

MINUTES OF THE MEETING OF THE FACULTY SENATE OF THE UNIVERSITY OF ARIZONA
Monday, January 18, 1988 Room 146, College of Law

The Faculty Senate convened in regular session at 3:00 p.m. on Monday, January 18, 1988, in Room 146 of the College of Law. Fifty-eight members were present. Presiding Officer of the Senate Thomas R. Rehm presided.

SENATE MEMBERS PRESENT: Aleamoni, Andreas, Atwater, Austin, Bootman, Boynton, Butler, Carranza, Cartee, Consroe, Cosgrove, Cusanovich, Dickstein, Drake, Ewbank, Fagan, Fahey, Fenstermacher, Figler, Fleming, Ganapol, Goetinck, Hasselmo, Hershberger, Hetrick, Horak, Irving, Jones, Krutzsch, Larson, Logan, Mautner, McConnell, McCullough, McGraw, J. O'Brien, S. O'Brien, Paplanus, Parsons, Patterson, Reed, Rehm, Ridge, Roemer, Rollins, Ruiz, Silverman, Smerdon, Sobelman, Stedman, Steelink, Stender, Swaim, Watson, Weiss, Witte, Woodard, and Woolfenden. Dr. Robert Sankey served as Parliamentarian.

SENATE MEMBERS ABSENT: Aquilano, Bayless, Beigel, Billo, Brown, Chase, Chen, Chisholm, Cunningham, Daly, Epstein, Fulginiti, Koffler, Marcus, Mishel, Peterson, Phipps, Sander, Sharkey, Sigelman, Smith, Streitmatter, Tollin, Tomizuka, Tuchi, and Wilkening.

MOMENT OF SILENCE IN TRIBUTE TO MARTIN LUTHER KING, JR.: Dr. Rehm set aside a few moments to remember the contributions of Dr. Martin Luther King, Jr. to our country.

WELCOME EXTENDED TO NEW FACULTY SENATORS: Dr. Rehm welcomed two new Faculty Senators, Dean Robert Hershberger, College of Architecture, and Dean Ernest Smerdon, College of Engineering and Mines.

APPROVAL OF MINUTES OF DECEMBER 7, 1987: There being no requests for changes to the minutes of December 7, Dr. Rehm declared them approved as distributed.

REPORT FROM THE PRESIDENT OF THE UNIVERSITY: Dr. Rehm noted that President Koffler had been called to Phoenix unexpectedly, having just returned from Phoenix early this morning. (See "Report from the Provost of the University.")

REPORT FROM THE SECRETARY OF THE FACULTY: No report.

REPORT FROM THE CHAIRMAN OF THE FACULTY: Dr. Rehm reminded Senators that the Committee on Elections has preparations underway for General Faculty Elections. College Representatives to the Faculty Senate will be elected this year, and nominating petitions are available at various locations on campus, as well as at the Faculty Center.

Dr. Rehm said that the parking situation is going to worsen during the semester because a new parking facility will be initiated on the north side of the Stadium and because the Speedway improvement project will begin within a few months with the construction of tunnels prior to road widening; these two projects will cause the number of available parking places to decrease.

Dr. Rehm also reported that, because a survey is being conducted of all classified staff for the purpose of obtaining a full description of their jobs, some Senators will become involved because supervisors of classified staff must review and sign the multi-page document. This questionnaire, he said, is lengthy and will take each staff member a great deal of time to complete.

REPORT FROM THE PRESIDENT OF ASUA: Senator Carranza said the Arizona Students Association (ASA) has finalized its legislative agenda for the spring term. The top priority items this year will be (1) lobbying for the continuation budget, particularly the instruction components and academic support; and (2) financial aid, as proposed by the Board of Regents Financial Aid Task Force. He said he would welcome any faculty input. Senator Carranza said the ASUA office has received reports that students are very satisfied with the Student Information System, and he would be equally interested in receiving faculty comments.

ASA submits an annual Undergraduate Education report to the Board of Regents. In conjunction with this, ASUA will be compiling its portion. One of the major concerns this year will be upper-division courses being taught primarily by Teaching Assistants. Senator Carranza reported that the Faculty/Student Interaction Fund is rapidly approaching depletion, but there are still some funds available. Applications are available in the ASUA office. He concluded his report with a listing of the activities that are scheduled this week in honor of Martin Luther King, Jr.

REPORT FROM THE PROVOST OF THE UNIVERSITY: Dr. Hasselmo said he was reading this report on behalf of President Koffler, who was in Phoenix.

"I want to comment this afternoon on three topics: first, the draft of the University Handbook for Appointed Personnel; second, the University's budget both in terms of adjustments this semester and the prospects for next year; and, finally, some actions taken by the Board of Regents at its meeting last Friday and Saturday. All three are of importance to the University and of interest to Senators.

"I want to thank the Senate for its recommendations regarding Chapters 3 and 4 of the draft University Handbook for Appointed Personnel. These reached me in November and, after close review, I was able to write to Professor Rehm in early December to say that I have accepted all the Senate's recommendations with very few exceptions. These exceptions concern the right of faculty members and professional staff members to receive explanations when they are denied reappointment, promotion, tenure, or continuing status. I have no objections to these recommendations in principle, but I cannot accept them because they are contrary to existing Regents policy. I shall take up the matter with my fellow presidents to ascertain their feelings. In my opinion it would require a concerted proposal by all three presidents to persuade the Board to change its policies in this area. In the meantime, our Handbook must remain consonant with Board policy.

"As Senators will be aware from media reports, the state is facing some serious budget problems that will have an impact on the universities. These include a sizable deficit in the present year. The best estimates have come from the Joint Legislative Budget Committee and indicate a deficit of about \$140 million. Since about \$30 million of this is related to underfunding for the school districts and about \$55 million represents increased requirements for

the ACCESS program and other state obligations, the revenue shortfall is about \$55 million. State government has one alternative that could generate about \$30 million in savings by deferring construction and the opening of prisons. The Governor's Office has proposed a 2.9 percent cut in this year's budgets for the three universities. We have developed a contingency plan for this university but, until the Legislature has determined the precise level of cut that is required, neither the Board of Regents nor the University is able to determine exactly what actions will be required.

"The budget problem for the next fiscal year is of a more serious proportion. As you may know, the Governor's Office requested that the universities and other state agencies prepare for a 10 percent cut. The background to this proposal is the estimate that continuation of the present level of all state services, together with the obligations for formula funding and entitlements for the school districts, would require some \$250 million more than state revenues are expected to provide. The Joint Legislative Budget Committee estimates that the major elements in this \$250 million gap are about \$120 million for the school districts and about \$90 million for ACCESS.

"Clearly the Legislature faces a choice between major budget reductions in state agency budgets, with concomitant reductions in service, or changes in the state's tax structure so as to develop additional revenues more in line with the state's growth. In the meantime, in response to the Governor's request, the University has indicated the general types of damage that a 10 percent cut would have on our options. As you would expect, it would severely restrict programs and activities throughout the University. We cannot be more precise about our measures until we know what the Legislature decides. I shall keep the Senate informed as matters proceed.

"Let me add that the plan that has been presented is held in rather general terms, looking at expected enrollment reductions and the kind of savings that could be generated by specified enrollment reductions, looking not only at the instruction budget but also at the various support budgets, trying to make proportional cuts. It is clear that the 10 percent cut would pose major difficulties for the university. At the same time, we don't want to cause undue concern. Over the next few weeks you will be seeing reports concerning the impact that such a cut would have on the university, but let me emphasize that there is no decision that has been made about such cuts at this time. We are treading a fine line here between presenting realistically the damage that such cuts would make in a university, and on the other hand, not wanting to cause undue concern in the university community. I hope you will bear this in mind.

"On a third and happier matter, I want to indicate some decisions taken by the Board of Regents last week. Among other matters, the Board approved new rates for our residence halls next year, approved the establishment of a School of Public Administration and Policy as part of the College of Business and Public Administration, established registration fees for the College of Medicine in 1988-89 at \$5,141, and agreed to lease land at the Maricopa Agricultural Center so that American Cyanamid can construct a building for its cotton breeding program."

Dr. Hasselmo concluded his report by also extending a welcome to the two new Senators, Dean Ernest Smerdon and Dean Robert Hershberger.

REPORT FROM THE ACADEMIC PERSONNEL POLICY COMMITTEE: Senator Jones said that Dr. Rehm had shared the letter from President Koffler regarding Chapters 3 and 4 with the Academic Personnel Policy Committee. He said the committee will meet this week to complete its review of Chapter 5, and will have recommendations for change available for consideration at the February 1 Senate meeting. Senator Jones said there is a proposal for an addition to Chapter 4 regarding 2nd- and 4th-year reviews of professionals, and the committee hoped to have this ready for the Senate on February 1 as well.

REPORT FROM THE BUDGET POLICY COMMITTEE: Senator Bootman said that, as reported to the Senate by Senator Paplanus at the December meeting, the committee met initially with the Senate Executive Committee to clarify the committee's role within the planning process of the University, and he reported the committee has met on several occasions since then. Before it delineates its role, it will first examine the process whereby planning efforts occur at the department, college and university levels. A document is being prepared that will illustrate an overview of the planning process and its relationship to the university budget. Some information has been solicited informally from various departments and colleges, he reported. A second objective has been identified by the committee, and although little progress has been made thus far, it relates to planning documents; the committee has obtained copies for each of the 128 departments and colleges, and are reviewing them, concentrating on long-term plans, hopefully to meld findings with the committee's initial objective.

REPORT FROM THE INSTRUCTION & CURRICULUM POLICY COMMITTEE: Senator Atwater reported that the committee had prepared and sent a letter to each Dean, requesting their assistance in sending the committee materials from each department in their college regarding procedures used to evaluate teaching for both the annual performance evaluation and for purposes of promotion/tenure. She said that some material had already been received, and the committee appreciates the Deans' help with this project, as this material is not always easy to collect. Secondly, she said, the committee, working in conjunction with the Student Affairs Policy Committee, had a meeting to prepare a questionnaire which is now complete; it will survey the faculty on the topic of Teaching and its Role in the Reward Structure. The questionnaire is ready to be mailed, and is only awaiting funding; it should be mailed within the next week or two, she said. Thirdly, the committee is meeting with Dr. Tom Volgy this week regarding the University Teaching Center, formerly IRAD.

REPORT FROM THE RESEARCH POLICY COMMITTEE: Senator Witte said that the committee's draft proposals are coming before the Senate today under agenda item 10. Secondly, the committee is trying to solicit some definitions of "the worth of a faculty member"; Senator Witte requested that, in 60 words or less, Senators and other faculty, students and administrators respond to the committee with what they think a valuable faculty member is.

REPORT FROM THE STUDENT AFFAIRS POLICY COMMITTEE: Senator Swaim, in Senator Mishel's absence, said the committee is continuing to work with the Instruction & Curriculum Policy Committee in an attempt to discover what reward systems are currently in place for teaching.

CHANGE IN ORDER OF AGENDA ITEMS: Dr. Rehm requested approval to move agenda item 9 (Use of Social Security Numbers) up to this position because there were some individuals who had to leave early. It was so moved (motion 87/88-25),

seconded, and unanimously approved.

DISCUSSION ON THE USE OF SOCIAL SECURITY NUMBERS: Senator Woodard said that Senator Steelink had requested, at the December meeting, that a representative of the University Attorney's office be present during this discussion to comment on the legality of requiring Social Security Numbers as an identification number for students. He introduced University Counsel Andrew M. Ives, Jr. and Dr. Don Aripoli, Assistant Vice President for Student Services. He said he would like to indicate first that every undergraduate admission application states, on page 9, "NOTE: Although the University of Arizona has no statutory authority for asking for the Social Security Number, it is hoped each student will provide this information which will be used as a student identification number only." He said this statement meets the two tests, indicating (1) the voluntary nature, and (2) the purpose for which it will be used. He said the same statement appears in the graduate application on the affidavit form which most graduate students complete.

Senator Woodard said the University is required by Federal law to collect Social Security Numbers for purposes of awarding financial aid or for tax purposes, and that Mr. Ives' office has reviewed what is known as Public Law 93579, and he called on him to comment.

Mr. Ives: "The issue of Social Security Numbers has been a perennial subject of inquiry. As I looked through the files of my predecessor, there has been a memo about every two years on this subject. The answer has not changed in any way since April of 1977 when ASU asked the Attorney General of Arizona for an opinion on the appropriateness of the Registrar using the numbers for internal purposes such as grading, etc. The bottom line is that voluntary use of the Social Security Number by the Registrar's Office is perfectly appropriate, and the use of Social Security Numbers for Federal financial aid is mandated. The only question arises when a student who is getting Federal financial aid objects to the use of their Social Security Number for other purposes within the institution. It's my understanding that the Registrar remains willing to accommodate any student who is required to provide a Social Security Number for financial aid but does not wish it used for other purposes. It will perhaps result in some delay or confusion in the processing of certain items for them, but so long as we do not deny them any right, privilege, or benefit, we are satisfying the Federal requirements with respect to the use of the number."

Senator Steelink said he had talked to a number of students, and he wondered if there are any instructions in the Registration packet as to what students should do if they do not wish to provide the Social Security Number. Senator Woodard said instructions are not included in the Registration packet. Senator Steelink said that in that case the student will assume it is not voluntary and therefore cannot register. Senator Woodard said that when the student went through Orientation and raised that question, the student would be instructed as to what form to fill out, and he called on Senator Butler for additional information.

Senator Butler said he wished to clarify that the paragraph is printed in the application materials, where the Social Security Number is requested. Senator Steelink asked, when the student registers by telephone through SIS, if instructions are available at that point. Senator Butler responded no; the information on the admission application indicates this is optional, and if the student doesn't provide it, the number is not available to the registration

system. In such a case, the student would have been given an alternate number. Senator Steelink asked if the student would know if he/she had been assigned an alternate number. Senator Butler said that when SIS was begun, every student enrolled and every student subsequently admitted received a form stating what their student identification number is, and that it should be used for accessing the system. Senator Steelink asked how many students avail themselves of these alternate numbers. Senator Butler said approximately 22 had asked that their Social Security Number not be used. Senator Woodard said his understanding and experience with other institutions is that this figure is usually fairly small, as well. Senator Steelink asked Senator Woodard if he is satisfied this institution is providing enough warning and information to students regarding this subject. Senator Woodard said he would be happy to work with an appropriate subcommittee of the Faculty Senate on the pertinent language, because language can always be improved; and, secondly, it is very clear on both undergraduate and graduate application forms, and students must read it to complete the application form.

Senator Steelink said he had received his class roll last week, consisting of 200 students, with all Social Security Numbers listed. He said the class roll has also been seen by graduate students, faculty, undergraduate student assistants and staff. He said if he wanted to, he could use the Social Security Number to plug into any number of computer-access systems, including the student's bank; that worried him. Senator Woodard said he would respond by indicating the institution has the authority to use the number, but he would be willing to look at the practices employed, for instance deleting the Social Security Number on the class list. In these kinds of issues, in terms of messages and practices, he said, he would be happy to work with a subcommittee of the Faculty Senate.

Senator Hetrick asked for some indication how difficult it would be to abandon this system and return to the matriculation numbers. Senator Butler said it would be very, very difficult because the reporting requirement exists for student financial aid: it is very difficult to match the aid files against the other files unless they have this common identifying number. If the numbers don't match, then the student would not be eligible for financial aid. Senator Woodard said the vast majority of students must submit Social Security Numbers for financial aid or employment, regardless of the admission application forms.

Senator Swaim suggested that leaving the numbers off class rolls would cause a serious problem, because in her 24 years of teaching, many times she has had two students in the same class with the same name. She believed there must be some way to differentiate, for grading purposes, other than by name.

Senator Mautner said he was concerned that only approximately 20 students had availed themselves of the option of being assigned an alternate number. He said he could foresee 120 or 520 students opting for this, and he wondered at what point would having a second number become typical and would it be better to assign alternate numbers to students to begin with, rather than face the possibility of being swamped with students requesting alternate numbers. Senator Woodard said the changes could be made if this was made University policy; such a decision should be based on a knowledge of the problems, the cost factors, and the potential liabilities for students if a mis-match occurred by maintaining two systems. He said he would not counsel that decision, but he would concur if it was the will of the University.

Senator Sobelman asked if there is a list that indicates where the Social Security Numbers are used on campus; he said he has encountered situations where, when the Social Security Number is entered, a statement appears indicating where and how the number will be used. Specifically, he said, he wondered if it would be spelled out anywhere, for example on the admission application, that faculty will be provided with student Social Security Numbers, and the extent of dissemination of that number. Senator Woodard said that under the Privacy Act, that information may not be released except to those who have a need to know, for example, the professor of the students in the class, or the Department Head or the Bursar. Senator Butler added that under SIS, those who have terminals may be restricted; for example, on his terminal he is unable to access information on student financial aid. He added that the institution has a certain amount of confidence and trust in the faculty that they would not violate or mis-use the system. Senator Sobelman said he has no problem with individuals having the number; his concern lies more with the fact that students should be notified who will be getting their Social Security Numbers. Dr. Rehm suggested this could be worked out with a word or two more on the application form.

Senator Paplanus said that Senator Steelink had indicated concern with individuals' bank accounts; but if there is a link between matriculation number and Social Security Number, as Senator Butler indicated there must be, then if one is clever enough that isn't going to stop them. He felt there seems to be more concern about this by faculty than students, and he called on Senator Carranza to speak now or at a subsequent meeting about the magnitude of this problem as far as students are concerned.

Senator Carranza said that while there is no great wave of student concern about giving out their Social Security Numbers, there has been concern expressed about the use of those numbers: the policies that faculty and other segments of the campus use, and how they handle those Social Security Numbers. He made reference to a point brought up earlier: that the Faculty Senate work in conjunction with Student Affairs in developing guidelines for the use of the Social Security Number. For example, he said, in Residence Halls many times a student's name and Social Security Number were listed in the front on a rollodex as standard policy, but they were removed so that a student could not access another student's registration. He thought it would be appropriate for the Faculty Senate to spend some time to assist in drafting policy to eliminate security breaches. Senator Butler commented that if that was standard policy, it was in effect before SIS came on line.

Senator Steelink said he had been posting class grades by matriculation number, because the Privacy Act does not permit posting by name; he asked if he can now post them by Social Security Number, and if Counsel will defend him if he does. Dr. Aripoli said a letter has been sent to all teaching faculty asking that they not post grades by Social Security Number; there are alternatives such as birth date, the last four digits of the Social Security Number, or by seating arrangement, i.e. seat 1, seat 2, etc.

Senator Witte commented that one of the reasons we come to the Senate is to have our consciousness raised. She said she believed that often people are not aware if or when their rights have been violated, so that the number of people asking for information is irrelevant, and she expressed admiration for Senator Steelink's views on this subject. She urged serious reconsideration of the use of the Social Security Number for identification purposes.

Dr. Rehm commented that it would be helpful to have the memorandum to faculty distributed once again since the Social Security Numbers are now appearing on class rolls for the first time.

APPROVAL OF CURRICULAR MATERIAL: Dr. Rehm called for questions or comments on Curriculum Bulletin Vol. 12, No. 5. There being none, it was moved and seconded (motion 87/88-26) to approve Section IV; the motion was approved unanimously.

REPORT ON UNIVERSITY OF ARIZONA FOUNDATION CENTURY II PLANS: Dr. Rehm welcomed Dr. S. James Manilla, Director, Century II Capital Campaign, and Dr. Bartley Cardon, Associate Director of Development, who joined the Senate to provide background and information on the purpose of this fund-raising campaign. A slide presentation was provided by Dr. Manilla, highlighting important facets of the campaign, as well as a brochure (copy on file in the Faculty Center). Dr. Manilla said this is the first major, comprehensive capital campaign the University has ever undertaken. In response to the question 'Why is a public institution involved in a major capital campaign', the best answer he could give is that the amount of institutional state support has been gradually eroding; at one time, the University of Arizona was fully funded by the State Legislature, and now it equals approximately 41 percent, with private sources making up approximately 59 percent of our budget. Private sources come from federal funds, tuition, gifts, endowments, and intercollegiate athletics. Goals of the campaign are: Endowed Faculty Support Programs, \$15 million; Endowed Student Scholarship Programs, both graduate and undergraduate, \$15 million; Special Research and Educational Programs: \$20 million; New Facilities and Equipment, \$42 million; Alumni Endowment Fund, \$5 million; and Campus Enhancement, \$3 million. Efforts this year are concentrating on gifts of \$1 million and up. One group that is deserving of mention, he said, because they take on the major responsibility of solicitation, is the Office of the Chair. The Office of the Chair was appointed by the Foundation's Board of Directors: 12 members who have primary responsibility for providing the leadership and for solicitations of major gifts. To date, fifteen individuals and/or corporations have given \$1 million or more. College and faculty suggestions for potential donors would be most welcome, he said.

Following the slide presentation, Dr. Cardon addressed the Senate, noting that he was pleased to be here as a visitor and that he had served in the first Senate convened at the University of Arizona. He said this campaign is a most ambitious undertaking: to be really successful, all areas of the University community must participate, faculty and staff alike. He said there is a two-fold reason for participation: it assures potential public contributors of the total University community commitment to this fund drive and, secondly, "we need the money!" The faculty and staff portion of the drive will be conducted in the first part of 1989, following appointment of a campaign fund committee; organization will be similar to a United Way Fund drive, and permission for payroll deductions is being sought. He said every member of the faculty and staff will be contacted, and that it is the hope that every member will want to participate in this effort.

Dr. Manilla concluded by stating that he will be glad to schedule presentations should departments or colleges wish to learn more about the Century II Campaign.

RESEARCH POLICY COMMITTEE PROPOSALS RESCHEDULED TO FEBRUARY 1 MEETING: Senator Witte said she wanted to comment on the current Senate agenda. The Research Policy Committee proposals as well as Senator Silverman's proposal were placed at the end of the agenda; she suggested that regular items for faculty discussion not be placed last. She said she had just received from Dr. Hasselmo some material concerning the committee's draft proposals that would require the committee's attention. Senator Witte noted that over the last two years the Research Policy Committee has been considering the material contained in the proposals, some at the request of the Vice President for Research, and the committee has worked closely with the Technology Transfer Committee; extensive modifications have been made, many discussions have occurred, and the policies of many universities as well as Federal guidelines were reviewed, to put these documents together. She believed the work of the committee had not received proper consideration as exemplified by its placement on the agenda, and she felt at a disadvantage in not being able to review the document just handed to her. Therefore, Senator Witte requested consideration be delayed until the February meeting, with this item scheduled early in the agenda to provide adequate time for discussion.

MOTION APPROVED TO ADOPT FACULTY REGENT CONCEPT: Senator Silverman said that at the November Senate meeting he had made a motion, which was seconded, to support the concept of a Faculty Regent; included with today's meeting call was the proposed motion and the background information on it, including the comments by Robert Feugate, NAU, to the Board of Regents Subcommittee. His own experience on our campus, he said, has indicated how helpful it would have been over the years to have had a fellow faculty member be a part of the Board of Regents. Senator Silverman said one factor in favor of a Faculty Regent is that much of the Regents' work is done in subcommittees, and most faculty would be unaware of such activity. A second factor, he said, is that it would be helpful to have a colleague to speak with, whether from this university or another, in a direct line to the Regents. Another matter of significance, he believed, would be that the Regents would acquire an academic perspective with a Faculty Regent, who could provide insight from the faculty viewpoint. He said the Student Regent has been a good example of one individual being able to represent students at three universities, and that having a representative, whether from this campus or another, is better than having none at all. He requested endorsement of the Faculty Regent concept, as both NAU and ASU have already done, and anticipated that eventually a more formal proposal would be brought to the Regents and to the Legislature. Senator Silverman's motion (87/88-27) was then seconded and approved without dissent: The Faculty Senate of the University of Arizona supports the concept of having a Faculty Regent.

The meeting adjourned at 4:15 p.m.

George W. Ridge, Jr., Secretary

MOTIONS PASSED AT MEETING OF JANUARY 18, 1988

- 87/88-25 Approval to move agenda item forward.
- 87/88-26 Approval of Curriculum Bulletin, Vol. 12, No. 5, Section IV.
- 87/88-27 Approval to endorse the concept of a Faculty Regent

MATTERS SCHEDULED FOR ACTION AT FEBRUARY MEETING

Research Policy Committee: Four draft policies (Policy on Fraud in Research, Conflict of Commitment Policy, Facilities Mis-Use Policy, University Committee on Ethics and Commitment)

DOCUMENTS ATTACHED TO THESE MINUTES

None