committee to conduct its review and to ensure that timely notice of the action taken in approving or denying recommendations can be given to your offices and to the candidates.

Chapter 3 of the **University Handbook for Appointed Personnel (UHAP)** requires that a candidate be given notice when the matter of his/her renewal, nonrenewal, tenure and/or promotion arises and that the candidate be given the opportunity to furnish materials that he/she considers relevant to the decision to be made. It is requested that colleges complete the consideration of candidates for promotion and/or tenure before the beginning of each spring semester. Bear in mind the time necessary to obtain letters from outside evaluators and to assemble all supporting material; hence, you may wish to begin the process now for candidates to be considered for promotion and/or tenure during 1998-1999.

To ensure that candidates are fully informed about the nature of the promotion and tenure process with which they will be involved, department heads and directors must provide each candidate with a copy of this document at the time the process is initiated with respect to that candidate.

Please note the following alteration in the guidelines for preparing promotion and tenure dossiers for 1998-1999:

- Electronic publication is an appropriate means of scholarly, artistic and professional communication, as are other means of presentation such as print and performance. The use of electronic technologies and publication for teaching and service is also appropriate. The content and impact of electronic publication should be evaluated within the traditions and habits of each discipline as publication traditionally has been in other media. Therefore, candidates should document this activity in appropriate sections of the dossier (i.e. Section IV: service/outreach; publications/creative activity; and/or Section VI: development and scholarly activity supporting teaching.

Dates for submitting dossiers for college-level review vary among colleges. Please check with your dean's office for deadlines.

The *original dossier plus nine complete copies* should be submitted by the deans to the Office of the Provost, no later than January 15, 1999.

The University Advisory Committee on Promotion and Tenure will deliberate from January 15 to April 15. Decisions will begin to be released about the last week in April.

- With regard to the evaluation of teaching and advising (Section VI), do not include individual copies of student evaluations. Instead, the candidate's department should provide objective data (i.e., clear tables or graphs) and a 1-2 page summary documenting the candidate's teaching effectiveness. The Office of Instructional Assessment and Evaluation Services is available to assist departments in preparing these summaries.

The following information is provided to assist candidates with the preparation of their dossiers and as a guide for deans, directors, and department heads for evaluating and preparing final documents

## **INSTRUCTIONS FOR DEANS, DIRECTORS AND DEPARTMENT HEADS**

### **Criteria**

Each department and college office has on file the criteria used by each department and college in making its recommendations.

Copies of relevant parts of departmental and college promotion and tenure criteria should be summarized in a one-page format (see Appendix B) and submitted with each dossier to aid the members of the University Advisory Committee in their deliberations.

### **Standing Committees**

Each college and department shall have a standing committee on faculty status to advise the dean and department head before recommendations are forwarded to higher administrative levels concerning all promotion and tenure matters. Each committee shall be composed of at least three tenured members of the faculty. In promotion and tenure matters, the committees shall be constituted so that recommendations shall be made only by faculty members holding rank superior to the rank of the candidate being considered, except in the case of full professors where the committee members shall each be a full professor. In appointing standing committees, please consider potential conflicts of interest with regard to candidates coming forward for review. The judgment of review committees is to be independent of the judgment of the administrators to whom they report. Standing committees normally shall meet without the administrator whom they advise (reference: UHAP 3.11.01). If the administrator meets with the committee, this meeting must be justified in the letter of recommendation from the administrator.

The provost will appoint a University standing committee on faculty status (University Advisory Committee on Promotion and Tenure) composed of at least nine members, including female and minority members, representing diverse disciplinary areas. The committee shall advise the provost in all promotion and tenure considerations. The committee shall carefully and systematically review, in accordance with University-level criteria, all pertinent materials provided by departments and colleges to ensure that high standards of accomplishment and professional performance are maintained (reference: UHAP 3.11.01).

Occasionally department and/or college promotion and tenure committees include members whose votes on a given candidate risk the appearance of bias because committee members are not clearly independent from the candidate or have a relationship to the candidate that might involve conflict of interest (for example, as a co-author or co-principal investigator). In general, such committee members should recuse themselves from the final vote in order not to compromise the objectivity of the entire committee evaluation. This action should be documented in the committee's report (i.e., approve-4, deny-0, abstain (recuse)-1). In some cases, an ad hoc member may need to be substituted for the committee member whose independence from the candidate is in question.

Individuals who serve concurrently on departmental, college and/or University promotion and tenure committees should recuse themselves from voting on any candidate on whose case they have already voted in a prior committee. Colleges may wish to establish their own protocols to deal with these issues.

Each year all promotion and tenure committees should discuss standards of expectations in research, teaching and service at the beginning of their deliberations. They should then review these standards at the conclusion of the process. The standards must be consistent with departmental, college and university policy.

### **Notification to Candidates**

Department heads are required by UHAP 3.15 to advise candidates in writing of their recommendations regarding renewal, nonrenewal, promotion or tenure at the time the recommendations are forwarded to the next reviewer.

### **Interdisciplinary Candidates**

The University recognizes that interdisciplinary scholarship often occurs in areas of intellectual excitement and advancement of knowledge that lie at the boundaries of academic departments. Those faculty members who are involved in interdisciplinary activities should be recognized for this participation at the time they are considered for promotion and/or tenure. To ensure such recognition, reviews of candidates who are members of interdisciplinary programs must include the elements identified in the *Guidelines of Acknowledgment and Evaluation of Faculty Participation in Graduate Interdisciplinary Program Activities in the Promotion and Tenure Process* (Appendix C).

### **Shared Appointments**

A shared appointment is an appointment of a faculty member whose *budget line* is split between two, or rarely more, units. When an appointment is shared, it is essential that the individual and the heads of the two units holding the line have a clear understanding of all aspects of their appointment (to include teaching load, research, administration, service responsibilities, merit pay, peer evaluation, status and promotion, etc.). When applicable, the *Checklist for Shared Appointments* (Appendix A) should accompany the dossier.

### **Two- and Four-Year Reviews**

The two- and four-year reviews of tenure-eligible faculty members are carried out by the departmental standing committee and department head without college or university review unless college policy requires college review. These evaluations shall be expressed in writing to the faculty member, identifying any problem areas that may preclude the granting of tenure (reference: UHAP 3.12.04).

When a department head decides that he/she will recommend nonretention following such reviews, a series of steps are to be initiated resulting in the preparation of a packet containing the following elements: (1) an updated curriculum vitae; (2) a summary of the candidate's workload assignment prepared by the department head and candidate; (3) annual performance evaluations for all years the candidate has been associated with the University of Arizona as an assistant professor; (4) the candidate's two-year review (this applies to a recommendation for nonretention following a four-year review); (5) detailed critiques, prepared independently by the departmental standing committee and the department head, evaluating the quality of the candidate's contributions in teaching, research and service/outreach; and (6) interpretations prepared by both the departmental standing committee and the department head, describing the likelihood that the candidate would be recommended for promotion and tenure during a six-year review, given progress to date. These materials, combined with all other materials assembled, are to be forwarded by the department head to the dean and are to serve as the basis for evaluation by the college committee, the dean, the University Advisory Committee, and the provost. Outside letters are not normally required.

### **Appeal Procedure**

Candidates for promotion and/or tenure and candidates recommended for nonretention following a two- or four-year review may appeal negative decisions to the president upon official notification of such decisions from the Office of the Provost (reference: UHAP 3.12.08).

### **Preparation of Dossiers**

A copy of the guidelines/checklist to be used by the candidate, department and college in preparing the promotion and tenure dossier is attached.

It is foremost the responsibility of each department and each candidate to ensure that the dossier is prepared in full compliance with the attached guidelines. If the college standing committee or dean determine that the dossier is missing certain essential elements, the evaluation process should be halted pending the

securing of such materials. Under some circumstances, when the dossier is found wanting, it may be necessary for the dean to re-initiate the department-level review. Likewise, if the University Advisory Committee on Promotion and Tenure finds that a candidate is disadvantaged because of a poorly prepared dossier, the committee may request that additional materials be added to the file. This action would re-initiate the review at the departmental level.

On rare occasions, substantial additional pertinent information regarding the candidate becomes available from second-party sources during the review process (for example, the candidate is awarded a significant grant, receives a major teaching award, or has a major piece accepted for publication). If a review committee or an administrative reviewer recommends that this information be added to the candidate's dossier, the relevant materials may be appended to the dossier. In such a case, the candidate must be informed of the nature of the materials to be added to the dossier, and the expanded dossier must be re-reviewed by all levels of reviewers. If the additional materials consist of factual information that might be deleterious to the candidate's case (for example, poor student evaluations from fall courses), the candidate shall be given the opportunity to add a response to the dossier. A request to append additional information must be received by the Office of the Provost by February 1, unless it is a request by the University Advisory Committee for additional information.

### Checklist

The attached guidelines/checklist are to be included in the dossier. The guidelines/checklist: provides clarification to candidates, departments, and colleges of the substance upon which the review is based; serves as a checklist to the candidate, department, and college, to assure completeness of the dossier before forwarding to the Office of the Provost, and to increase the efficiency and timeliness of review by the University Advisory Committee; and serves as the format for cover sheets that will subdivide the contents of each dossier, thus assuring uniformity of internal organization of the many dossiers submitted for review.

The dossiers should be divided into sections as follows:

- Section I: Summary Data Sheet**
- Section II: Summary of Candidate's Workload Assignment**
- Section III: Departmental and College Promotion and Tenure Guidelines**
- Section IV: Curriculum Vitae Prepared by Candidate**
- Section V: Letters from Outside Evaluators**
- Section VI: Evaluation of Teaching and Advising**
- Section VII: Recommendations for Promotion and/or Tenure**

Do not attach articles published, manuals, charts or graphs.

**PROMOTION AND TENURE PROCESS 1998-1999**

**SECTION I: SUMMARY DATA SHEET**

Candidate: \_\_\_\_\_ Date: \_\_\_\_\_

Present Rank: \_\_\_\_\_

College: \_\_\_\_\_

Department: \_\_\_\_\_

Terminal Degree: \_\_\_\_\_

Month/Year of  
Terminal Degree: \_\_\_\_\_

Candidate now being considered for (check each category that applies):

- Promotion to Assistant Professor
- Promotion to Associate Professor and Tenure
- Tenure only
- Promotion to Professor
- Reappointment in Rank
- Recommendation of termination after:
  - 2-year review ( 3-year review)
  - 4-year review ( 5-year review)

**NOTE REGARDING TENURE-ELIGIBLE FACULTY:** State final year candidate *must* come up for tenure \_\_\_\_\_

**NOTE REGARDING VOTES ON CANDIDATES FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR:** If a candidate is being considered for tenure and promotion to associate professor, these issues shall not be separated in the vote or recommendation of reviewers.

**Faculty Service Elsewhere After Terminal Degree**

Institution	Dates*	Rank	Years*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Faculty Service at The University of Arizona**

Department/School	Dates*	Rank	Years*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

\*include present fiscal year



## **SECTION II: SUMMARY OF CANDIDATE'S WORKLOAD ASSIGNMENT**

One-page statement prepared by the department head summarizing the candidate's assigned workload.

- Explain candidate's workload, including importance and percentage of time devoted to teaching and advising, research and service/outreach.
- Describe the role of the candidate within the department's mission and strategic plan.
- Signature of candidate indicating agreement with the summary; **or, if a disagreement exists, include an explanation of differences prepared and signed by the candidate.**

### **SECTION III: DEPARTMENTAL PROMOTION AND TENURE GUIDELINES**

**Include:** *Relevant parts* of departmental *and* college promotion and tenure criteria summarized using the one-page format (see example in Appendix B) as an aid to the University Advisory Committee in its deliberations. (You may also include the full set of guidelines if you feel that would be helpful).

## SECTION IV: CURRICULUM VITAE PREPARED BY CANDIDATE

- Chronology of Education**
    - All colleges and universities attended
    - Institutions, degrees and dates awarded
    - Title of doctoral dissertation/master's thesis *and* name of director/advisor
    - Major field(s)
  
  - Chronology of Employment**
  - Service** (for last 5 years, or period in current rank)
    - Outreach**
      - Local/state
      - National/international
    - Citizenship**
      - Intramural**
        - Departmental committee(s)
        - College committee(s)
        - University committee(s)
        - Other
      - Extramural**
- 
- Publications/Creative Activity (Published or Accepted)**

List the candidate's publications/creative activity in chronological order. For foreign publications, provide English translation of title. Place an \* to left of title of any publication substantially based on work done as a graduate student. **Normally the curriculum vitae should *not* include abstracts, research reports, or conference proceedings unless peer-reviewed.**

  - Scholarly books and monographs (distinguish scholarly works vs. textbooks)
  - Chapters in scholarly books and monographs (distinguish scholarly works vs. textbooks; distinguish chapters presenting original research of candidate, not reported elsewhere, from chapters reporting prior research, reviewing the state of the field, etc.)
  - Refereed journal articles, published or accepted in final form
  - Electronic publication; peer-reviewed:  yes  no
- 
- Work in Progress**
- 
- Media**
  - Performances
  - Shows
  - Exhibits
  - Videotapes
- 
- Scholarly Presentations**

(for last 5 years, or period in current rank; distinguish invited vs. submitted presentations)

  - Colloquia
  - Seminars
  - Symposia
  - Conferences
- 
- Grants and Contracts**

(list percent effort on grant; role [PI, co-PI]; source and amount)

  - Federal
  - State
  - Industry
  - Private foundations

#### SECTION IV: CURRICULUM VITAE (cont.)

**Signed Statement by Candidate**

The candidate's signature should appear on the last page of the curriculum vitae with the following statement:

*This is a true and accurate statement of my activities and accomplishments. I understand that misrepresentation in securing promotion and tenure may lead to dismissal or suspension under ABOR Policy 6-201 I.1.b.*

**Candidate's Statement of Accomplishments and Objectives on Research, Teaching and Service/Outreach (3-5 pages)**

This statement should describe how each area contributes to form a complete picture of the candidate's responsibilities and objectives as a faculty member. It should tie directly to Section II: with Section II being focused on **assignment** and this statement being focused on **results** with a holistic emphasis. Research is understood to include accomplishments and goals. The section on teaching should provide a succinct account of the candidate's philosophy on teaching and advising, what the rewards of teaching and advising are for the candidate, what problems may have been encountered and what improvements may have been made. Service/outreach should include internal and external activities. To the extent possible, the statement taken as a whole should show how the candidate integrates these three areas toward achieving his/her objectives.

## SECTION V: LETTERS FROM OUTSIDE EVALUATORS

**Note to candidate and to department head:** The function of outside evaluators is to provide *independent* assessments of the candidate's work and professional standing. For this reason, it is essential that the candidate not influence, or attempt to influence, the assessment provided by the outside evaluators. The candidate may submit names of possible evaluators to the department head; however, no more than half of the total evaluators may be from the candidate's list.

If the candidate has engaged in extensive collaboration, and the ability of the candidate to make independent contributions may be difficult to ascertain, it may be helpful to request letters from one or more of his/her collaborators describing the extent and nature of the candidate's contribution to the collaboration.

A sample letter to outside evaluators is included as Appendix D. Deviate from the wording of the sample letter only with the permission of your dean. The content of all questions included in the sample letter must be included in your letter unless you have permission from the Provost to eliminate.

Include in the dossier:

- One sample copy of request letter sent by department head or head of department review committee**
- Summary of process used to select outside evaluators to be provided by department head**
- List of all outside evaluators contacted whether or not they agreed to serve as evaluators**
- Brief statement on each evaluator's national or international standing**  
(Identify those who can be judged as independent of the candidate. **Do not** include full CV.)
- Letters from Outside Evaluators**
  - Three to eight letters from similar academic departments outside the University of Arizona dated within one year of the department committee's report
  - All letters must be from *independent*, outside evaluators who are not the candidate's major professor, co-author, dissertation advisor, or otherwise closely associated with candidate
  - All* letters received from outside evaluators must be included
- Letters from Collaborators**
  - Letter(s) describing extent and nature of candidate's contribution to collaboration when candidate has engaged in extensive collaborative work
- Letters of Evaluation**

Department heads should clarify how letters of evaluation were solicited.

  - By University of Arizona faculty colleagues
  - By present or former graduate students

## SECTION VI: EVALUATION OF TEACHING AND ADVISING

(Some items listed in this section may not apply in all cases.)

Note: Teaching should be interpreted to include activities both inside and outside the classroom, for example, mentoring graduate students as a key component of graduate education.

- Extent of Teaching** (prepared by candidate)  
List of courses taught during last 5 years and enrollment
  
- Teaching Awards and Grants** (prepared by candidate)
  - Department/college
  - University
  - National/international
  - Grants for teaching innovations
  
- Individual Student Contact** (prepared by candidate)
  - Advising  
(number of undergraduate and graduate advisees)
  - Office hours
  - Mentoring
  - Career counseling
  - Participation in honors program
  - Faculty advisor of clubs
  - Off-campus internships/observations
  - Clinical instruction
  - Independent studies (in progress)
  - Independent studies directed last 5 years
  - Theses in progress
  - Theses directed last 5 years
  - Dissertations in progress
  - Dissertations last 5 years
  - Service on dissertation committees, other than as advisor
  
- Development and scholarly activity supporting teaching; use of technology; etc.** (prepared by candidate)
  
- Evaluation of Teaching and Teaching Portfolio** (prepared jointly by candidate and department head or departmental committee) to include summaries of the following components.
  - **Student Evaluations of Teaching**
    - Quantitative summary of student questionnaire results (do *not* provide individual questionnaire forms; explain scoring of forms; provide basis for comparison with other faculty in unit)
    - Summary of student interviews or comments on questionnaires (2-page limit)
    - Feedback from graduates
  
  - **Peer Review**
    - Instructional preparation and planning (assessment of representative syllabi, tests, assignments, appropriateness and currency of course content)
    - Scholarly activity supporting teaching
    - Extent of teaching
    - Classroom visitation (assessment of, e.g., instructional delivery, student response)
    - Contributions to departmental and university teaching
    - Comparison to other faculty
    - Assessment of success of candidate's students

## **SECTION VII: DOCUMENTATION FOR INTERDISCIPLINARY CANDIDATES**

- Candidate's description of relevant activities in the Interdisciplinary Graduate Program (e.g., in curriculum vitae and statements on research and teaching).
- Written evaluation of candidate by chairperson of the relevant interdisciplinary graduate program, provided to departmental promotion and tenure committee, and included in dossier.
- Additional information (if appropriate) from the Director of Interdisciplinary Graduate Programs, provided to the departmental promotion and tenure committee and included in the dossier.

## **SECTION VIII: RECOMMENDATIONS FOR PROMOTION AND/OR TENURE**

**Note:** If a candidate is being considered for tenure and promotion to associate professor, these issues shall not be separated in the vote or recommendation of reviewers.

- Summary of Recommendations**
  - Recommendation of department committee (votes on tenure/promotion)
  - Recommendation of department head
  - Recommendation of college committee (votes on tenure/promotion)
  - Recommendation of dean
  
- Department Committee's Report**
  - Addressed to department head/director
  - Votes on tenure/promotion
  - Evaluation of candidate
    - Teaching and advising
    - Research, scholarship, creative activities
    - Service
  - Minority view on split vote
  
- Department Head's Recommendation**
  - Addressed to the dean
  - Recommendations on tenure/promotion
  - Own opinion, views and comments, including analysis of *impact* of candidate's professional activities and contributions
    - Teaching and advising
    - Research, scholarship, creative activities
    - Service
  
- College Committee's Report**
  - Addressed to the dean
  - Votes on tenure/promotion
  - Evaluation of candidate, including analysis of *impact* of candidate's professional activities and contributions
    - Teaching and advising
    - Research, scholarship, creative activities
    - Service
  - Minority view on split votes
  
- Dean's Recommendation**
  - Addressed to the provost
  - Recommendation on tenure/promotion
  - Own analysis and evaluation, including analysis of *impact* of candidate's professional activities and contributions
    - Teaching and advising
    - Research, scholarship, creative activities
    - Service



## APPENDIX A: CHECKLIST FOR SHARED APPOINTMENTS

Date \_\_\_\_\_

Name and Rank of Appointee \_\_\_\_\_

Primary Department or Program \_\_\_\_\_

Secondary Department or Program \_\_\_\_\_

1. **Teaching Load**

Primary Unit: Fall:

Spring:

Secondary Unit: Fall:

Spring:

Percent of Student Credit Hours: \_\_\_\_\_ Primary \_\_\_\_\_ Secondary

2. **Budgetary Obligations**

Primary Unit: Responsible for \_\_\_\_\_% of line

Secondary Unit: Responsible for \_\_\_\_\_% of line

3. **Faculty Meetings and Voting**

Primary unit: appointee will/will not attend meetings and will/will not vote

Secondary Unit: appointee will/will not attend meetings and will/will not vote

4. **Research Responsibilities**

Primary Unit:

Secondary Unit:

Distribution of Credit for Awards:

Indirect Cost Recovery on Grants:

Primary unit will receive \_\_\_\_\_% Secondary unit will receive \_\_\_\_\_%

5. **Administrative Load**

Primary Unit:

Secondary Unit:

6. **Tenure/Continuing Status Home**

7. **Service Responsibilities**

Primary unit will expect:

Secondary unit will expect:

**8. Peer Evaluations**

Committee will be composed of the peer review committee from the primary unit and at least one member of the secondary unit.

Evaluation criteria (teaching, research, service):

Primary unit:

Secondary unit:

**9. Second-Year, Fourth-Year, Tenure/Continuing Status and Promotion Reviews**

Tenure/continuing status is held in the primary academic unit. Review committees will be composed of members of the promotion and tenure committee of the primary unit and at least one member of the secondary unit. A single recommendation will be forwarded to the dean.

**10. Office Space and Secretarial Support**

Primary/secondary unit will provide an office.

Primary/secondary unit will provide secretarial support.

Primary/secondary unit will provide travel funds. Normally \$\_\_\_\_\_ will be provided in travel funds. Travel funds typically will be provided for the following purposes:

**11. Other Considerations**

**Signatures:**

\_\_\_\_\_  
Faculty Member

\_\_\_\_\_  
Representing Primary Unit

\_\_\_\_\_  
Date

\_\_\_\_\_  
Unit Date

\_\_\_\_\_  
Representing Second Unit

\_\_\_\_\_  
Unit Date

Approved by Faculty Senate May 1993. A copy of the full document, *University of Arizona Guidelines for Shared Appointments*, is available from Employee Services.

2/8/95

**APPENDIX B: SAMPLE OF DEPARTMENT CRITERIA FOR PROMOTION AND TENURE BY RANK**

Note: Candidates for tenure only must also meet criteria for rank at which tenure is sought.

	<b>Associate Professor</b>	<b>Professor</b>
<b>Teaching</b>	Contributes to department's teaching load. Receives positive student evaluations. Contributes to development of department's academic program evidenced by contributions to course syllabi. Receives favorable peer teaching evaluations from senior colleagues. Participates in student advising, including service on graduate students' thesis or dissertation committees.	Exercises leadership in department's teaching load. Receives recognition as a teacher through awards or other documentation. Exercises leadership in department's academic program development as evidenced by experience in originating or revising courses as documented in course syllabi. Receives positive student and peer teaching evaluations. Outstanding record of student advising, including service as chair of graduate students' thesis or dissertation committees.
<b>Research, Scholarly/Creative Activity</b>	Engages in quality original research/scholarly activity as evidenced by publication record. Establishes the promise of sustained scholarly activity in one or more areas. Provides evidence of recognition at regional and national levels. Contributes to grants and contract activities. Involves graduate students in collaborative research and scholarly activities.	Demonstrates record as a productive scholar through continuing publication activity over a period of years. Establishes a clear and coherent line of inquiry. Provides evidence of recognition at national and international levels. Exercises leadership in seeking outside funding for research through grants and contracts. Exercises students in collaborative research and scholarly activities.
<b>Service/Outreach</b>	Contributes to department committees. Contributes to profession through service to professional organizations and/or professional journals. Contributes to local or state policy by sharing expertise.	Exercises leadership in department through service as committee chairperson and/or outstanding and continued service to department committees. Contributes to college and university committees. Contributes to profession through outstanding and continued service to professional organizations and/or professional journals, providing evidence of national and international impact.

# APPENDIX C: GUIDELINES FOR ACKNOWLEDGMENT AND EVALUATION OF FACULTY PARTICIPATION IN GRADUATE INTERDISCIPLINARY PROGRAM ACTIVITIES IN THE PROMOTION AND TENURE PROCESS

Faculty Senate April 13, 1992

## Purpose

The Provost's Office has required that faculty efforts in "interdisciplinary activities should be recognized" for promotion and/or tenure considerations (memorandum dated 4/26/91, entitled "Promotion and Tenure Process and Preparation of Dossiers," page 3, "Interdisciplinary Candidates"). The present document provides further guidelines and formalizes the procedures for acknowledgment and evaluation of faculty participation in teaching research and service activities specifically related to Interdisciplinary Graduate Programs.

## Policy

Inasmuch as faculty participation in the activities of graduate interdisciplinary programs comprises an integral part of their professional activities, these efforts should be included and acknowledged in the evaluation procedures for Promotion and Tenure alongside other relevant activities.

## Implementation Procedures

The following are the implementation guidelines:

1. A faculty person who is a member of an Interdisciplinary Graduate Program will be asked to include, as part of her/his Promotion and Tenure dossier, the details of relevant activities (teaching, research, service) in the appropriate Interdisciplinary Graduate Program.
2. The Head of the home department shall request from the Chairperson of the relevant Interdisciplinary Graduate Program a written evaluation of the degree of participation and quality of the activities of the candidate in the Interdisciplinary Graduate Program.
3. This evaluation will be written by the Chairperson of the Interdisciplinary Graduate Program in consultation with an *ad hoc* committee of three tenured faculty of the appropriate rank (in accordance with the prevailing policies of the relevant home department and/or college). The evaluation document will be sent to the candidate's home department P&T committee for inclusion in the candidate's P&T dossier.  
Membership on this *ad hoc* committee will be drawn from the Program's Executive Council and will include the Chairperson of the Interdisciplinary Graduate Program. When the candidate is being considered for promotion to full professor and if the Chairperson will sit on the *ad hoc* committee as an ex officio member and an additional full professor member will be appointed to the committee.  
In cases where the *ad hoc* committee mechanism appears redundant (e.g., when the candidate's involvement in the Interdisciplinary Graduate Program activities is minimal, or when there is a large overlap in membership between the home department committee and the *ad hoc* committee), the Head of the home department may invite one (or more) tenured faculty of appropriate rank, who is a member of the executive council of the relevant Interdisciplinary Graduate Program, to serve as a pro-tem voting member of the existing P&T committee of the candidate's home department. This will be done with the candidate's written consent.
4. Additional input may be solicited from the Director of Interdisciplinary Graduate Programs whenever it is deemed appropriate (e.g., when the candidate has served as a chairperson of an Interdisciplinary Graduate Program. This will be done with the candidate's written consent.

Once documentation of activities in Interdisciplinary Graduate Programs has been incorporated into the candidate's dossier, it shall be considered by the Department, College and University P&T Committee as an integral part of the evaluation of the candidate for promotion and tenure.

## APPENDIX D: SAMPLE LETTER TO OUTSIDE REFEREES

Dear Referee:

The Department of [*name of department*] is evaluating the academic and professional standing of [*name of candidate*], who is being considered for [*examples: tenure and promotion to associate professor; promotion to full professor*].

Since you are recognized as a leading scholar in [*name of candidate*]'s field, we would appreciate your assistance in assessing his/her record by providing us with a letter of evaluation. We have attached the following materials to help you in evaluating [*name of candidate*]'s record: (1) a curriculum vitae; (2) a summary of his/her workload assignment; (3) a statement in which he/she explains his/her scholarly and professional accomplishments, the goals that have guided them, and his/her future research agenda; (4) copies of University of Arizona, departmental and college promotion/tenure criteria; and (5) a representative set of [*examples: articles; slides; tapes*]. If you would like to review additional materials, we would be happy to send them.

In your evaluation, we would appreciate your addressing how well you know the candidate and specific strengths and weaknesses of the candidate's research record, including especially the significance and impact of his/her contributions to the literature and to the field, recognition at national or international levels, and promise of sustained scholarly activity. Please also indicate whether you recommend that candidate be awarded [*examples: tenure and promotion to associate professor; promotion to full professor*] on the basis of your evaluation.

Please note that our criteria for [*promotion; promotion and tenure; tenure*] also include consideration of teaching and service. If you have information and recommendations based on these areas we appreciate your comments related to [*name of candidate*]'s teaching and service.

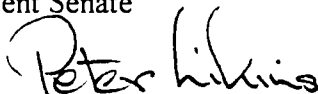
Your recommendation will be treated with the greatest possible confidentiality permitted by the Arizona Board of Regents' policy and applicable law. I am aware that your consideration and evaluation of the work of our colleague will require considerable time, and I greatly appreciate your willingness to assist us in this way.

We also would appreciate receiving a copy of your abbreviated curriculum vitae. Thank you for participating in this review. Please let me know if you have any questions about the process.

February 16, 1998

To: All Members of the Faculty Senate  
All Members of the Student Senate

From: President Peter Likins



Re: The Nike Corporation

The Faculty Senate and the Student Senate both have been engaged in a healthy and productive discussion of the proper relationships between corporations and our University. This is a worthwhile dialogue. I am eager to participate, as invited, and to hear whatever conclusions and recommendations may emerge from this process. In the meantime, I have taken it upon myself to engage in a personal and sharply focused inquiry regarding a relationship that we are considering with one company: the Nike Corporation.

On February 10, 1998, ASU president Lattie Coor and I flew to Portland, Oregon and met with Phil Knight, the CEO of Nike. Each of our two universities is negotiating a potential contract with Nike, but neither president has been involved to date. On our joint initiative, and at our own institutional expense, we made this trip in order to meet face to face with Mr. Knight, with no staff members present.

For me, the trip was narrowly focused. I wanted to meet Mr. Knight and make my personal assessment of him and his commitment to appropriate employment practices. In addition, I wanted to see how he would react to a request that any contract between our two organizations incorporate firm guarantees of a commitment by the Nike Corporation to abide by its own Code of Conduct, which I judge to be exemplary. Only if I were satisfied on these two counts would I be prepared to agree to further negotiation of an exclusive, multi-year contract that would supply uniforms and equipment to all 18 athletic teams at The University of Arizona. (Current contracts with Nike, and with at least one other shoe manufacturer, are limited to individual sports and their coaches.)

Dr. Coor and I have returned from our visit with Phil Knight entirely satisfied with both Nike's founder and his commitment to the attached Code of Conduct. This was initially adopted by the corporation in 1992. Phil Knight has agreed with our request that this Code of Conduct be incorporated in any Nike contracts adopted by our universities, together with a provision that would enable us to sever our relationships if Nike deliberately violates its own code or knowingly allows its subcontractors to do so.

This level of presidential diligence in examining the details of a contract may depart from normal practice, but I felt it was necessary for me to be personally satisfied with Nike's employment practices before I could authorize other representatives of our University to continue contract negotiations. I now have authorized those negotiations to continue. While I have no assurance that these efforts in fact will produce a proposed contract for my consideration, I now expect this to be the outcome.

Beyond the specific issue of Nike's commitment to appropriate employment practices, I anticipate that a myriad of complex concerns about our University's relationships with corporations will continue to engage the attention of our Faculty Senate and Student Senate. I expect to find this dialogue instructive, and believe that we will all benefit from the process.

Attachment: Nike Code of Conduct

bc L. Coor (fax)  
F. Besnette (fax)  
P. Knight (fax)  
J. Livengood  
M. Proctor

# NIKE CODE OF CONDUCT

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Wherever NIKE operates around the globe, we are guided by this Code of Conduct. We bind our business partners to these principles. While these principles establish the spirit of our partnerships, we also bind these partners to specific standards of conduct. These are set forth as follows:

## FORCED LABOR.

(Contractor) certifies that it does not use any forced labor – prison, indentured, bonded or otherwise.

## CHILD LABOR.

(Contractor) certifies it does not employ any person under the minimum age established by local law or the age at which compulsory schooling has ended, whichever is greater, but in no case under the age of 14.

## COMPENSATION.

(Contractor) certifies that it pays at least the minimum total compensation required by local law, including all mandated wages, allowances and benefits.

## BENEFITS.

(Contractor) certifies that it complies with all provisions for legally mandated benefits, including but not limited to housing; meals; transportation and other allowances; health care; child care; sick leave; emergency leave; pregnancy and menstrual leave; vacation, religious, bereavement and holiday leave; and contributions for social security, life, health, worker's compensation and other insurance.

## HOURS OF WORK/OVERTIME.

(Contractor) certifies that it complies with legally mandated work hours; uses overtime only when employees are fully compensated according to local law; informs the employee at the time of hiring if mandatory overtime is a condition of employment; and, on a regularly scheduled basis, provides one day off in seven and requires no more than 60 hours of work per week, complying with local limits if they are lower.

## HEALTH AND SAFETY.

(Contractor) certifies that it has written health and safety guidelines, including those applying to employee residential facilities, where applicable and that it has agreed in writing to comply with NIKE's factory/vendor health and safety standards.

## ENVIRONMENT.

(Contractor) certifies that it complies with applicable country environmental regulations and that it has agreed in writing to comply with NIKE's specific vendor/factory environmental policies and procedures, which are based on the concept of continuous improvement in processes and programs to reduce the impact on the environment.

## DOCUMENTATION AND INSPECTION.

(Contractor) agrees to maintain on file such documentation as may be needed to demonstrate compliance with this Code of Conduct and, further, agrees to make these documents available for NIKE or its designated auditor's inspection upon request.

