

FACULTY SENATE, March 3, 1986
Agenda Item 4 (a)

FOR DISCUSSION AT APRIL 7 MEETING

Policy proposed to the Senate by the Academic Personnel Policy Committee concerning the use of a textbook in a class directed by the author of the book.

1. The Faculty Senate affirms the right of a faculty member to choose the most appropriate textbook(s) for those classes for which he is responsible.
2. When the faculty member is the author of a required text, a conflict of interest exists. This is especially true if the faculty member benefits financially from the use of the textbook. Although there is conflict of interest, there may be no bias.
3. In order to prevent the appearance of bias, which appearance may reflect negatively upon the faculty member and indeed, upon the whole academic process, the Faculty Senate initiates the following procedure.
 - 3.1. Any faculty member who requires for classroom use the purchase of a book written by himself, whether or not he benefits financially from the purchase, will submit to the Curriculum Committee of his college a justification for the use of the book. The petition will address the relative merits of other texts that might have been recommended.
 - 3.2. The Curriculum Committee will obtain consultation from others as necessary concerning the petition. Its recommendation will be forwarded to the faculty member and to the Dean of the College. If the faculty member and the Dean be the same person, the recommendation will be forwarded to the Provost.
 - 3.3. The final decision concerning the requirement for textbook purchase will remain with the faculty member in charge of the course.

Instruction and Curriculum Policy Committee

SUMMARY

REPORT OF FALL, 1985 CLASSES
WITH ENROLLMENTS OF 100 OR MORE

A. TOTALS

Number of sections (classes) with enrollment of 100 or more - - 88
 Number of courses represented - - - - - 61

B. SIZE OF SECTIONS

	<u># of sections</u>	<u># of students</u>	
400 - 499 students	2	884	} 5,208 } } 13,865
300 - 399 students	4	1,431	
200 - 299 students	12	2,893	
100 - 199 students	67	8,657	
Mult. Instructor/Tutorial	(3)*	1,575	
* { Math 116 - 549			
* { Math 117E - 712			
Math 117F - 314			
	<hr/> 88	<hr/> 15,440	

C. LOCATION OF SECTIONS

<u>COLLEGE</u>	<u># of sections</u>	<u># of courses</u>	<u># of courses with more than 1 section</u>	<u># of students involved</u>
Arts & Sciences				
Science	33 *	18 *	6 ** ---->	3,056 **
Behavioral Sci.	12	10	2 ---->	630
Fine Arts	9	8	1 ---->	449
Humanities	1	1		
Agriculture	5	5		
Architecture	3	3		
BPA	16	8	4 ---->	2,568
Education	1	1		
Engineering	7	6	1 ---->	342
Non-College	<hr/> 1	<hr/> 1		
	88	61	<hr/> 14 courses ----> (41 sections)	<hr/> 7,045

* Includes the 3 'Multiple Instructor/Tutorial' Math classes listed under 'B' above.

** EXCLUDES the 3 'Multiple Instructor/Tutorial' Math classes listed under 'B' above.

COURSES/SECTIONS WITH ENROLLMENT OF 200 OR GREATER (N=21)

Classes with multiple instructors, tutorial format.

College	School/Faculty	Department	Course #	Title	Sec #	Instructor	TOTAL
A & S	Science	Mathematics	MATH 116	Inter. Algebra		Multiple	549
A & S	Science	Mathematics	MATH 117E	College Algebra		Multiple	712
A & S	Science	Mathematics	MATH 117F	Precalculus		Multiple	314
							<u>1575*</u>

TOTAL enrollment = greater than 400

College	School/Faculty	Department	Course #	Title	Sec #	Instructor	TOTAL
A & S	Fine Arts	Drama	DRAM 140A	History of Theatre		Gipson	439
BPA		Economics	ECON 201A	Principle Economics	2	Swanson	445
							<u>884*</u>

TOTAL enrollment = 300-399

College	School/Faculty	Department	Course #	Title	Sec #	Instructor	TOTAL
A & S	Science	Mathematics	MATH 119	Finite Mathematics	1	Wood B.	316
A & S	Humanities	Classics	CLAS 126	Mythology		Solomon	390
BPA		Economics	ECON 201A	Principle Economics	1	Kinonen	351
BPA		Mgmt Info Systems	MIS 111	Intro. to Computer	1	Eirich	374
							<u>1431*</u>

TOTAL enrollment = 200-299

College	School/Faculty	Department	Course #	Title	Sec #	Instructor	TOTAL
A & S	Science	Ecol & Evol Bio	ECOL 159AR	Hmn. Anat. + Physio	1	Meerdink	264
A & S	Science	Mathematics	MATH 119	Finite Mathematics	2	Hamara	242
A & S	Science	Physics	PHYS 102A	Intro. Physics		Franken	204
A & S	Science	Physics	PHYS 116	Intro. Elec+Magnet		Fan	212
A & S	Behav Sci	Anthropology	ANTH 310	Culture + Individ	2	Thompson	243
A & S	Fine Arts	Art	ART 118	Art Ren-20th Cent.		Wood	256
A & S	Fine Arts	Music	MUS 107	Survey of Music I	1	O'Brien	282
A & S	Fine Arts	Music	MUS 200B	Marching Band		Steele	247
BPA		Accounting	ACCT 200	Intro. Fin. Account	13	Robson	222
BPA		Mgmt & Policy	MAP 275	Stat. Meth. Mgmt	1	Caldwell	209
BPA		Mgmt & Policy	MAP 275	Stat. Meth. Mgmt	2	Caldwell	296
Engineer		Syst+Indust Engr	SIE 170R	Problem Solving	2	Baker	216
							<u>2893*</u>

SECTIONS WITH ENROLLMENT OF 100 OR GREATER (N=88)

FALL SEMESTER, 1985-86

W = Withdrawals, % W = (TOTAL+W) * 100

College	School/Faculty Department	Course #	Title	Sec #	Instructor	Fresh	Soph	Junior	Senior	Grad	Unclas	Fr+So	% Fr+So	W(% W)	TOTAL	
A & S	Science	ASTR 100	Essentials of Astr.	1	Rieke M.	79	46	13	6	11	125	81	17	10	155	
A & S	Science	ASTR 100	Essentials of Astr.	2	Black	76	40	20	9	3	116	78	24	14	148	
A & S	Science	ASTR 100	Essentials of Astr.	3	White	74	37	19	9	8	111	76	19	11	147	
A & S	Science	ASTR 100	Essentials of Astr.	4	Liebert	42	32	10	5	11	74	74	13	12	100	
A & S	Science	ASTR 100	Essentials of Astr.	6	Woolf	95	37	9	5	6	132	87	19	11	152	
A & S	Science	ASTR 100	Essentials of Astr.	7	Woolf	87	43	15	5	13	130	80	18	10	163	
A & S	Science	ASTR 100	Essentials of Astr.	8	Tiff	66	42	10	13	8	108	78	13	9	139	
A & S	Science	ASTR 110A	Intro. Astronomy		Aaronson	76	33	12	9	2	109	83	27	17	132	
A & S	Science	ATMO 171	Intro Meteor+Climat	1	Young	45	71	18	13	1	116	72	9	5	161	
A & S	Science	ATMO 171	Intro Meteor+Climat	3	Sellers	35	49	21	12	1	9	84	66	32	20	127
A & S	Science	CHEM 103A	Fundamental of Chem	3	Barfield	78	16	4	2	5	94	90	21	17	105	
A & S	Science	CHEM 103A	Fundamental of Chem	5	Goldstein	102	13	10	4	1	115	88	17	12	130	
A & S	Science	CHEM 103A	Fundamental of Chem	7	Keller	108	19	3	3	2	127	93	16	11	136	
A & S	Science	CHEM 103A	Fundamental of Chem	9	Keller	99	12	3	2	4	111	92	21	15	120	
A & S	Science	CHEM 103A	Fundamental of Chem	11	Vemulapalli	79	12	6	6	5	91	84	32	23	108	
A & S	Science	CHEM 103A	Fundamental of Chem	12	Barfield	88	20	2	2	4	108	93	33	22	116	
A & S	Science	CHEM 241A	Lec. Organic Chem	2	Steelink	3	63	29	19	6	3	66	54	23	16	123
A & S	Science	ECOL 150	Fund Marine Biology		Hendrickson	54	52	37	31	5	6	106	57	38	17	185
A & S	Science	ECOL 159AR	Han. Anat. + Physio	1	Meerdink	62	124	51	21	3	3	186	70	49	16	264
A & S	Science	GEOS 101A	Intro. to Geology		Kresan	39	46	32	26	3	5	85	56	24	14	151
A & S	Science	MATH 116	Inter. Algebra		Multiple	401	73	38	8	1	28	474	86	303	36	549
A & S	Science	MATH 117E	College Algebra		Multiple	535	101	25	24	1	26	636	89	495	41	712
A & S	Science	MATH 117F	Precalculus		Multiple	237	31	22	14	1	9	268	85	125	28	314
A & S	Science	MATH 119	Finite Mathematics	1	Wood B.	127	139	40	3	7	266	84	58	16	316	
A & S	Science	MATH 119	Finite Mathematics	2	Hanara	55	103	57	18	2	7	158	65	76	24	242
A & S	Science	PHYS 102A	Intro. Physics		Franken	28	64	62	34	8	8	92	45	74	27	204
A & S	Science	PHYS 103A	Intro Phys Calculus	1	Chambers	44	73	22	5	1	2	117	80	40	21	147
A & S	Science	PHYS 103A	Intro Phys Calculus	2	Chambers	23	63	16	7	5	4	86	73	24	17	118
A & S	Science	PHYS 103B	Intro Phys Calculus	1	McIntyre	14	78	15	12	5	2	92	73	30	19	126
A & S	Science	PHYS 103B	Intro Phys Calculus	2	Stoner	11	64	15	6	4	75	75	18	15	100	
A & S	Science	PHYS 110	Intro. Mechanics	1	Vuillemin	43	41	13	2	5	84	81	32	24	104	
A & S	Science	PHYS 116	Intro. Elec+Magnet		Fan	13	156	34	8	1	169	80	36	15	212	
A & S	Science	PHYS 121	Optics+Acoustics+HT		Kessler	1	57	44	14	1	58	50	24	17	117	
A & S	Behav Sci	ANTH 110	Exploring Archaeol		Jelinek	53	31	11	7	2	84	81	14	12	104	
A & S	Behav Sci	ANTH 310	Culture + Individ	1	Thompson	10	33	63	66	7	43	24	8	4	179	
A & S	Behav Sci	ANTH 310	Culture + Individ	2	Thompson	20	62	87	57	1	16	82	34	20	8	243
A & S	Behav Sci	GE06 103A	Physical Geography	2	Reeves	44	52	24	9	1	96	74	22	14	130	
A & S	Behav Sci	HIST 215	The Two World Wars		Oswald	26	41	30	21	1	7	67	53	19	13	126
A & S	Behav Sci	JOUR 151	News in Mass Comm.		Patten	45	34	16	11	6	79	71	19	15	112	
A & S	Behav Sci	PSYC 300	Social Psychology		Greenberg	7	38	51	48	1	8	45	29	32	17	153
A & S	Behav Sci	PSYC 313	Developmental Psych	1	Carroll	9	48	65	29	4	57	37	16	9	155	
A & S	Behav Sci	PSYC 371	Environmental Psych		Parsons	6	22	46	49	1	3	28	22	25	16	127
A & S	Behav Sci	SOC 100	Intro. to Sociology	4	Ver	69	20	6	2	6	89	86	1	1	103	
A & S	Behav Sci	SOC 100	Intro. to Sociology	8	Jan	77	21	2	3	2	98	93	6	5	105	

College	School/Faculty	Department	Course #	Title	Sec #	Instructor	Fresh	Soph	Junior	Senior	Grad	Unclas	FrtSo	% FrtSo	W % W	TOTAL	
A & S	Fine Arts	Art	ART 117	Art Prehist-Gothic		McElroy	45	48	28	22	1	7	93	62	43	22	151
A & S	Fine Arts	Art	ART 118	Art Ren-20th Cent.		Wood	48	87	56	49	2	14	135	53	50	16	256
A & S	Fine Arts	Drama	DRAM 140A	History of Theatre		Gipson	80	228	79	36		16	308	70	26	6	439
A & S	Fine Arts	Music	MUS 107	Survey of Music I	1	O'Brien	65	106	60	36	3	12	171	61	19	6	282
A & S	Fine Arts	Music	MUS 107	Survey of Music I	2	O'Brien	36	72	32	23		4	108	65	21	11	167
A & S	Fine Arts	Music	MUS 108	Survey of Music II		O'Brien	15	51	28	45	3	3	66	46	19	12	142
A & S	Fine Arts	Music	MUS 200B	Marching Band		Steele	116	79	23	19	10	10	195	79	17	6	247
A & S	Fine Arts	Radio-Television	RTV 103	Intro. Radio + TV		Fowler	100	45	16	10	14	14	145	78	39	17	185
A & S	Fine Arts	Radio-Television	RTV 111	Intro. Aesth + Thry		Deming	70	52	25	4	5	5	122	78	15	9	156
A & S	Humanities	Classics	CLAS 126	Mythology		Solomon	87	152	89	53	2	7	239	61	20	5	390
Agric	Nutr & Food Sci	Nutr & Food Sci	N FS 101	Nutrition Food+You	1	Price	40	27	12	13	10	10	67	66	15	13	102
Agric	Fan+Cons Res	Child Dev+Fan Rel	CDFR 337	Family Relations		Ridley	6	23	36	39	1	1	29	27	12	10	106
Agric	Fan+Cons Res	Clothing & Text	C T 114	Apparel Analysis		Lazarus	62	32	11	4	1	1	94	85	15	12	110
Agric	Fan+Cons Res	Clothing & Text	C T 145	Fashion Conc+Thry		Sproles	43	35	15	2	10	78	74	8	7	105	
Agric	Fan+Cons Res	Interior Design	I D 115	Fundamental Design		Blazquez	56	28	10	12	8	8	84	74	9	7	114
Architec	Architecture	Architecture	ARCH 101	Arch. + Society		Flint	30	56	14	9	3	3	86	77	14	11	112
Architec	Architecture	Architecture	ARCH 112	Graphic Com I		Lockard	82	14	9	3	1	1	96	88	26	19	109
Architec	Architecture	Architecture	ARCH 118	Structure in Archi		McConnell	81	16	10	4	1		97	87	13	10	112
BPA	Accounting	Accounting	ACCT 200	Intro. Fin. Account	13	Robson	43	108	35	13	3	20	151	68	119	35	222
BPA	Economics	Economics	ECON 201A	Principle Economics	1	Kinonen	66	199	54	20	1	11	265	75	73	17	351
BPA	Economics	Economics	ECON 201A	Principle Economics	2	Swanson	98	263	50	20	1	13	361	81	37	8	445
BPA	Economics	Economics	ECON 201A	Principle Economics	3	Karin	34	38	17	10	3	8	72	45	18	14	110
BPA	Economics	Economics	ECON 201A	Principle Economics	7	Olson	22	68	15	9	4	4	90	76	13	10	118
BPA	Economics	Economics	ECON 201A	Principle Economics	9	Olson	10	74	21	9	1	1	84	72	18	13	116
BPA	Economics	Economics	ECON 201B	Principle Economics	7	Peluffo	6	61	33	9	6	6	67	58	8	7	115
BPA	Economics	Economics	ECON 330	Money + Banking	2	Marshall	5	5	71	34		2	5	4	10	8	112
BPA	Economics	Economics	ECON 330	Money + Banking	5	Buehler	2	2	70	32	1	1	2	2	24	18	106
BPA	Mgmt & Policy	Mgmt & Policy	MAP 100	ISU in Pub. Policy		Buckingham	40	37	21	6	8	8	77	69	9	7	112
BPA	Mgmt & Policy	Mgmt & Policy	MAP 275	Stat. Meth. Mgmt	1	Calowell	5	76	88	32	2	6	81	39	56	21	209
BPA	Mgmt & Policy	Mgmt & Policy	MAP 275	Stat. Meth. Mgmt	2	Calowell	6	163	102	15	1	9	169	57	67	18	296
BPA	Mgmt & Policy	Mgmt+Org. Behavior	MAP 305	Mgmt+Org. Behavior	4	Wholey	5	5	84	92			5	3	11	6	181
BPA	Mgmt Info Systems	MIS 111	MIS 111	Intro. to Computer	1	Eirich	204	98	41	13	3	15	302	81	53	12	374
BPA	Mgmt Info Systems	MIS 111	MIS 111	Intro. to Computer	3	Eirich	67	66	27	10	3	7	133	74	30	14	180
BPA	Mgmt Info Systems	MIS 111	MIS 111	Intro. to Computer	7	LaSalle	74	34	21	10	2	10	108	72	26	15	151
Educ	Ed. Psych.	Ed. Psych.	ED P 310	Learnng in Schools		Berliner	4	4	56	32	1	19	4	4	21	16	112
Engineer	Aero & Mech Engr	Aero & Mech Engr	A ME 408	Reliability Engr.		Kececioğlu	1	1	12	38	61	2	1	1	17	13	114
Engineer	Aero & Mech Engr	Aero & Mech Engr	A ME 495S	Senior Colloquium		Petersen			13	111				7	5	124	
Engineer	Elec & Comp Engr	Elec & Comp Engr	ECE 207	Elements Elec Engr	2	Grubbs	2	45	45	26	7	1	47	37	16	11	126
Engineer	Elec & Comp Engr	Elec & Comp Engr	ECE 208	Elements Electronic		Hoening	19	76	76	36	1	2	19	14	32	19	134
Engineer	Elec & Comp Engr	Elec & Comp Engr	ECE 301	Elec. Engr. Lab		Nallin	1	9	39	50	4	4	10	10	27	21	103
Engineer	Syst+Indust Engr	SIE 170R	SIE 170R	Problem Solving	1	Fleming	52	39	19	9	5	2	91	72	17	12	126
Engineer	Syst+Indust Engr	SIE 170R	SIE 170R	Problem Solving	2	Baker	77	88	27	9	12	3	165	76	32	13	216
Non-Col	Exer & Sprt Sci	Exer & Sprt Sci	EXSS 103A	Begin Aerobic Dance	5	Westfall	51	26	24	17	4	2	77	62	42	25	124
							5211	4962	2787	1735	178	567	10173		3167		15440

CHAPTER 3: FACULTY PERSONNEL POLICIES AND PROCEDURES

These policies and procedures are established pursuant to paragraph L, section 6-201 of the Arizona Board of Regents Policy Manual. They are intended for use in conjunction with the ABOR Conditions of Faculty Service and supersede all previous faculty personnel policies and procedures.

3.01 DEFINITIONS

"ABOR" shall mean the Arizona Board of Regents.

"ABOR-PM" shall mean the Arizona Board of Regents Policy Manual.

"Committee on Academic Freedom and Tenure" or "CAFT" shall mean that committee selected by the faculty of the University of Arizona pursuant to the By-Laws of the General Faculty.

"Day" shall mean calendar day, except that where the last day of any time period set forth in this document falls on a Saturday, a Sunday or a University-recognized holiday, then the time period shall run until 5:00 p.m. of the next day which is not a Saturday, a Sunday or a University-recognized holiday.

"Faculty members" shall mean those members of the University of Arizona faculty who are appointed to positions that are responsible for and whose performance evaluations are primarily based on the teaching, research and public service goals and objectives of the institution; and who have professor, associate professor, assistant professor, instruc-

tor or lecturer in their title. Faculty members may be tenured, tenure-eligible or nontenure-eligible.

"Full-time" shall mean, for the limited purpose of tenure requirements, employment with the University 51% or more full time equivalent.

"Just cause" shall include, but not be limited to, demonstrated incompetence or dishonesty in professional activities related to teaching, research and publication or other creative endeavors, and service to the University community, substantial neglect of properly assigned duties; and personal conduct that substantially impairs the individual's fulfillment of properly assigned duties and responsibilities. Substantial incapacity (physical or mental) to perform properly assigned duties shall also be considered as just cause with due consideration given to the nature and duration of the incapacity.

"Lecturers" shall mean persons appointed initially as instructors or assistant professors who subsequently receive tenure as lecturers, persons appointed initially as lecturers who are nontenure-eligible faculty, and persons appointed as visiting, adjunct, research or clinical lecturers who in all cases are nontenure-eligible faculty.

"Nontenure-eligible faculty" shall mean those members of the faculty of the University of Arizona who are not eligible for tenure, i.e., adjunct professors (full, associate, or assistant), instructors, and lecturers; visiting professors (full, associate, or assistant), instructors, and lec-

turers; clinical professors (full, associate or assistant), instructors, and lecturers; research professors (full, associate or assistant), instructors and lecturers; lecturers, initially appointed as such; instructors who are candidates for a degree; and individuals who hold part-time faculty appointments. All nontenure-eligible faculty members shall have the words "nontenure-eligible" on their Notice of Appointment.

"Notice of Appointment" shall mean the document by which an appointment is made each year and which is signed by the President of the University.

"Part-time" shall mean, for the limited purpose of tenure requirements, employment with the University less than 51% full time equivalent.

"Personnel matters" shall mean the appointment, renewal, nonrenewal, tenure, promotion, resignation, suspension, dismissal, and release of faculty members.

"Promotion and tenure criteria" shall mean those written standards established by each department pursuant to subsection 3.11.02.

"Tenure-eligible faculty members" shall mean those members of the faculty of The University of Arizona who are eligible for tenure, i.e., professors, associate professors, assistant professors, and instructors who are not candidates for degrees. However, the ranks of assistant professor and instructor are not tenurable ranks. Persons appointed to faculty positions shall not be eligible for tenure if their

appointment is preceded by designations such as visiting, adjunct, research or clinical. Persons whose initial appointments are as lecturer are not eligible for tenure as lecturer. All tenure-eligible faculty members shall have the words "tenure-eligible" on their Notice of Appointment.

"Unlawful discriminatory action" or "unlawful discrimination" shall mean those actions prohibited by state or federal laws or regulations including those relating to sex, race, color, national origin, religion, age, veteran status, and handicapped status.

3.02 SCOPE OF CHAPTER

Actions concerning personnel matters affecting faculty members shall be taken in accordance with this chapter and the ABOR-PM Conditions of Faculty Service, as amended, § 6-201 et seq. Each member of the faculty is appointed subject to the duties and responsibilities detailed in the ABOR-PM § 6-201, et seq., the ABOR Patent Policy (set forth in Appendix G), the University's Code of Conduct (set forth in Appendix A), and the Standards of Professional Conduct for faculty members (see Chapter 7), and is entitled to all the rights of academic freedom set forth therein.

3.03 DUTIES AND RESPONSIBILITIES OF FACULTY

Duties of a faculty member shall consist of those responsibilities assigned by the President or an appropriate administrator, such as a vice president, dean, director or department head. Teaching assignments, schedules and other instructional responsibilities shall be performed under the

direction of the President or the administrator. Duties and responsibilities shall be related to the expertise and competence of the faculty members.

Within the parameters of a faculty member's assigned responsibilities, he or she shall have the privileges and responsibilities expressed in the Board-approved statement contained in the Notice of Appointment.

Teaching, research, and service performance shall be subject to evaluations by the President or the appropriate administrator and performance shall be considered in decisions relating to compensation, retention, promotion, tenure, termination or a decision not to renew an appointment.

3.04 PROHIBITED CONSIDERATIONS; REVIEW OF DECISIONS INVOLVING PERSONNEL MATTERS

No decisions involving personnel matters shall be based on unlawful discrimination or other unconstitutional grounds. A faculty member who believes that a decision involving a personnel matter is a result of unlawful discriminatory action or was based on other unconstitutional grounds may request an Affirmative Action Office investigation or invoke the procedures for a hearing before the Committee on Academic Freedom and Tenure as set forth in the ABOR-PM § 6-201(K)(4).

Where an Affirmative Action Office investigation is requested, the Affirmative Action Office shall investigate the matter and recommend to the Provost that the matter be closed or that further action be taken to resolve the matter. The Provost may take any lawful action he or she deems appropri-

ate to resolve the matter. The Provost's decision shall be final and is not subject to further administrative review.

3.05 NON-APPOINTED PERSONNEL

Students who are graduate teaching or research assistants are not faculty members. Actions with regard to such individuals are governed by rules and procedures established through the Office of the Dean of the Graduate College.

3.06 COMPUTATION OF TIME/PREVIOUS SERVICE

Statements of time periods in sections 3.10, 3.11, 3.12, and 3.13 in all cases include sabbatical leaves but do not include leaves of absence without pay unless specifically provided otherwise by the Provost.

Persons having previous faculty service elsewhere in the same rank may count no more than four years of such service when being considered for assistant or associate professor without tenure, and no more than two years of such service when being considered for full professor without tenure. The amount of prior service to be counted shall be determined in writing prior to or at the time of appointment.

3.07 NOTICE

Wherever notice is called for herein, it shall be given in writing either by delivering the notice personally to the individual named, or by depositing the notice in the United States mail, first class, certified-return receipt requested, postage pre-paid, addressed to the individual named at his or her current address as reflected in the records of the University Personal Services Administration.

3.08 APPOINTMENTS

Appointments become effective when approved by the President, but initial appointments are subject to ratification by the ABOR. Appointment procedures are set forth in the "Guidelines for Recruitment" (Appendix D).

All faculty members shall receive each year a Notice of Appointment for the fiscal year beginning July 1 or for the academic year beginning on or about August 15. Appointments and renewals of appointments shall be for the period designated in the Notice of Appointment but in no event shall the appointment be longer than one fiscal year. No oral or written communication made prior to or after the execution of a Notice of Appointment that is inconsistent or in conflict with the Conditions of Faculty Service (ABOR-PM § 6-201, as amended) shall become a part of the conditions of employment.

The appointment of any faculty member, the performance of whose duties and responsibilities require a license or certification from the State of Arizona, is conditional upon the individual obtaining and maintaining the license or certification.

Appointments which are dependent for continuation upon funding from a specific source other than state appropriations shall so state in the Notice of Appointment and may terminate when the funding is no longer available.

A faculty member with tenure shall be so indicated on the Notice of Appointment by the designation "with tenure".

A faculty member without tenure shall be so indicated on the Notice of appointment by the designation "tenure-eligible" or "nontenure-eligible".

3.09 CONFIDENTIALITY OF PEER REVIEW PROCESS

Deliberations, evaluations, and recommendations of peer review committees are confidential, as are any evaluations or recommendations received by them. However, a summary of the results of any peer evaluation shall be communicated to the individual evaluated upon request when the results of the performance evaluations are reviewed with the individual by his or her administrative head.

3.10 PERFORMANCE EVALUATIONS

3.10.01 GENERAL

Faculty members of The University of Arizona are evaluated with respect to all personnel matters on the basis of excellence in performance and the promise of continued excellence in carrying out their duties and responsibilities.

Each performance evaluation shall contain, at a minimum, a discussion of the faculty member's (1) past and present performance, (2) personal progress, and (3) future potential and expectations. The assessment of performance shall include both peer review and an assessment of the faculty member by the immediate administrative head.

Performance evaluations are intended:

- (1) To involve faculty in the design and evaluation of objectives and goals of their academic programs and in the identification

- of the performance expectations central to their own personal and professional growth;
- (2) To assess actual performance and accomplishments in the areas of teaching, research and professional service through the use of peer review;
 - (3) To promote the effectiveness of faculty members through an articulation of the types of contributions they might make to the University community that will lead to greater personal and professional rewards;
 - (4) To provide a written record of faculty performance to support such personnel decisions as retention, promotions, tenure, sabbatical leave, merit increases, transfers, reassignments and reemployment;
 - (5) To recognize special talents, capabilities and achievements of faculty members; and
 - (6) To identify weaknesses that should be addressed during the next evaluation period.

3.10.02 CRITERIA

Written evaluation criteria shall be developed through faculty participation in each department, college or division to express the performance expectations for faculty members therein. Procedures and instruments for evaluation of faculty members on each criterion shall be developed by departments and colleges and approved by the Provost. Cri-

teria for merit awards must consider teaching effectiveness, research and scholarly growth, and professional service. Evaluation criteria may provide for recognition of long-term faculty activities and outcomes. Concentration of effort in one of the three major areas of faculty responsibilities (teaching, research, and service) is permissible, and may even be encouraged, during a particular year. Guidelines and evaluation procedures within departments shall be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated, a systematic assessment of student opinion shall constitute one component of the evaluation.

Annual performance evaluations may be taken into account as part of the promotion and tenure process, but such evaluations are not determinative on promotion and tenure issues. Progress towards promotion and tenure requires scholarly accomplishment over a period of years in the broader range of faculty responsibilities. Criteria and decisions with regard to promotion and tenure are determined under section 3.11.

3.10.03 FREQUENCY OF EVALUATIONS

Each faculty member's performance shall be evaluated in writing on a scheduled basis at least once every 12 months. Evaluations shall be shared with the faculty member involved no later than May 15. The faculty member may add written comments to the evaluation before signing it. The signed

evaluation shall become a part of the faculty member's departmental records.

3.10.04 APPEALS OF PERFORMANCE EVALUATIONS

Faculty members who disagree with their evaluations may request that they be reviewed at the next administrative level, which ordinarily will be that of the dean of the appropriate college. Such requests for review must be made in writing to the administrative head of the next level within 30 days of receipt of the written evaluation stating:

- (1) The points of disagreement;
- (2) Specific findings to be reviewed;
- (3) Facts in support of the request;
- (4) Corrective action sought.

The administrator conducting the review shall consider the facts in support of the request and develop any additional facts deemed necessary. The review shall be completed in writing within 30 days of receipt of the request, with copies provided to the faculty member and the department or other administrative head involved in the initial evaluation.

3.11 PROMOTION AND TENURE

3.11.01 STANDING COMMITTEES

Each college shall have a standing committee on faculty status within each department and at the college level to advise the department head and dean before recommendations are forwarded to higher administrative levels concerning all faculty personnel matters. The committees shall be composed of at least three tenured members of the faculty.

In promotion or tenure matters the committees shall be so constituted 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 full professors themselves. Standing committees have the right to meet without the administrator whom they advise.

3.11.02 CRITERIA

Promotion and tenure require excellent performance and the promise of continued excellence in teaching, research and service. Within these general guidelines, promotion and tenure criteria are to be developed by the faculty and department head in each department and approved by and filed with the dean and Provost. Promotion and tenure criteria shall be reviewed by each department annually, and current copies shall be maintained in the offices of the department head, college dean, and the Provost.

Department heads and departmental standing advisory committees should meet with tenure-eligible faculty members at least once a year to review promotion and tenure criteria and to answer questions. Tenure-eligible faculty members are expected to familiarize themselves with the promotion and tenure criteria applicable to their departments. Tenure-eligible faculty members experiencing or anticipating difficulties in meeting departmental tenure criteria should discuss the matter with their department head and departmental standing advisory committee at the earliest date possible.

3.11.03 ATTAINMENT OF TENURE

Attainment of tenure can only occur through specific notification by the President or his designate and may not result from inaction or inadvertence.

3.11.04 ASSURANCE OF APPOINTMENT

An individual who holds a tenure appointment is assured that the President shall offer an appointment to that individual for each succeeding fiscal or academic year until retirement, resignation, dismissal for just cause, or termination for budgetary reasons or educational policy change.

3.11.05 LEGAL EFFECT OF TENURE

It is not within the President's nor the ABOR's power to commit the State of Arizona to an obligation for which an appropriation has not been made and the use of the term "with tenure" neither constitutes nor implies a legal obligation which the President or the Board is not empowered to undertake. In practice, renewals of appointments of tenured faculty members have been approved and funds have been allocated annually for these appointments.

3.11.06 EFFECT OF RETIREMENT, RESIGNATION AND PART-TIME EMPLOYMENT ON TENURE

Tenured faculty members who retire or resign from the University, relinquish their tenured status. Persons already granted tenure do not forfeit their tenured status by reason of changing to part-time employment. However, changes to part-time status are permissible only where approved by the department head, dean and Provost.

3.11.07 **EFFECT OF SERVICE IN ADMINISTRATIVE POSITIONS ON
TENURE AND OTHER RIGHTS**

Members of the faculty serving in an administrative position shall not lose academic rank or tenure status but will have no expectation of continued employment in administrative service. Appointments to such positions are not contracts and such service is at the pleasure of the President. (See ABOR-PM Conditions of Administrative Service and Chapter 5 of this Handbook).

A member of the faculty who is terminated or released from an administrative position is not entitled to a hearing before the "Committee on Academic Freedom and Tenure" or any other faculty committee.

The salary level of a faculty member discontinuing administrative service shall be determined by the President on the same basis as all other faculty salaries in accordance with the ABOR Conditions of Administrative Service § 6-103 and Conditions of Faculty Service § 6-206.

3.12 **RULES AND PROCEDURES REGARDING SUCCESSIVE RENEWAL,
NONRENEWAL, PROMOTION, TENURE, AND RESIGNATION OF
TENURE-ELIGIBLE OR TENURED FACULTY MEMBERS**

This section applies only to tenure-eligible faculty members as defined in section 3.01.

3.12.01 **LIMITATION ON TENURE-ELIGIBLE SERVICE,**

A tenure-eligible appointment is for one year and shall not be renewed as a tenure-eligible appointment more than six successive times, i.e., for a maximum of seven academic or fiscal years of service, regardless of faculty rank or ranks held during the years of tenure-eligible service.

3.12.02 LECTURERS

A person appointed initially as lecturer is not eligible for tenure. However, a person appointed initially as an instructor or assistant professor is eligible subsequently for an appointment as a lecturer with tenure.

3.12.03 INSTRUCTORS

A person is not eligible for appointment as an instructor unless he or she has received or is an active candidate for a terminal degree in the field in which the person will be engaged as an instructor. If the person is a degree candidate, he or she is not eligible for tenure. Such appointments are governed by section 3.13.

Instructors are appointed initially for a period of one year. Such appointments are temporary. No instructor may be reappointed more than three times, i.e., may hold the rank of instructor for more than four academic years, whether successive or not.

An instructor may be recommended for promotion, for nonrenewal, or for other change in status during the first, second, or third year of service in rank. However, the department head shall inform the instructor in writing no later than the end of the third year that he or she is being recommended for: (a) promotion to assistant professor; (b) reappointment as instructor for a fourth year and that the appointment is terminal; or (c) appointment either as a lecturer with tenure or as a nontenure-eligible lecturer.

3.12.04 ASSISTANT PROFESSORS

An initial appointment as an assistant professor is for a period of one academic year and the appointment may be renewed at that rank no more than six times, i.e., no faculty member may hold the title of assistant professor for more than seven academic years.

A person promoted to assistant professor from the rank of instructor may not be reappointed in a tenure-eligible position more than six successive times including any reappointments as a tenure-eligible instructor.

An assistant professor may be recommended for promotion, for nonrenewal or for other change in status at any time through the sixth year of tenure-eligible service.

Before the end of the second year in rank, assistant professors shall be informed by their department head that they are being recommended for: (a) reappointment as assistant professor for a third and fourth year (this does not necessarily preclude consideration for promotion effective the fourth year, nor does it preclude possible nonretention at the end of the fourth year); (b) promotion for the third year; or (c) nonrenewal at the expiration of the third year of service in rank.

Before the end of the fourth year in rank assistant professors shall be informed in writing by their department head that they are being recommended for: (a) reappointment for a fifth and sixth year as assistant professor (this does not necessarily preclude consideration for promotion effec-

tive the sixth year, nor does it preclude possible nonretention at the end of the sixth year); (b) promotion for the fifth year; or (c) nonrenewal at the expiration of the fifth year of service in rank.

Reappointment in rank at the end of two and at the end of four years may be made without college or University review, but assistant professors must, at these stages, be formally evaluated by the department head and departmental standing committee on faculty status. These evaluations shall be expressed in writing, identifying any problem areas which may preclude the granting of tenure, and given to the nontenured faculty member.

Before the end of the sixth year in rank, assistant professors shall be informed in writing by the department head or dean that they are being recommended for: (a) promotion to the rank of associate professor with tenure; (b) appointment as assistant professor for a seventh and terminal year or (c) appointment as a lecturer with tenure.

3.12.05 ASSOCIATE PROFESSORS

An individual whose initial appointment at The University of Arizona is tenure-eligible at the rank of associate professor but who has not served elsewhere in the rank of assistant or associate professor shall be governed by the same time schedule for notification of renewal, nonrenewal, promotion and tenure decisions as is given in subsection 3.12.04 for assistant professors. A decision on tenure or nonrenewal in faculty rank must be made before the end of the

sixth year in rank, but promotion is not required as a condition of continued employment.

An individual who has had prior service elsewhere at the rank of assistant or associate professor and whose initial appointment at The University of Arizona is tenure-eligible at the rank of associate professor may be recommended for promotion, tenure, or nonrenewal at any time during the first through third year of service. Before the end of the third year of appointment at The University of Arizona in the rank of associate professor, the faculty member shall be informed in writing by the department head that he or she is being recommended for: (a) tenure effective the fourth year; or (b) appointment as an associate professor for a fourth and terminal year. Although a decision on tenure or nonrenewal in faculty rank must be made no later than the third year, promotion is not required as a condition of continued employment.

An associate professor with tenure may be recommended for promotion to the rank of professor at any time. If not earlier recommended, before the end of the fifth year of service in the rank of associate professor at The University of Arizona the faculty member shall be notified by the department head in writing that he or she will be reviewed during the fifth year for promotion and recommended for: (a) promotion to the rank of professor effective the sixth year or (b) reappointment as an associate professor for a sixth and subsequent year. If promotion to the rank of pro-

fessor is not recommended or granted, the department head shall ask that the departmental standing committee on faculty status review the case for promotion at five-year intervals unless the candidate requests a review prior thereto.

3.12.06 **PROFESSORS**

An individual whose initial appointment at The University of Arizona is tenure-eligible at the rank of professor may be recommended for tenure or for nonrenewal at any time during the first through third year of service in this rank. Normally such a person will not be granted tenure effective the first year, but may be granted tenure effective the second year. If tenure is not granted effective the first or second year, the faculty member shall be informed in writing before the end of the third year that he or she is being recommended for: (a) tenure effective the fourth year; (b) an appointment as a professor without tenure for a fourth and terminal year; or, in the case only of individuals who are 60 years of age or more at the time of review and who agree to this third option, (c) appointment renewable on a year-to-year basis by mutual agreement with total service in rank not to exceed seven years. Cases under the third option shall also be referred to the standing advisory committees on promotion and tenure following the procedures described in subsection 3.11.01 and section 3.17.

3.13 RULES AND PROCEDURES REGARDING SUCCESSIVE RENEWAL, NONRENEWAL AND PROMOTION OF NONTENURE-ELIGIBLE FACULTY MEMBERS

This section applies only to nontenure-eligible faculty members as defined in section 3.01.

3.13.01 LECTURES

Lecturers are appointed for a period of one year or less, but may not be reappointed for more than two consecutive years following the initial year of appointment except as set out below. Reappointments are subject to performance evaluations reflecting satisfactory performance. At the end of the third year, if the need for the position continues, the position shall be advertised in accordance with the University's Guidelines for Recruitment (see Appendix D) and the incumbent lecturer may apply for and be considered along with all other applicants.

3.13.02 INSTRUCTORS

Nontenure-eligible instructors are appointed for a period of one year or less. An indefinite number of annual renewals is possible. Individuals holding such a title may be promoted to nontenure-eligible assistant professor within three years of initial appointment provided their annual evaluations under section 3.10 meet the criteria in subsection 3.13.03.

3.13.03 ASSISTANT PROFESSORS

Appointment or promotion to the level of nontenure-eligible assistant professor will be recommended largely on evidence of promise, adequate training, depth of knowledge in

a particular specialty, and capacity to undertake high quality teaching, research, or service.

A nontenure-eligible assistant professor is appointed initially to that rank for a one-year period. This appointment may be renewed an indefinite number of times subject to satisfactory annual performance evaluations. Such an appointee may be eligible for promotion to nontenure-eligible associate professorship within three years of initial appointment and, thereafter, shall be reviewed by the department and college every five years for retention in rank.

Nontenure-eligible assistant professors must be informed by the department head every five years that they are being reviewed for retention in rank or for promotion to nontenure-eligible associate professor. Such recommendations shall be considered by the standing departmental and college committee on faculty status, and be forwarded to the Provost.

3.13.04 **ASSOCIATE PROFESSOR**

Appointment or promotion to the level of nontenure-eligible associate professor will require evidence of an established and productive career in addition to the qualifications required of a nontenure-eligible assistant professor. Such an individual should be known at the state and national level for his or her particular expertise. Such a person should contribute to the departmental program in a significant fashion.

A nontenure-eligible associate professor may be recommended for promotion to the rank of nontenure-eligible pro-

fessor at any time but shall be reviewed for retention in rank every five years. During the fifth year, the faculty member must be informed by the department head that he or she is being reviewed for retention in rank or for promotion to nontenure-eligible professor. Such recommendations must be considered by the standing departmental and college committees on faculty status and forwarded to the Provost's office for decision.

3.13.05 PROFESSORS

Appointment or promotion to the level of nontenure-eligible professor will require unique qualifications regarding expertise and experience in addition to those possessed by nontenure-eligible associate professors. Such an individual must have achieved national recognition through peer organizations and should bring distinction to the departmental program. Nontenure-eligible professors may be renewed annually provided the faculty member continues to meet the criteria for the rank and performs satisfactorily as determined by annual performance evaluations.

3.13.06 NOTIFICATION OF NONRENEWAL

In the case of nonrenewal of a nontenure-eligible faculty member, notice must be given to the faculty member at least 90 days prior to his or her renewal date.

3.13.07 APPOINTMENTS FUNDED BY NON-STATE FUNDS

Nontenure-eligible faculty whose appointments are funded wholly by non-state funds, i.e., funds from a source other than state appropriations, may not be renewed if the

non-state funds are no longer available. If a nontenure-eligible faculty member's appointment is partially funded by non-state funds and those non-state funds become unavailable, that faculty member's salary is subject to adjustment accordingly.

3.14 RESIGNATIONS

Faculty members who intend to resign at the expiration of their appointments shall notify the department head in writing of their intention as early as possible.

3.15 DECISIONS ON RENEWALS

Decisions to renew a tenure-eligible or nontenure-eligible faculty member shall be made by the President upon recommendation of the Provost and dean, and, where applicable, the department head.

3.16 DECISION ON NONRENEWAL OF NONTENURE-ELIGIBLE FACULTY MEMBERS

In a multiple department college, any decision not to renew a nontenure-eligible faculty member shall be made by the department head. The decision of the department head may be appealed to the dean by the faculty member filing a written request for review with the dean within 15 days after notice of the decision of the department head. In a single department college, the dean shall make the decision not to renew. The dean's decision shall be final in all cases and is not subject to further administrative review.

3.17 DECISIONS ON NONRENEWAL, PROMOTION AND TENURE OF TENURE-ELIGIBLE FACULTY

Decisions regarding nonrenewal, promotion and tenure of tenure-eligible faculty members shall involve six levels of review in a multiple department college, i.e.,

- (1) Departmental Standing Advisory Committee
- (2) Department Head
- (3) College Standing Advisory Committee
- (4) Dean of College
- (5) University Standing Advisory Committee
- (6) Provost

In a single department college, only levels (3) through (6) are required. The dean's designate shall act as the department head in cases in which a department temporarily has no head.

The Provost shall decide whether an individual will not be renewed, or will be promoted or granted tenure. In the case of nonrenewal of a tenure-eligible candidate, a terminal contract shall be offered for the next appointment period.

3.18 APPEALS TO THE PRESIDENT

In cases where the Provost has decided not to renew or has denied promotion or tenure to a tenure-eligible faculty member, the faculty member may appeal the nonrenewal or denial to the President. Such appeals must be filed in writing with the Office of the President within 30 days after notice of the Provost's decision. The President's review shall be limited to the record compiled under section 3.17. The President's decision shall be issued in writing and for-

warded to the faculty member involved, with copies to the Provost and the appropriate dean and department head. The President's decision is final. If the Committee on Academic Freedom and Tenure subsequently recommends that further review or action be taken by the President, the President may direct that additional review or action be taken; otherwise, the matter is not subject to further review.

3.19 NOTICE OF RECOMMENDATION

At the time a recommendation regarding renewal, non-renewal, promotion or tenure is transmitted by the department head or dean to the next administrative level, the faculty member involved should be advised in writing of the nature of the recommendation. The faculty member is not entitled to a statement of the reasons for the recommendation.

3.20 REASONS FOR NONRENEWAL OR DENIAL OF PROMOTION OR TENURE

A nontenured faculty member whose appointment is not renewed or who is denied promotion or tenure is not entitled to a statement of the reasons for that action. The denial of promotion or tenure or the refusal to renew, however, need not be construed as due to failure or poor performance on the candidate's part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing position; the need to shift a position or resources to another department or unit; or the opportunity for a more vigorous program in teaching, research or service may dictate that the individual not be renewed or granted tenure.

3.21 DISMISSAL OR SUSPENSION

Dismissal or suspension shall not occur until the faculty member has been given an opportunity for any applicable hearing as prescribed in ABOR-PM § 6-201. Dismissal refers to termination for just cause of (1) a tenured faculty member or of (2) a tenure-eligible or nontenure-eligible faculty member prior to the expiration of his or her appointment.

The dismissal of tenured faculty members shall be governed by the provisions of ABOR-PM § 6-201 (I)(1) and (K).

The dismissal of nontenured faculty members shall be governed by the provisions of ABOR-PM § 6-201(I)(2) and (K)(2).

3.22 RELEASE DUE TO REORGANIZATION OR FINANCIAL EMERGENCY

3.22.01 GENERAL

Any determination that reorganization or financial emergency requires the release of a tenured faculty member or the release of a tenure-eligible or nontenure-eligible faculty member prior to the end of an appointment term shall be made in accordance with the provisions of the ABOR-PM § 6-201(J).

3.22.02 REORGANIZATIONS

In cases involving reorganization the review committee called for by ABOR-PM § 6-201(J)(4)(a) shall consist of faculty members nominated by the Committee on Committees and selected by the Faculty Senate and students nominated by the Associated Students of the University of Arizona and selected by the President. The review committee shall present its

findings to the Faculty Senate. The Senate's recommendations, together with the review committee's report, shall be forwarded to the President. Within 30 days of a decision to terminate a program element, an affected faculty member may appeal the decision to an appeal committee of faculty and administrators appointed by the President. The appeal committee will make a recommendation to the president within 30 days of the filing of the appeal. The President shall make the final decision.

The appointment of a tenured faculty member may not be terminated before the end of the academic year following the one in which the decision to eliminate that position becomes final.

The University shall devote its best efforts to securing alternative appointments within the University in positions for which the affected faculty member is qualified under existing criteria. The University shall devote its best efforts to insure that such faculty members are made aware of openings at other Arizona universities and opportunities for retraining for further professional growth.

In the event that the program element which has been terminated should be reinstated within a period of three years, new positions consisting of duties reasonably comparable to those of the released tenured faculty member shall not be filled without first offering the released tenured faculty member reappointment. The released tenured faculty

member must be given a reasonable time not to exceed 30 days within which to accept or decline reappointment.

A tenured faculty member who is to be released, or a nontenured faculty member who is to be released during an appointment term, shall be entitled to a hearing as provided in ABOR-PM § 6-201(K)(4) upon written request filed with the President of the University within 15 days of receipt of notice of such release.

3.22.03 **FINANCIAL EMERGENCIES**

In cases involving financial emergency the review committee called for by ABOR-PM § 6-201(J)(10) shall be appointed by the President. It shall consist of nine members with five selected from a list of faculty members endorsed by the Faculty Senate after nomination by the Committee on Committees.

The President shall inform the review committee of the nature of the emergency and seek the committee's advice. If the committee concurs by a majority vote that a financial emergency exists, the President shall forward the joint recommendation to the Board of Regents that a financial emergency be declared. If the committee does not concur with the President that a financial emergency exists, the President shall forward his and the separate committee recommendations to the Board of Regents. If the Board determines that a financial emergency exists, it shall direct such steps as may be appropriate to relieve such emergency. Such steps may

include release of tenured faculty or release of nontenured faculty within an appointment period.

The Board shall ask the President for recommendations in regard to release of faculty members. Recommendations shall be supplied to the Board within 30 days of the request. In making its final decision the Board shall provide to individual faculty members who will not be retained or who will be released as much advance notice prior to termination as the Board deems possible.

A tenured faculty member who is released, or a nontenured faculty member who is released within an appointment period, shall be entitled to a hearing in accordance with the procedures provided in ABOR-PM § 6-201(J)(9). Such a hearing may occur following release unless the emergency circumstances permit a prior hearing.