

**UNIVERSITY of ARIZONA  
TUITION SETTING FOR FISCAL YEAR 1998**

		<b>MAIN CAMPUS (incl AGRICULTURE)</b>	
		FY98 Budget Priorities	Legislative General Fund Appropriation
1	Annualization FY96-97 Pay Adjustments	4,122,900	4,122,900
2	ERE Adjustment	-	1,555,300
3	Risk Management	-	506,600
4	Annualization- New Facilities	604,300	641,400
5	Alternative Fuels	100,000	270,000
6	Enrollment Growth/(Decline) 22:1	(2,871,700)	(2,439,400)
7	Enrollment Growth/(Decline) 22:1 Ag.	-	52,700
7	Adj. UASV & Main Campus- Gen'l Fund/Collections	489,900	489,900
8	Law College: PAR	-	(200,000)
9	Library & Information Support	1,343,300	314,500
10	ABOR Enrollment Management Initiatives	1,027,700	250,000
11	Undergraduate Education	1,500,000	600,000
12	Preparing Arizona's Work Force	1,000,200	-
13	Economic Development	1,179,800	-
14	Academic Program Development - SV & AIC	-	-
15	Other Adjustment - AIC (Balance Fwd)	-	-
16	Other Adjustment - AIC Enrollment	-	-
17	Critical Issue # 3	-	-
		<b>8,496,400</b>	<b>6,163,900</b>
18	ABOR Competitive Salary Plan w/ ERE	5,869,700	
19	10/01/97 .3% Classification Salary Adj. (CMR)		1,278,200
20	01/01/98 2.5% Merit, maximum to 5%		2,509,300
Additional/Remaining Institutional Priorities			
21	Mitigate Law College: PAR Assumption	200,000	-
22	Reallocate 22:1 Enrollment Base to Funded Items	2,439,400	-
23	Library & Information Support	1,028,800	-
24	Academic Program Enhancement	3,182,800	-
25	ABOR Enrollment Management Initiatives	77,700	-
26	Undergraduate Education	300,000	-
27	Carryforward JLBC Assumption	-	-
28	Oth. Adj. (Sierra Vista Critical Issue #3)	-	-
	<b>Total</b>	<b>21,594,800</b>	<b>9,951,400</b>
29	Less Legislative Appropriation	(9,951,400)	
30	Less Planned Collections Decrease/(Increase)	156,200	
31	Less University Internal Reallocations	(4,239,400)	
	<b>Unmet Need</b>	<b>7,560,200</b>	
	<b>Tuition Estimates</b>	<b>3%</b>	<b>2,515,400</b>
		<b>5%</b>	<b>4,178,900</b>

AEOR approved tuition adds \$2.9 million

Provost Sypherd's overhead slide #1  
Faculty Senate meeting, May 5, 1997

PRELIMINARY REVIEW: SUBJECT TO ABOR & JLBC CLARIFICATION

Budget Office 4/2/97

REVISED 4/4/97

REVISED 4/4/97

REVISED 4/4/97

	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN
	FY 1997-98																										
	10/01/97												1/01/98														
A																											
	B, E												C, G														
4/01/97																											
	10/01/97												1/01/98														
	A												F														
	10/01/97												1/01/98														
	10/01/97												1/01/98														
	A												D														
	10/01/97												1/01/98														

- A For all permanent employees - 1% plus \$500
- B For all permanent employees - 2.5% to a maximum of \$1,000
- C For all permanent employees - 2.5% Merit to a maximum of 5% (See also "G" subject to restrictions defined below)
- D For all permanent employees - 2.5% Merit to a maximum of 5%, and an amount to annualize the salary adjustments for FY 1997-98
- E CSA (CMR) .3%  
Classification Salary Adjustments:  
Adjustments made to job classifications that are critical to the orderly conduct of state operations and that are experiencing substantially above average turnover or current salary levels substantially below comparable positions outside state service. Adjustment to be applied to all positions within a single job classification.
- F CSA (CMR) 1.5%
- G \$4,000,000 (Systemwide) of the amount appropriated for "C" is appropriated to the ABOR for Teaching Incentive Bonuses

[Of these moneys, \$250,000 is for the Arizona Health Sciences Center. Primary qualification: teaching six credit hours in regular classes, based on a tenth week faculty teaching audit during the Fall semester of 1997. AHSC may count teaching effort in regular classes and clinical training towards qualification. Must hold rank of full Professor, Associate Professor, or Assistant Professor. ABOR to determine by 6/1/97 methodology based on direct classroom teaching load, other productivity factors, and classroom performance. Bonuses may be incorporated into existing base salaries of qualifying faculty. Bonuses shall be awarded at a rate between 2% and 5% of academic base salary per semester for qualifying faculty who teach a minimum of six credit hours in regular classes per semester.]

## The University of Arizona Student Credit Hours by College 1991-1997

	1991	1992	1993	1994	1995	1996	1997
Arizona International Campus						6	683
College of Agriculture	22,756	22,259	21,658	22,472	23,324	24,717	24,553
College of Architecture	5,954	4,950	4,945	5,150	5,065	4,943	4,603
College of BPA	45,973	43,130	40,652	38,905	36,795	36,900	37,509
College of Education	15,075	15,567	17,271	18,289	16,356	19,025	14,484
College of Engr & Mines	27,360	28,142	28,621	28,642	27,742	25,586	23,516
College of Fine Arts	30,394	30,216	29,161	29,243	30,076	28,595	27,954
College of Humanities	62,424	60,059	57,554	62,371	61,551	61,643	59,071
College of Law	6,307	6,624	6,794	6,866	6,796	7,252	6,844
College of Social Beh. Science	95,182	89,180	89,864	86,147	81,628	81,564	74,352
College of Science	83,741	83,654	81,381	84,395	79,673	78,520	73,634
College of Medicine	303	165			7,948	15,205	16,625
College of Nursing	3,877	3,520	3,891	4,200	4,529	4,298	4,142
College of Pharmacy	4,010	3,647	3,959	4,319	3,944	4,357	4,105
School of Health Professions	6,771	7,444	9,433	9,181	8,119	553	2,604
Health Sciences						118	126
Sierra Vista Campus					1,177	1,173	2,146
President					593	471	462
Provost	1,535	1,597	1,562	1,550	1,453	1,337	1,133
Academic Affairs					1,272	615	123
Research & Graduate Studies	265	465	227	494	3,205	3,552	4,074
Student Affairs	1,214	1,250	949	983	2,016	2,450	2,328
Undergraduate Education	3,626	4,134	3,657	4,344	3,352	3,601	3,722
Business Affairs					72		102
<b>Total</b>	<b>416,767</b>	<b>406,002</b>	<b>401,579</b>	<b>407,550</b>	<b>406,686</b>	<b>406,480</b>	<b>388,898</b>

Instruction and Curriculum Policy Committee  
Consent Agenda for Faculty Senate Meeting  
May 5, 1997

The following items have been approved by all relevant Department and College Committees. All items have also been approved by the Undergraduate Council and the ICPC. Both consolidations meet ABOR guidelines on shared majors.

Consolidations:

1. The Classics Department has agreed to consolidate 3 majors: Greek, Latin, and Classics, and to offer 1 major in Classics with 3 options: Option A, Greek; Option B, Latin; Option C, Classics.
2. The Russian and Soviet Studies Department has agreed to consolidate 2 majors, Russian and Russian/Soviet Studies, and to offer 1 major in Russian with 2 options: Option A, Russian; Option B, Russian/Eurasian Studies.

Establishment of a new major:

1. The College of Fine Arts proposes to establish a B.A. with a major in Fine Arts Studies.

Ann Weekes,  
Chair, ICPC

THE UNIVERSITY OF  
**ARIZONA**®  
TUCSON ARIZONA

Faculty Senate

Academic Personnel Policy Committee

Mailing Address:

Faculty Center  
The University of Arizona  
PO Box 210473  
Tucson, AZ 85721-0473

E-mail: [facsen@u.arizona.edu](mailto:facsen@u.arizona.edu)

Location:

Faculty Center  
1400 E. Mabel St.  
Tucson, AZ 85721

April 24, 1997

Phone: (520) 621-1342  
Fax: (520) 621-8844

**MEMORANDUM TO:** Members of the Faculty Senate

**FROM:** Larry C. Schooley, <sup>LS/ll</sup>Chair, Academic Personnel Policy Committee

**RE:** Family Care Policies

A set of recommendations from the Family Care Policies Working Group was forwarded to APPC by the Provost on March 3, 1997. These changes to the *University Handbook for Appointed Personnel* and the *Staff Personnel Policy Manual* are intended to clarify and improve the family care related policies of The University of Arizona. This effort was initiated by policy recommendations from the Association of Women Faculty, the Commission on the Status of Women, and the Office of Child Care Initiatives, which were subsequently discussed by the Provost's Management Group and the Academic Council of College Deans. Comments were solicited from Department Heads, the President's Council, and the Staff Advisory Council. Based on comments received, APPC has prepared a revised draft of the Family Care Policies, which is enclosed for your review.

The APPC will present the revised family care policies for approval as a seconded motion at the Faculty Senate meeting on May 5, 1997.

Attachment

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**RECOMMENDATIONS OF THE  
FAMILY CARE POLICIES WORKING GROUP\***

**Holly Smith, Dean, Social and Behavioral Sciences, Chair  
Elizabeth Buchanan, University Attorneys Office  
Nathan Buras, Professor, Hydrology and Water Resources  
Dennis Lichtenberger, Professor and Head, Chemistry  
Naomi Miller, Associate Professor, English**

- I. A new general statement encouraging support and accommodation for employees experiencing special needs in connection with their families, to be placed in the University Handbook for Appointed Personnel and the Staff Personnel Policy Manual, to be placed in the UHAP and Staff Personnel Policy Manual before Family and Medical Leave Act policy description:**

*It is the policy of the University to support to the greatest extent possible, and in a manner consistent with the effective and efficient operation of the University, employees who have special needs for reasons of pregnancy, childbirth, infant care, adoption, foster care, family care for the employee's spouse, child, or parent with a serious health condition, or the employee's own personal health condition. Deans, directors, department heads, and other supervisors shall make every reasonable effort to accommodate the needs of employees. Flexible and creative applications of leave policy to fit the demands of work units and the responsibilities of employees within their units are strongly encouraged.*

- II. A Temporary Alternative Duty Assignment Policy, available for all faculty and staff when it is deemed in the best interest of the University, to permit assignment of temporary alternative duty that makes it more feasible for the employee to remain on active employment at the University when affected by new parenthood, to be placed in the UHAP and Staff Personnel Policy Manual following the Family and Medical Leave Act policy description:**

*Employees may request a period of up to sixteen weeks during which the employee may receive an assignment of alternative duties that will make it more feasible for the employee to remain on active employment at the University while affected by circumstances such as:*

- the birth of the employee's child and to care for such newborn child;*
- a child's placement with the employee for adoption or foster care.*

**\*As reviewed and modestly modified by the Appointed Personnel Policy Committee**

*During this period the employee will continue to be compensated at his or her regular salary rate for the percentage appointment he or she remains active. If the employee elects to temporarily reduce his or her active percentage of appointment, the nonactive percentage will be designated as family and medical leave if the employee is otherwise eligible and has family and medical leave available.*

*The employee may apply for such an alternative duty assignment to her or his immediate supervisor—such as a department head, director, or unit administrator (“supervisor”). The decision will be made by the supervisor in consultation with the supervisor’s administrator—such as a dean, department head, or director (“administrator”). The application must include a statement signed by the employee attesting in the typical case that the employee will be responsible for at least 50% of the care of the newly born or newly adopted child. The employee should request the period of reassigned duties as far in advance as possible, so that the unit will be able to accommodate the ensuing shift in responsibilities.*

*The supervisor and administrator are encouraged to consider alternative duty assignment whenever possible. The assignment shall be approved if the supervisor in consultation with the administrator determines that the alternative duty assignment requested is feasible in the circumstances of the affected work unit and is in the best interests of the University. It is expected that the alternative duties will be ones normally included in the employee’s job description, but that the balance between the employee’s range of actual duties will be altered during the period in question. The timing of the reassignment, and the details of the alternative duties, must be approved by the supervisor. Such factors as work availability and demands, potential for flexible scheduling in the particular position, and effect of the requested assignment on the unit’s budget should be considered in reviewing a request for alternative duty assignment.*

*This policy is intended to apply to all appointed personnel who are at least .5 FTE, and to all permanent, non-probationary classified staff who are at least .5 FTE.*

Rationale: The working group felt that the primary goal in adopting a Temporary Alternative Duty Policy is to move the University as a whole toward more family-friendly policies, and to establish the University with the local and national communities as an employer with this kind of progressive image. From this perspective we felt it would be unwise of the University to limit application of this policy to teaching faculty, and not make it available to other professionals and to classified staff. We believe that there are substantial questions about the financial impact of this policy, and that the University would be prudent to make the policy available to all categories of employees, but to restrict the circumstances under which it can be invoked, in order to place limits on the financial and other impacts on the University’s functioning. In time it is our hope that it will be possible to broaden the

policy so that it can be used in other kinds of cases as well, for example when an employee needs to provide care for an elderly relative. Realistically, however, our expectation is that fewer staff will be able to avail themselves of the policy than will teaching faculty, since many staff jobs (unlike faculty jobs) do not involve a span of responsibilities which can receive different emphases at different times of the year.

We recommend a maximum term of temporary alternative duty at 16 weeks in order to accommodate for the length of the instructional semester and the difficulty that departments will have in replacing faculty teaching duties for a small number of weeks during a semester.

We do not believe that Temporary Alternative Duty should be available to employees simply by virtue of the fact that they have become new parents, but rather only if they will be responsible for a substantial portion of the new child's care. Hence we recommend that the employee sign a statement to this effect.

After some debate we decided to recommend that the decision whether or not to grant Temporary Alternative Duty be made by the employee's immediate supervisor in consultation with the next higher level administrator. We believe that this arrangement will place the decision on the shoulders of the individual most familiar with the needs of the unit, while at the same time invoking advice from an individual more removed from the situation and in some cases more likely to have a generous view about these matters.

Since there is some concern about the financial impact that the Temporary Alternative Duty Policy may have on the University, we recommend that a careful account be kept of the numbers of employees who take advantage of this policy, of the impact these reassignments have on their units' work, and of any financial expenditures that are made in order to accommodate these reassignments. This will place the University in a position to assess the new policy, and determine whether it wishes to extend the circumstances in which this policy may be invoked.

**III. A change in the existing policy regarding parental delay in the tenure and continuing-status clocks (UHAP 3.12.01 and 4.10.03), increasing from one to two the number of delays that each affected employee may utilize during his or her probationary period:**

*...An individual while holding a tenure-[continuing-]eligible appointment at The University of Arizona may request a one-year parental delay of the tenure clock [continuing status decision] such that each of the remaining second-year, fourth-year, and tenure-[continuing-]status reviews will take place one year later than would have occurred without such a delay. Such a delay (or connected set of delays) will be granted, up to twice during the individual's tenure-[continuing-]eligible appointment period, if the appointee becomes a parent by the birth or adoption of a child while holding such a tenure-[continuing-]eligible appointment, and if certain*



*eligibility requirements are met. An individual granted a parental delay shall not be subject to additional scholarship or service requirements, above and beyond those normally required, in order to qualify for retention or tenure [continuing status]. If both spouses hold tenure-[continuing-]eligible appointments at the University, and are otherwise eligible, then both shall be granted a parental delay upon request.*

*Eligibility requirements for receiving a parental delay include providing a written notice to the department head as early as possible and in no case later than one year subsequent to the date of birth or adoption of the new child. In order to be eligible for the delay of the second-year, fourth-year, or tenure-status review, the birth or adoption date must have occurred no later than the summer (or semester) immediately prior to the semester in which the scheduled department-level review is to take place. The request for delay of a given review must be submitted prior to departmental consideration of the candidate under review. The request for parental delay must be approved by the appropriate department head or director, dean, and the provost.*

**Rationale:** We eliminated the requirement that applicants explain the manner in which they expect new parenthood to affect their performance, since in our experience this is a demeaning requirement that few such employees are in a good position to answer informatively. We required that the birth or adoption of the child occur no later than the semester or summer immediately prior to the semester in which the review would take place. This fixes the date of the initiation of new parenthood in a manner that is clear and yet far enough in advance of the review date that this event could reasonably be expected to have some negative impact on the candidate's preparation for the review.

Given that some applicants will need to evaluate the impact of new parenthood before deciding that they wish to request a delay in the tenure clock, we set the deadline for application up to one year subsequent to the birth or adoption of the new child.

# ACADEMIC PERSONNEL POLICY COMMITTEE

A Standing Committee of the Faculty Senate

## ANNUAL REPORT 1996-97

### Committee Members:

Larry C. Schooley, Chair  
*Electrical and Computer Engineering*

Valerie L. Meyer  
*ASUA*

Lawrence M. Aleamoni  
*Educational Psychology*

Richard L. Poss  
*Humanities*

Alice Elizabeth Ervin  
*Music*

Andrew Silverman  
*Law*

Rose M. Gerber  
*Nursing*

Timothy Troy  
*Center for Creative Photography*

### ACTIVITIES:

The Academic Personnel Policy Committee (APPC) met regularly throughout the 1996-97 academic year and considered a variety of matters relevant to academic personnel. Because of the large number of important and complicated items on the agenda, it was often necessary to meet once or twice each week, and quite often for more than one hour. I wish to thank the Committee members for their very hard work and for the professional manner in which they addressed these significant issues. The following is a brief summary of APPC's accomplishments.

**POLICY ON EMERITUS STATUS** - A proposed revision to Section 3.22 of the University Handbook for Appointed Personnel (UHAP) had been drafted by the previous committee in an attempt to clarify the method of attaining emeritus status, the privileges implied by such status, and a method for negotiating additional privileges and resource allocations with Departments. The current committee endorsed this draft and submitted it to the Senate for approval. After some discussion and amendment, the proposal was approved by the Faculty Senate. The important issue of voting privileges for emeritus faculty was postponed until such time as other amendments to the Constitution and Bylaws of the General Faculty might be considered.

**PROCEDURES FOR CONTINUING REVIEW** - Draft 10.4 of a continuing (post-tenure) review policy was forwarded to APPC in August 1996 by the Task Force on Conditions of Faculty Service. This document was sent to members of the Faculty Senate on August 18, 1997, for review and comment. Based on comments received and discussion on the Senate floor, the committee modified the document and sent a later draft

to both the Senate and the general faculty. After further revision, the final version was approved by the Faculty Senate on October 14, 1996.

**SHARED GOVERNANCE** - A document on shared governance was sent to APPC in October 1996 by the Faculty Senate Task Force on Shared Governance. This document was placed on Senator's desks at the November 1996 meeting, sent to Deans, Directors and Department Heads at about the same time, and mailed to the general faculty on December 9, 1996, for review and comment. Based on comments received and discussion at several Senate meetings, APPC prepared a number of subsequent drafts culminating in Draft 9 which was mailed to the general Faculty in early March 1997. After further revision, the document was approved by the Faculty Senate at the April 1997 meeting and implementation is currently being discussed by a joint faculty/administration committee. Any substantive changes resulting from this discussion will be brought back to the Senate in late April or early May. Future changes to UHAP and/or to the Constitution and Bylaws of the General Faculty may have to be considered as a result of these agreements.

**PROMOTION AND TENURE GUIDELINES** - Draft 9 of the "University Guidelines, Criteria, and Evaluation Procedures for Promotion and Tenure," were sent to APPC by the Task Force on Conditions of Faculty Service in August 1996. Committee action was deferred due to the presence of other, more urgent, agenda items described above. Draft 9 was placed on Senators desks at the December 1996 meeting and also sent to Deans, Directors, and Department Heads. Earlier drafts had been circulated to the general faculty. Based on comments received, the committee prepared draft 10 which was distributed to Senators for further review and comment prior to the April meeting. Action on a final version will be taken by the Senate in late April or early May.

**FAMILY CARE POLICIES** - A set of recommendations from the Family Care Policies Working Group was forwarded to APPC by the Provost on March 3, 1997. These changes to The University Handbook for Appointed Personnel and the Staff Personnel Policy Manual are intended to clarify and improve the family care related policies of the University of Arizona. This effort was initiated by policy recommendations from the Association of Women Faculty, the Commission on the Status of Women, and the Office of Childcare Initiatives, which were subsequently discussed by the Provost's Management Group and the Academic Council of College Deans. Comments were solicited from Department Heads, the President's Council, and the Staff Advisory Council. Based on comments received, APPC has prepared a revised draft which will be submitted to the Senate for approval in late April or early May.

*Submitted by the Chair of APPC, April 21, 1997.*

University of Arizona  
Faculty Senate

Instruction and Curriculum Policy Committee  
1996-1997 Annual Report

Committee Members: Ann Weekes, Chair; Jennifer Croissant, Roger Dahlgran, Roy Emrick, Judy Mitchell, Robert Mitchell, Sheila Pitt.

Judy Mitchell was unable to meet with Committee during Fall 1996, due to unresolvable conflict in schedule, and moved to NAS, Flagstaff in January 1997; Summer Kattenback (ASUA) met with Committee once, special meeting on General Education.

Members of ICPC also sat on the Undergraduate Council, which met the first Tuesday of each month; the chair of ICPC, Ann Weekes, also chaired the Undergraduate Council.

The Committee held 9 regularly scheduled meetings of 60-90 minutes, on August 28, September 16, October 21, November 18, January 13, February 4, March 4, April 1, and April 15. The Committee also held 4 special meetings, on November 25, to discuss the General Education Proposal with Faculty Senate Speaker, Jeff Warburton; on January 21, to discuss General Education Proposal with ASUA representative, Summer Kattenbach; on February 24, to discuss the Biomedical Engineering Interdisciplinary Graduate Program Proposal; and again on February 26, to meet with Drs. Williams and Humphrey, co-sponsors of this Program.

Activities:

**General Education Proposal:** The General Education Proposal took up much of our time, being discussed and amended at meetings on August 28, September 16, November 25, January 13, January 21 and February 4. ICPC discussed several drafts of the Proposal, and finally voted unanimously to accept the Proposal of the Engineering and Mines College on November 25, subject to the inclusion of several provisions the Committee thought necessary. ICPC took this Proposal to the Faculty Senate on December 2. After a lengthy discussion, the Senate asked ICPC to explore several questions and to report back to the March meeting. On January 13, ICPC met with Susan Steele and John Schwartz; all the issues which the Senate had introduced were discussed; satisfied that the Proposal was reasonable and workable, the Committee voted unanimously to approve the Proposal and take it to the Senate. The revised Proposal was discussed at the January 27 Senate Meeting. After 45 minutes, a motion to postpone further debate until March 3 because of the unresolved issue of criteria and guidelines for exemptions from elements in the Proposal was passed. ICPC discussed and approved the Exemptions Policy as drafted by the General Education Committee at the ICPC Meeting on February 4. On March 3, ICPC again brought the General Education Proposal to the Senate, which approved it, agreeing with ICPC's suggestion of a Senate-designated Committee to oversee implementation of the Proposal.

**Arizona International Campus:** The necessity, difficulty, and possibility of AIC's meeting The University's requirements for course approval was discussed at meetings on August 28, September 16, and April 1. On April 1, ICPC agreed with the General Education proposal that would credit students transferring from AIC to UA after 2 years with having completed all necessary General Education. Students transferring after less than 2 years will have their courses evaluated by each relevant college, in accordance with current procedure. AIC's second year courses will be accepted as experimental for academic year 1997-1998; these course will be re-submitted for acceptance as permanent courses once AIC faculty is in place. Roy Emrick, chair of the AIC Oversight Committee, reported on UA involvement in the hiring of AIC faculty at two meetings, on October 21 and November 18.

**Departmental Status; New Degree; New Programs; Consolidations; Deletions:**

ICPC approved the proposal by Women's Studies Program for departmental status; after some discussion, the Senate approved on November 4.

A new degree, a BA in Engineering was approved by ICPC on September 16, with the provision that the degree information note that students who receive degree are not certified as engineers, and that an evaluation process should be established so that Engineering College can determine after 5 years if sufficient numbers of students are taking course and if course meets a market need. After discussion, the Senate approved on October 7.

On February 24 and February 26, ICPC held meetings to discuss a proposal to establish M.S. and Ph.D. degrees in Biomedical Engineering. The two sponsors of the program requested consideration at short notice because outside funding, to be awarded in Spring, might depend on Senate support. The sponsors successfully answered ICPC questions about duplication with ASU and numbers of students. The Senate approved the new program on March 3.

During this period many degrees were consolidated or deleted, and some name changes took place; all are recorded in Faculty Senate Minutes.

**Minor Policy:**

Problems with Minors were discussed at the February 4 meeting. A chief concern was that the major advisor certifies completion of minor requirements and has much discretion in certifying that minor requirements have been met. Also the many paths to minors were sources of concerns, students often piecing together various courses to declare a minor. The new policy requires the minor discipline to approve any deviation from the prescribed content of minor at time of degree certification; it also requires a minimum of 18 units, 9 of which must be upper division. Colleges retain the right to determine whether to offer a minor or not, but may not preclude a student from declaring an existing minor. ICPC approved; Senate approved on April 7.

**Withdrawal Policy:**

An amendment to the Withdrawal policy put in place in 1996 was approved by ICPC on 15 April and will be introduced at the May 5 Senate Meeting.

**Unfinished Business:**

Upper Division Writing Proficiency Exam: ICPC discussed the Final Report of the Task Force on the Undergraduate Writing Experience on August 28 and invited Marvin Diogenes from the Composition Board to the November 18 meeting. No action was taken on the UDWPE, however, as the Committee responded to the more immediate concerns of Undergraduate Education, AIC, and program changes, degree consolidations, degree deletions, and name changes. This is an area that needs ICPC attention in the future.

**Recommendations:**

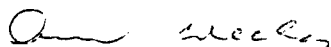
Committee to oversee implementation of General Education: If the ICPC is requested by the Faculty Senate to undertake this duty, it is suggested that routine matters, such as course deletions, be removed from the ICPC duties, and go directly to the Faculty Senate from the Undergraduate Council.

Colleges consolidating, deleting, or adding degrees: advise of the paperwork necessary for Committees to approve or deny their requests; much time had to be spent this past year in calling various parties for necessary information, which had not been submitted.

Clerical Assistance: The Chair has considerable clerical duties, preparing/typing agenda, taking/typing minutes, as well as gathering necessary information for items under consideration. Additional clerical help would ease Chair's duties.

It has been a busy and sometimes difficult year, but I consider it an honor to have been asked to serve for 3 years, the past year as chair, on this important committee. The members of the committee have been outstanding in their conscientious and willing approach to their tasks; I thank them, and I thank the Faculty Senate.

Respectfully submitted,



Ann Weekes

THE UNIVERSITY OF ARIZONA

Faculty Senate

Student Affairs Policy Committee

1996-1997 Annual Report  
submitted May 5, 1997

Committee Members:

Dr. Donald DaDeppo

Ms. Summer Katzenback, ASUA

Dr. Donald Davis

Dr. Mary McCaslin

Dr. Robert Dvorak

Dr. Mikelle Smith Omari

Dr. Robert Gore

Mr. Patrick Williams, ASUA

Dr. Alexis Hernandez

Prof. Jocelyn Reiter, Chair

Main discussion items:

The request of ASUA to distribute its teacher evaluations on-line rather than in printed version. Mr. Patrick Williams brought this item to the Senate at the April meeting.

In December Provost Paul Sypherd asked the Faculty Senate to review the Committee on Academic Integrity's revision of the University's CODE OF ACADEMIC INTEGRITY. Our Committee studied the revised version and approved it. We brought it to the Senate as a seconded motion at the April meeting. Dr. Alexis Hernandez led the discussion, which resulted in the Senate's approving the revised CODE.

We discussed the Electronic Catalog several times, and heard in March a presentation by Susan Steele on the new Catalog. The members were favorably impressed by the presentation.

**FACULTY SENATE  
RESEARCH POLICY COMMITTEE  
ANNUAL REPORT, 1996-97**

*MEMBERS*

*Ara Arabyan, Chair  
Stephen Coons  
Ronisue DeNise  
Raphael Gruener*

*Mary McCaslin  
Shlomo Neuman  
Gordon Tollin*

During 1996-97, the Research Policy Committee met seven times and worked on three issues:

- a) Policy on Ownership, Access to and Retention of Research Data (**POARRD**)
- b) Conflict of Interest and Commitment Policy (**CICP**)
- c) Institutional Consulting Policy (**ICP**)

**POARRD:** The POARRD document was published in the November 21, 1996 issue of *Lo Que Pasa* with a preamble from the Committee explaining the purpose and contents of the policy and soliciting input from the general faculty. Only one comment was received from the faculty. VP Michael Cusanovich responded to that comment. The policy was submitted to the Faculty Senate on January 27, 1997, and passed by a large majority vote.

**CICP:** The Committee spent considerable time in reviewing this policy which has been on the Committee's agenda for several years. The Committee reviewed individual comments submitted in Spring 1996 by 35 faculty to the Presiding Officer of the Senate as well as a legal analysis of the document by Senator Andy Silverman, submitted directly to the Committee. The policy document was completely redrafted in April 1997 to satisfy most of the concerns expressed by faculty and to address points raised by Senator Silverman. VP Cusanovich reviewed and approved the redrafted document which will be submitted to the Senate for discussion and possible approval on May 6, 1997.

**ICP:** The Committee identified two documents (one from the University of Massachusetts and one from the College of Engineering of the University of Arizona) to use as a basis for the ICP. The documents have been partially modified and merged to fit the conditions of the University of Arizona. However, this document could not be completed because of the higher priority placed on the CICP and considerable time it took to redraft that document.

The chair of the Committee also reviewed a proposal for the establishment of a Proposal to Establish a "Valley Fever Center of Excellence" in the University and submitted his comments to Provost Sypherd. The Arizona Board of Regents approved the proposal in Fall 1996.

As an ex-officio member of the Technology Transfer Committee, the chair of the Committee also spent considerable time on the drafting of the ABOR Intellectual Property Policy.



UNIVERSITY OF ARIZONA  
COMMITTEE OF ELEVEN  
ANNUAL REPORT  
1996-97

Membership:

Dr. Lawrence Aleamoni, Educational Psychology, Chair  
Dr. J. D. Garcia, Physics, Vice Chair  
Ms. Anita Chappu, Graduate Student Representative  
Dr. Roger Caldwell, College of Agriculture  
Dr. Robert Feltham, Chemistry  
Dr. Jody Giittenberg, Nursing  
Dr. Scott Jacobs, Communication  
Dr. Donald Myers, Mathematics  
Dr. John Schwarz, Political Science, Chair of the Faculty  
Mr. Andrew Silverman, Law  
Dr. Miklos Szilagyi, Electrical and Computer Engineering  
Mr. Patrick Williams, Undergraduate Student Representative  
Dr. Marlys Witte, Surgery

Meetings

The Committee met on alternate Friday afternoons, with adjustments made due to holidays or meetings of the Arizona Board of Regents. Guests included Graduate College Dean Thomas Hixon, Assistant Vice President Jerome Lucido, Provost Paul Sypherd, and Arizona Board of Regents President John F. Munger.

Major Activities

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

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

The Committee discussed the document entitled "Role of the Committee of Eleven," designed to build upon its historical position as an independent, faculty-wide elected body to study issues, illuminate problems, and propose solutions for the betterment of the University community.

The Committee completed the tabulation and summary of results on the President's and Provost's questionnaires and distributed complete copies to the President and Provost ten days prior to distributing summary copies to the faculty. The Committee decided to simply transmit the faculty's objective and written comments without interpretation.

The Committee broached the concept of a student centered research university, enrollment concerns, salaries, budget, faculty workload and the Presidential search with the invited guests.

The Committee organized and conducted four interactive sessions in the Group Systems Facility in McClelland Hall to generate representative faculty ideas on what presidential characteristics and qualities were desired in a new president. These were then summarized into nine categories and were distributed to the Presidential Search Committee and will be distributed to the University of Arizona faculty.

**REPORT TO THE FACULTY SENATE**  
from  
**THE COMMITTEE ON ACADEMIC FREEDOM AND TENURE**  
**MARY C. WETZEL, DEPARTMENT OF PSYCHOLOGY, CAFT CHAIR**  
**18 APRIL 1997**

This Annual Report is made for the 1996-97 academic year, the period I served as Chair. I followed Dr. Mark A. Smith, Department of Chemistry, and will be succeeded by Dr. Thomas C. Cetas, Department of Radiation Oncology.

Term ending 5/97:

Dr. Victor J. Hruby, Department of Chemistry  
Dr. Allan Matthias (replacing Dr. Sally Jackson),  
Department of Soil, Water and Environmental Science  
Dr. Lyn Ragsdale, Department of Political Science  
Dr. Mary C. Wetzel, CHAIR, Department of Psychology  
Dr. David Shimm (temporary replacement for Dr. Jane Williams), Dept. of Radiation Oncology

Term ending 5/98:

Dr. Thomas C. Cetas, VICE CHAIR, Department of Radiation Oncology  
Dr. Jody Glittenberg, College of Nursing  
Prof. Nina K. Janic, School of Music  
Dr. David E. Wigley, Department of Chemistry

Term ending 5/99:

Dr. Nathan Buras, Department of Hydrology and Water Resources  
Dr. Li-Zhi Fang, Department of Physics  
Dr. Adrienne Lehrer, Department of Linguistics  
Dr. Jane Williams, Department of Art

Term ending 5/2000

Prof. Jeffrey Haskell, School of Music  
Dr. Juan Heinrich, Aerospace and Mechanical Engineering  
Dr. Donna Iams, Family and Consumer Resources  
Dr. Allan Matthias, Department of Soil, Water and Environmental Science

## CASES COMPLETED DURING THE 1996-97 ACADEMIC YEAR

1. In April of 1996, a complainant asked a panel chair to "reopen" a case in which a three-member CAFT panel, during the 1995-96 year, decided that an action against a dean should not go forward. The faculty member's complaint had alleged improper procedure by the dean in reappointing the tenured faculty member to a different department within the same college. The new Chair, upon reviewing the case informally during the summer and fall of 1996, concurred with the panel that the case had been closed properly on the basis that it did not merit a formal hearing. The complainant did not submit a written request of appeal or pursue the matter further within CAFT.

*Implications for policy and procedure:* There is no provision in policy for an appeal to be made within CAFT itself, after a panel has made its decision. Presumably a second, informal review could be taken up by a different CAFT chair and/or panel. A formal appeal of CAFT's actions would more properly go to the President or other outside body.

2. In a case that was pending on April 19, 1996, a faculty member complained against a dean about discriminatory actions in performance reviews and salary adjustments over a multiple year period. The CAFT panel chair referred (June 1996) the complaint to the Provost for an affirmative action recommendation. The Provost, based on an investigation by the Affirmative Action Office, concluded (October 1996) that there was not substantive evidence of discrimination based on age and/or national origin. To date, the complainant has not formally pursued the case further with CAFT.

*Implications for policy and procedure:* Complaints charging discrimination are routed first to the Provost or the Affirmative Action Office, instead of going by the usual route to the Committee on Conciliation and then to CAFT. If the Provost's ruling is unacceptable to the complainant, he or she may then request a formal hearing before CAFT. The relevant policy is the University Handbook for Appointed Personnel, (UHAP-1995) 2nd. ed., 1995, Ch. 4, section 4.04. A number of faculty members and administrators have called the CAFT Chair to ask about routing. The routing problem might be reduced by additional cross-references across policy manuals.

3. CAFT received one case from the Vice President for Research that had been referred by the University Committee on Ethics and Commitment (UCEC). UCEC determined probable cause of research misconduct per General Policies of the University 2.13.09 (UHAP-1995). The case was the first to be handled under the University's new arrangements for addressing charges of misconduct in research, scholarship, or creative endeavor. A panel composed of five elected CAFT members and two faculty experts made an extensive investigation, held a procedural pre-hearing, and conducted a formal hearing. No formal complainant came forward. The panel did not find that a preponderance of evidence supported misconduct allegations, beyond instances of non-compliance that had been found previously by authorized research oversight organizations and committees, both within and outside of The University of Arizona. CAFT further found excessive flexibility in research protocols and human subjects consent forms, with accountability shared across investigators and agencies. In addition, personal and professional animosities restricted the right of the accused party to due process. In its report to the President, CAFT recommended no additional penalties against the complained-against party but did recommend that management practices be improved and that ethical review policies and processes be revised. The President accepted and approved the CAFT findings and recommendation.

*Implications for policy and procedure:* The first case sent forward to CAFT from UCEC had several implications extending beyond the specific case.

The following features worked well:

(1) Outside counsel. CAFT had outside counsel, in this case from Arizona State University, that was extremely helpful in assuring due process. The Chair was counseled to talk with parties only about procedures and not about the substance of charges. Counsel gave time generously to CAFT. CAFT's traditional resource for legal advice, the UA Law College professors, was not realistic for a challenging case, given their own heavy time commitments. We recommend at least part-time services by a UA attorney whose special charge is to counsel faculty committees in an increasing litigious academic community.

(2) Procedural pre-hearing. During the pre-hearing all considerations about procedure, documents to be disclosed, witness lists, and scheduling were clarified with everyone present who was involved in the proceedings.

(3) Court reporter. This feature of the pre-hearing and hearing permitted accurate transcripts to be made available quickly, in addition to the tape-recorded sessions.

(4) Outside experts on CAFT hearing panel. The two expert panelists were temporary but full members of CAFT who brought expertise in the field of the complaint. This feature (UHAP section 2.13.09) worked particularly well.

(5) UA management support. The Provost gave both timely help and necessary funding for this complex case. The Vice President for Research was also extremely helpful in giving procedural advice and expediting CAFT's decisions and activities. We wish to recognize their assistance, as well as that of the University attorneys.

Other features of this case were more troublesome:

(1) No formal complainant. In this case no complainant came forward, so CAFT had to both investigate and hear the case. It was technically cumbersome and labor intensive to investigate without special resources or expertise. The mode was new for CAFT and challenged its efforts to remain impartial until the end of the hearing. Although investigation is within CAFT's scope (2.13.09), since it was intertwined with conducting a hearing, the panel had to depart significantly from CAFT's traditional procedure of simply reacting to evidence presented by the parties: complainant and complained-against.

(2) Overlapping investigations. CAFT was able to use all documents obtained by UCEC in its search for probable cause. However, to maintain independence of the two committees, it could not call witnesses from UCEC to discuss the written materials. Much time was spent going over previous records "blind."

(3) Simultaneous investigations. CAFT was brought in before all investigations and decisions had been completed by the multiple authorized research oversight organizations, committees, and panels, including local (University) and Federal. CAFT's findings, therefore, could not be completely independent of others.

4. A five member panel was convened to address the complaint of a faculty member that improper procedures were followed in the promotion and tenure review. After requesting additional information from all parties to clarify the complaint, the panel considered at length the merit of the complaint. They concluded that although the dean's denial of promotion and tenure was "strange," for a faculty member who performed so well and received such positive reviews

from all peers, that the dean had followed the letter of the procedures. Others who were complained against, the Provost and President, were found to have followed proper procedures in supporting the dean's decision. The department head, the final party complained against, did not follow optimal lines of communication, but corrections were made that permitted the faculty member to respond despite delays. Due to lack of evidence concerning the complaint as written, therefore, the panel did not proceed with a formal hearing and considered the case closed.

*Implications for policy and procedure:* Although no concerns were raised by parties in this case, it did highlight two ambiguities in CAFT policy that are discussed in the next section: the way of determining merit for accepting a case and the role of investigation before, or instead of a hearing. The case was handled in a traditional manner by the CAFT Chair, panel chair, and panel. That is, the CAFT Chair spoke informally with the complainant about procedures and the format of the complaint. Then she formed a 5-member panel because the allegation concerned unconstitutional action in the form of violations of due process. The panel then investigated the merit of the case and determined that the case should not go forward.

## OTHER CAFT BUSINESS AND GENERAL COMMENTS

### Inquiries to CAFT

In addition to the cases that were completed during the 1996-97 year, there were numerous informal requests to the Chair for information about CAFT and related policies and procedures. Twelve individuals spoke by telephone or during scheduled appointments, often more than once. Some inquiries were referred to another committee, e.g., the Committee on Conciliation; some were resolved within the department; some were not taken forward by the complainant; and others may yet be submitted to CAFT as formal complaints.

### Updating of Policy Documents

#### 1. CAFT internal guidelines

Mark Smith, CAFT Chair for 1995-1996, organized a valuable CAFT Mission and Guidelines document from sources available at the time. Because this key document collects scattered information, it can be reviewed readily and updated as needed, when major policy and procedure documents are revised. CAFT policies and guidelines should be reviewed annually and revised as needed. Such a review is currently under way.

Additional policy statements need to be incorporated as CAFT's responsibilities expand or change. In most instances, CAFT is the final faculty committee to make recommendations to the President and/or Vice President for Research. Although most complaints still go forward to CAFT from Conciliation, an increasing number may be forwarded from Ethics (UCEC) and the Affirmative Action Office. Although the comments and recommendations below pertain primarily to cases in which a formal 5-member panel and hearing are established, they are also relevant to informal 3-member panels.

(1) Determining merit and other initial and/or informal actions. CAFT traditionally has been flexible, perhaps too much so in a few instances, in determining the merit of a case by questioning participants and investigating informally at an early stage. CAFT Chairs and panels frequently have assisted grievants to frame their complaints simply, concisely, and unambiguously. Care must be taken, however, to give any such procedural assistance equally to all parties named, as well as to make sure that all parties have full, timely access to documentary and other evidence. One useful model for comparison is the ASU Academic Affairs Manual, Personnel section, Grievance Policies and Procedures for Faculty. The first stage in the ASU

grievance procedure is through a Clearinghouse Committee that refers the case to a particular committee.

(2) Pre-hearing procedures. After a case alleging misconduct, dismissal, release, unconstitutional action (including due process and academic freedom), and/or discriminatory action has been accepted on its merit, a procedural pre-hearing is preferred to informal investigation by the CAFT Chair or panel. Such a pre-hearing clarifies the processes and calendar of events to all participants, permits questions and agreements as to details of the procedures, and ensures full disclosure of witness lists and evidence well before the formal hearing.

## 2. Concordance and cross referencing across policy documents

The major passages relevant to current grievance policies are scattered within and across several sources. The list below gives the most relevant sources and sections for CAFT purposes. CAFT is currently formulating some specific corrections and marking others that the Faculty Senate may wish to consider in its next review of these formal policies.

- ABOR Policy Manual, Ch. 6 Personnel Policies
- B. Faculty**, §6-201, Conditions of Faculty Service (Rev. 8/1/96)
  - C. Definitions: 3. "Committee on Academic Freedom and Tenure"
    - 5. "Discriminatory Action"
      - I. Dismissal or Suspension
      - K. Hearing Procedures for Faculty. [apply only to a faculty member recommended for suspension without pay or for dismissal]
      - L. Procedure to Review Allegedly Discriminatory or Unconstitutional Action (Including Violations of Due Process or Academic Freedom)
      - M. Faculty Grievance Procedure [to be set up by each university]
- C. Academic Professional**, §6-301, Conditions of Faculty Service (Rev. 8/1/96)
  - I. Termination: 1. Methods of Termination, 2. Dismissal
  - K. Dismissal Procedures
  - L. Discrimination Review Procedures

- **University Handbook for Appointed Personnel**, The University of Arizona, 2nd ed., 1995

### Chapter 2: General Policies of the University

2.13.09 Misconduct in Research, Scholarship or Creative Endeavor [charges are to be directed to the University Committee on Ethics and Commitment, UCEC. If inquiry has found probable cause of misconduct, the Vice President for Research must ask CAFT to conduct a formal investigation in accordance with ABOR-PM §6-201(K)(3)].

2.16 Sexual Harassment; and Appendix E, Policy on Sexual Harassment [case is directed to Affirmative Action Office].

### Chapter 3: Faculty Personnel Policies and Procedures

3.04 Prohibited Considerations: Review of Decisions Involving Personnel Matters. [A faculty member who believes an action resulted from unlawful discrimination or was based on other unconstitutional grounds should request investigation by the Provost and Affirmative Action Office or other appropriate investigation. If Provost's decision is not acceptable, faculty member may invoke procedures for CAFT hearing, ABOR-PM §6-201(K)(4).

3.17 Dismissal or Suspension [refers to ABOR-PM §6-201].

### Chapter 4: Professional Staff Personnel Policies and Procedures

4.04 Unlawful Discrimination; Review of Decisions Involving Personnel Matters. [refers to ABOR-PM §6-301 and -201]

4.20 Dismissal or Suspension  
[refers to ABOR-PM §6-301 and -201]

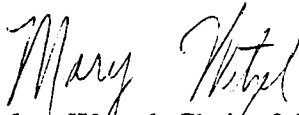
- Chapter 6: Grievances and Hearings [covers anything not covered in Chs. 3, 4, and 5].
- 6.02. General Administrative Procedures [grievances or complaints filed first with immediate administrative head]
  - 6.03. Unlawful Discrimination Review Procedures [if not resolved via Section 6.02, grievant or complainant may request Provost's Office to investigate. Investigation by Affirmative Action Office or other appropriate agent is carried out.
  - 6.04. Further Hearings. [If not resolved via Sections 6.02 or 6.03, goes to Committee on Conciliation and, if no conciliation, to CAFT].
  - 6.05. Protection of Employees from Reprisal for the Disclosure of Information - Review Procedure [If Provost's investigation did not resolve grievance or complaint, goes to CAFT].

Appendix B, Bylaws and Constitution of the General Faculty of The University of Arizona (Rev. 4/95).

- Article IV. General Faculty Standing Committees.
- Section 1,c,vi
- Section 9 [Procedures section spells out CAFT's activities in considerable detail]

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Respectfully submitted,



Mary Wetzel, Chair of the Committee on Academic Freedom and Tenure



THE UNIVERSITY OF  
**ARIZONA**  
TUCSON, ARIZONA

Committee on Ethics and Commitment

Mailing Address:  
Faculty Center  
The University of Arizona  
P.O. Box 210473  
Tucson, AZ 85721-0473

Location:  
Faculty Center  
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UNIVERSITY OF ARIZONA

**COMMITTEE ON ETHICS AND COMMITMENT**

**1996-1997 Annual Report**

Thomas P. Davis, Pharmacology (5/95-4/97)  
Jeanne Clarke, Political Science (5/94-4/97)  
David S. Shimm, Radiation Oncology (5/95-4/96)  
John Bradley, LRC, Education (5/95-4/98)  
James O'Leary, Plant Science (5/95-4/98)  
Sam James, Internal Medicine (5/96-4/99)

The committee met to review several formal allegations which were investigated and resolved. Several informal allegations were also presented to the committee. One set of allegations is still being investigated. The Chair of the Committee, Dr. Tom Davis, attended an intensive three day workshop funded by the American Association for the Advancement of Science on Mechanisms for Investigating Allegations into Research Misconduct: Inquiry and Investigation.

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

## COMMITTEE ON CONCILIATION

Annual Report

1996-1997

COMMITTEE MEMBERS	DEPARTMENT	TERM
Darrel E. Goll (Chair)	Animal Sciences	5/95-4/97
George Gutsche	Russian and Slavic Languages	5/96-4/98
Carol Larson	Teaching and Teacher Education	5/95-4/97
Steven McLaughlin	Arid Lands	5/96-4/98
Jim Patten	Journalism	5/96-4/98
Susan Wilson-Sanders	University Animal Care	5/96-4/98

## ACTIVITIES

The Committee on Conciliation(COC) considered five cases that were formally submitted in the 1996-97 academic year. In addition, the Chair had telephone conversations with two other individuals who were considering the conciliation process, and visited with one of these two in his office. Neither of these two submitted formal requests for conciliation.

One of the five cases involved a disagreement about how the annual performance evaluations were being done. This was a long-standing dispute that had already been appealed to the Dean of the College. By the time the COC became involved, both sides had become firmly entrenched, and it was impossible to find a common ground for conciliation. This case may go to CAFT. A second case involved a dispute over an individual's administrative appointment. Again, by the time the COC was contacted, the situation had been appealed to the Provost and denied, and the issues had become disagreements over procedures and protocol, which are inappropriate for the COC.

Three the five cases formally submitted to the COC involved issues related to denial of P&T. In each of these three cases, the process had proceeded beyond the point that conciliation could be effectively used, and all three individuals were notified that they should take their cases to CAFT if they wished to pursue them further. It should be noted that all three of these cases came to the COC only because of the statement in the Faculty Senate Handbook(Section9;b;pageB-5) indicating that "All requests for action on the part of the Committee on Academic Freedom and Tenure..... and such requests shall be made only after it has become apparent that the complainant has been unable to obtain satisfactory solutions or adjustments through the customary administrative channels and the Committee on Conciliation".

The experience of the COC during the past year suggests that issues concerning denial of P&T almost invariably involve disagreements concerning the procedures that have been followed. By the time that the usual appeals for reversal have been made, the process is no longer amenable to conciliation. Requiring such issues to go to the COC before going to CAFT seems to delay the

process needlessly, and indeed, the "Operating Guidelines" for the COC state that P&T/ continuing appointment denial matters are not addressed by the COC.

Based on our experiences this past year, the COC makes three specific recommendations for the Senate to consider.

- 1) That the Bylaws of the General Faculty be amended by deleting the phrase, "and the Committee on Conciliation" which appears in the final paragraph of Section 9;b, page 5-B, of the Faculty Senate Handbook: Bylaws of the General Faculty.
- 2) That the COC Operating Guidelines be revised to include the possibility of a joint meeting between the parties involved, with this joint meeting occurring; a) only after committee members have first met individually with each party; and b) only when both parties agree to such a joint meeting.
- 3) That the Faculty Senate, in an effort to facilitate the process of resolving grievances, develop a mechanism that would allow the Chairs of the COC, the CAFT, the Committee on Ethics, and the Affirmative Action Office to meet regularly to preview grievance cases and assign them to the appropriate committee for consideration.

The success record of the COC has not been outstanding during the last several years, partly we believe because we have received many cases at an advanced stage in the disagreement after both parties have become committed to their position, and partly because the Operating Guidelines for the COC discourage meetings where the grievant may present a case. Mediation efforts in other situations usually involve bringing the parties together.

Submitted on behalf of the Committee on Conciliation.



Darrel E. Goll  
Chair, Committee on Conciliation

April 10, 1997 / Revised Draft 4

## **The University of Arizona Main Campus Strategic Plan Transformation Beyond the Year 2000**

*Note: All data in this plan are being updated.*

### **Introduction/Description**

The University of Arizona is engaged in a long-range strategic planning process required to design effective, affordable strategies to carry out its mission and retain and enhance its quality in the future. Evaluation and change are vital to maintaining the University's high quality in an era that holds great promise yet also is one of extraordinary uncertainty.

The University of Arizona has assessed its current status and the extent to which essential activities are consistent with its goals. The University has made considerable progress in achieving the goals of the previous strategic plan, **Toward the Year 2000**. This revised plan incorporates the results of the Arizona Board of Regents (ABOR) Environmental Scan, the University's Strategic Planning and Budget Advisory Committee's Environmental Scan ("New Realities Facing The University of Arizona")<sup>1</sup>, and is consistent with the ABOR Strategic Directions. Assessment will continue to form the basis for future directions.

This revised plan is the first step in the process. To achieve the goals outlined in this plan, individuals and teams have taken responsibility for developing and implementing appropriate strategies and indicators of success and for measuring progress at regular intervals. One of the overall strategies for achieving the University's goals is to develop new indicators and gather data to enable us to better track and assess our progress. The University recognizes that this is a process that will be revisited and revised continuously during the coming years.

Choices to be made must be approached with openness, drawing on creative energies and talents across the University. A partnership of people with diverse ideas but a common goal of making this University even better must reconcile these challenges and opportunities. The University of Arizona will continue to be both excellent and distinct in serving the needs of society.

### **Vision**

To provide for students and the State of Arizona a preeminent, creative, learning community that inspires education, scholarship, and service of the highest caliber.

### **Mission**

The University of Arizona, a public, land-grant, research and educational institution, is dedicated to preparing students for an increasingly diverse and technological world and to improving the quality of life for the people of Arizona and the Nation. The University provides distinguished undergraduate, graduate, and professional education; excels in basic and applied research and creative achievement; and integrates these activities and achievements of regional, national, and international significance into everyday life.

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<sup>1</sup>Open letter to University of Arizona Faculty and Staff published in Lo Que Pasa, the campus newspaper in May, 1996.

## Environmental Scan

The University of Arizona faces serious challenges. These challenges are not unique to The University of Arizona but are symptomatic of national changes and trends. Higher education everywhere is facing increased competition for students. The public is demanding greater accountability as well as more teaching, improved responsiveness, and reduced costs. Technology is changing the way we work and the expectations others have of us. Federal funding and support for higher education in general are decreasing. Real state funding per student has decreased and the political climate is not conducive to real increases in budgets. Parents and students have resisted significant tuition increases. As a result, the University of Arizona must position itself to address further economic downturns. The University actively and visibly must improve accountability, quality, and efficiency in order to regain confidence from all quarters. If not, the University will suffer increasing external control and lose the ability to maintain and define its vision of a university.

**A. National Challenges, Trends, and Issues:** Nationally, competition for students is increasing. The proportion of high school graduates who go on to traditional higher education is flattening. Furthermore, there is an oversupply of graduates from certain graduate programs. Some private colleges are decreasing tuition rates in order to attract students. Private companies, such as Motorola, are developing their own degree granting postsecondary programs. AT&T recently contracted with the University of Phoenix to provide in-house training. Increasingly, University of Arizona students are older and work while attending school. Jobs that provide education, work-related experience, and higher wages folded into one package are attractive to many students.

Distance learning provides new sources of competition. Competing universities, colleges, and private firms are now offering courses and degree programs without regard to state boundaries. New methods of instruction within traditional education also are changing the competitive environment. Students today expect high levels of technical support and creative use of technology in instruction. Having such capabilities is an increasing competitive advantage.

Nationally, public confidence in higher education has declined significantly, especially since 1990. Twenty years of increased international competition and restructuring in the private sector have created expectations about and methods for improving business processes and cutting costs. Like all public and private institutions we need to pay attention to productivity and accountability.

**B. Impact on the U of A:** Throughout this century, the universities in Arizona have had a near monopoly with respect to in-state students seeking bachelors or higher degrees. This is no longer the case. For example, even as the number of Arizona high school graduates increases, enrollments at The University of Arizona have decreased.

1. New Forms of Competition: Today alternative forms of higher education are, or are becoming, available to the State's residents. The governors of 21 western states, including Arizona, are developing a virtual university. Dartmouth College and Troy State University are offering degree programs and courses for credit in Tucson. Columbia University recently announced its plans to begin offering courses at the Biosphere facility and USC is offering programs at Hughes Aircraft.

2. Changing Needs of Students: The students coming to the UA often want more flexible schedules, and they and their future employers want more practical and effective preparation for work. The present variety of courses, majors, and requirements make changes in major difficult for students.

3. New Technologies: The UA has begun to exploit opportunities to use technology and different teaching methodologies to improve the quality, efficiency, effectiveness, and competitiveness of instructional programs. Successful models already exist at the University of Arizona.

**C. Continuing Budget Problems:** The number of full-time equivalent (FTE) students at The University of Arizona has increased from 27,340 in 1986 to 31,370 in 1995. Per student, State and federal appropriations and tuition have increased during this period, but the purchasing power of the dollar has declined. As a result, real dollars per FTE student have declined by about \$750 since 1986. This figure multiplied by 31,370 students results in a loss in purchasing power of almost \$23.5 million each year.

Concurrent with this loss, the University has been making major investments in information technology. Apart from the equipment costs, the cost for staffing and maintaining this technology comes to more than \$10 million per year. Additional millions are spent each year to fulfill new federal and State mandates, such as those related to the Americans with Disabilities Act and federal and State health and environmental regulations. These costs exacerbate the purchasing power lost per FTE student described in the previous paragraph. Thus, the total University revenue shortfall, relative to documented need, is between \$30 and \$40 million annually. There is no reason to believe that this downward trend is going to change.

The University has tried to meet this shortfall by deferring an average of \$8-9 million per year (over \$90 million cumulatively) in maintenance of the University's buildings and infrastructure. Other ways of meeting the shortfall have included using indirect cost revenues from research grants, giving up central reserves, cutting staff, capping travel funds, cutting the number of periodicals and books in the library, and eliminating and consolidating programs.

1. Increasing Revenue: Some of the decline in the state budget in real terms has been offset by increases in tuition and indirect cost recovery (ICR). The University of Arizona receives 3-4 times as much tuition revenue per student from out-of-state students as from in-state students. Partly due to concerns raised by the board and partly for other reasons, the number of out-of-state students at the University has begun to decline. The proportion of high school graduates that go on to college is declining. Even though Arizona is a low tuition state, students and parents are increasingly resistant to tuition increases that are greater than inflation. Part of any tuition increase is set aside for scholarships, and is not a net addition to revenue. Such set-asides are important to attract the rapidly rising proportion of Arizona high school graduates who are minorities with traditionally lower family incomes and lower college attendance rates.

The University could try to raise more indirect cost recovery funds by increasing success in obtaining research grants. Since the UA was not heavily invested in defense or Department of Energy funded research, it was not seriously hurt by the post-Cold War declines in research and development funding in these two areas. The University, however, has been enormously fortunate to do as well as it has in the face of federal funding cutbacks. Just maintaining the present level of research funding will be a mark of success. Furthermore, although the ICR rate was increasing until three years ago, the actual recovery of indirect costs as a percentage of total grants and contracts has been declining. Marginal real increases in ICR beyond current levels are the most that can be expected.

2. Administrative Costs: Cutting administrative and support costs further is another possible way of saving money. The most reliable study to date was undertaken by the Joint Legislative Budget Committee in July 1994. The study concluded that the UA had relatively lower administrative and support costs than ASU and NAU and has slightly higher than average total administrative costs when compared with its peers. Recent budget cuts have affected administration and support units more than academic units, and the number of executive level administrators has declined. But these declines have been offset by increased expenditures to meet legal mandates and to fund information technology. Generally, people are working hard at what is required, but often are hampered by ineffective, redundant, and costly internal and external procedures and requirements. The continuous improvement and business process reengineering efforts have helped reduce costs and increase effectiveness, but these sometimes require campus wide investments, for example, for information technology to replace obsolete systems. These programs should pay off over time, but they are unlikely to provide big savings in the short term. Many savings accrue to departments in ways that haven't been easily recoverable for reallocation to fund other investments. A Faculty Senate committee is reviewing the support cost issue.

3. **Construction Costs:** Since The University of Arizona pays for capital bonds, cutting back on construction also has been proposed as a way to save money. In the short term, this has had no effect since current payments are for facilities already built or under construction. In the longer term, the current space shortage is estimated to be approximately 1.4 million net assignable square feet (NASF), based on national standards. Classroom space is near standard (quantity, not quality) and marginally will exceed standard when the Integrated Instructional Facility is complete. The major components of the shortfall are offices and laboratories. Each category is about 0.5 million NASF short. In some cases, because of safety and other issues, existing buildings will have to be replaced or upgraded. Without providing the quantity and quality of space required, The University of Arizona cannot plan to expand or even maintain the current level of instruction, research, and support. This, in turn, threatens indirect cost recovery revenues and the quality of programs.

**D. Conclusions and Implications:** The University of Arizona is facing a continuing series of shifts that will affect the University for the indefinite future. Although gradual, these changes are reinforcing each other. They have now become critical. Competition for students once thought of as our exclusive franchise is increasing. The University must meet this competition to attract the number of students necessary to reach the enrollment targets upon which the University's tuition revenue and state budget are based. Public confidence in higher education has declined and the public is demanding greater accountability. The public expects the University to teach more, improve quality, and reduce costs. Gross federal funding for education and research is decreasing, with some shifts of research funding among disciplines. Real State funding per student has decreased and the political climate is not conducive to real increases in budgets. Resistance to further tuition increases, especially those above inflation, is growing.

The issues of confidence, accountability, and improved quality and efficiency must continue to be addressed so that the University of Arizona may retain its ability to refine and maintain its vision of a university.

#### **Goals, Objectives, and Measures**

**Goal A.** To continue to improve educational activities and outcomes at the undergraduate, graduate, and professional levels.

The University of Arizona prides itself in being a student oriented research university. It is the premier residential campus for undergraduate education in the State and the premier graduate and professional institution in the State. The University is focusing on new ways to facilitate learning and improve instructional systems that respond to various student learning styles and that incorporate conventional and modern technologies.

Nothing is more basic to the purpose of this University than its commitment to educate and serve undergraduates better. It is now common for top research universities such as The University of Arizona to undertake concerted initiatives to educate and serve undergraduate students more effectively while maintaining and enhancing excellence in research and graduate programs. Along with its high quality disciplinary programs, the University has strong interdisciplinary programs. The University of Arizona successfully competes for the most highly qualified students in the country. Among top research universities the University of Arizona has one of the more diverse undergraduate student bodies in the nation, having increased the minority student population in the 1990s.

Another essential element to the purpose and quality of the University is its commitment to support, educate, and train students in graduate and professional programs. The University of Arizona has outstanding graduate and post-baccalaureate professional programs, the quality of which cannot be duplicated in the State. In the coming years we will build on our strengths and will work to maintain and expand our high-quality and diverse student body.

**Objectives:**

- A.1. To improve the quality of undergraduate education through a focus on learning and teaching as well as on assisting students to become effective and independent learners (ABOR: I-4)<sup>2</sup>. The University will achieve this objective by continuing to:

**Strategies:**

- a. Develop innovative methods and courses in undergraduate education and increase faculty development opportunities with a focus on improved teaching approaches, techniques, and environments which support student learning
- b. Foster student responsibility for building, refining, and executing their own educational plans and engagement in academic programs, research experiences, and campus and community activities
- c. Increase student involvement with research through the integration of instructional programs with research experiences. This will be accomplished by increasing the contact that undergraduates have with ranked, professorial faculty through the expansion of freshmen seminars, and of honors and faculty fellows programs, and increasing the proportion of lower division undergraduate courses taught by ranked, professorial faculty
- d. Provide students with on- and off-campus career related experiences and service learning opportunities that build community perspective, cooperation, and teamwork
- e. Increasingly emphasize teaching ability in the hiring and promotion process for faculty
- f. Develop better procedures for using assessment of the individual student's progress and achievement relative to peers
- g. Revise the University's general education curriculum so that it is coordinated with respect to college and University objectives
- h. Provide opportunities for students to integrate an international component into their educational experience

- A.2. To attract, retain, and graduate a more qualified and diverse undergraduate student body (ABOR: I-2, VI-2). The University will achieve this objective by continuing to:

**Strategies:**

- a. Excel in the recruitment of the most highly qualified undergraduate students in the State and the Nation
- b. Enhance our recruitment of Arizona students in the top 10-25% by increasing financial aid packages for such students
- c. Monitor the achievement of minority recruitment, retention, and graduation goals
- d. Improve and expand our partnerships with K-12 and community college educational systems and with other countries to improve and diversify our student profile
- e. Improve the educational, campus, and residential environments for first-year and transfer students
- f. Develop instructional and student support systems that are responsive to individual learning styles and changing student needs

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<sup>2</sup>ABOR refers to Arizona Board of Regents Strategic Directions.



- A.3. To further strengthen our graduate and post-baccalaureate professional programs (ABOR: II-1, II-3, II-4). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Excel in the recruitment of the most highly qualified graduate and professional students in the state and the nation
- b. Enhance our recruitment and retention of graduate students by continuing to increase Graduate College financial assistance
- c. Monitor achievement of minority recruitment, retention, and graduation goals
- d. Expand the involvement of faculty and students with interdisciplinary activities and programs
- e. Be a leader in the graduate education of Native American, Hispanic/Mexican-American, and international students
- f. Focus on selected graduate and professional programs that are successful in attracting, graduating, and placing diverse students, and redirect resources according to success in these endeavors
- g. Strengthen programs in areas in which placement responds to societal needs
- h. Develop more equitable and quantifiable criteria to evaluate graduate and professional programs

- A.4. To further capitalize on the new and emerging technologies to enhance the effectiveness of teaching (ABOR: V-1; UGEG<sup>3</sup>: 2.4, 3.1, 3.2, 3.3, 3.4). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Develop, build, and maintain modern, well-equipped educational facilities
- b. Provide students, faculty, and staff with adequate technical support
- c. Ensure student access to computers and telecommunications networks

- A.5. Integrate scholarly research and creative activity into the instructional program at all levels across the University (UGEG: 7.1). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Develop programs for faculty to involve both undergraduate and graduate students in research and creative activities
- b. Ensure that research methods are included as a component of all undergraduate curricula
- c. Provide a rich array of research intensive experiences for undergraduate students, e.g., laboratory experiences, internships, capstone courses, and service learning opportunities, in which students receive academic credit and faculty receive teaching credit

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<sup>3</sup>UGEG refers to Undergraduate Education Goals.

**Measures<sup>4</sup>:**

- a. The percentage of students and faculty (via residence halls, student centers, and faculty offices) with access to the network

Baseline: 20-30% Fall 1993  
 Goal: 100% by Fall 1999

1996	1997	1998	1999	2000
70%	80%	90%	100%	100%

- b. The percentage of full time lower division students having two courses/semester taught by ranked faculty

Baseline: 76.9% Fall 1993  
 Goal: 90.0% Fall 1999

1996	1997	1998	1999	2000
81%	82%	86%	90%	90%

- c. Level of satisfaction of recent University of Arizona graduates with their college experience

Baseline: 89% reported 1995  
 Goal: maintain or improve on baseline

1996	1997	1998	1999	2000
90%	89%	89%	89%	89%

- d. Graduation rates:  
 Percent of full-time freshmen being graduated in six years

Baseline: 49% Spring 1993  
 Goal: 56% Spring 2001

1996	1997	1998	1999	2000	2001
50%	52%	53%	54%	55%	56%

<sup>4</sup> Previous and possible alternative measures for all sections are currently under review. Our present thinking is to work toward the development of measures that will enable us to evaluate actual progress toward our goals, rather than to use data that are more readily available but don't quite answer the question. The development of reliable and valid measures has been, and will continue to be, the most challenging aspect of the planning process.

- e. Percentage of graduating seniors who have participated in a research or capstone experience<sup>5</sup>  
 Baseline: For the 1995-96 school year, approximately 60% of graduating seniors had a research and/or capstone experience  
 Goal: 100% by the Year 1997-98

1996	1997	1998	1999	2000
80%	90%	100%	100%	100%

Other measures that could be considered for inclusion in the plan are provided in the following sections.

Measures for A.1:

- a. % of students reporting satisfaction with the availability of courses in their majors
- b. # of freshmen seminars, and # of students participating
- c. # of students participating in honors programs, which bring them into closer contact with faculty in various formal and informal settings.
- d. # of faculty participating in Faculty Fellows program, which brings faculty and students together in informal, out-of-class learning environments
- e. # of undergraduate degree recipients participating in research related or capstone experience
- f. \$ for instructional computing and challenge grants for faculty to develop innovative methods and courses in undergraduate education
- g. % of graduates going to graduate and professional schools

Measures for A.2:

- a. # of Merit, Flinn, and Regents scholars (broken out into separate categories; provide text showing that we are tops in the state, e.g., we attracted 17 of the 20 Flinn scholars in the state)
- b. Average SAT, ACT, and GPA scores of freshmen
- c. % of entering students in the top 25% of their high school graduating class
- d. Level of satisfaction of recent University of Arizona graduates with their college experience
- e. Minority enrollment as a percentage of total enrollment
- f. Persistence rate of freshmen
- g. Percentage of full-time freshmen being graduated in six years. Our graduate rate is the highest in the state. We will continue to improve on that success.
- h. # of participants in the Finish in Four program
- i. % of students and faculty (via residence halls, student centers, and faculty offices) with access to the network

Measures for A.3:

- a. Average GRE (and professional school equivalent) scores of entering graduate students
- b. # of graduate students who are fellows, winners of prestigious national fellowships from the National Science Foundation, NASA, the Department of Defense, the Spencer Foundation, and other agencies and foundations
- c. Minority enrollment as a percentage of total enrollment
- d. # of faculty involved in interdisciplinary programs
- e. # of students involved in interdisciplinary programs
- f. # of Native American graduate students (the UA has the only Ph.D. in American Indian Studies in the nation)

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<sup>5</sup>Capstone Experience is a culminating project, internship, or other related experience that allows students to bring to bear, in an integrative fashion, the skills and knowledge acquired in their major area of undergraduate study. Such an experience would usually occur in the senior year, and it would be closely supervised by a faculty member from the student's major department.

**Goal B.** To maintain and strengthen the quality and quantity of University research and creative activity.

The University of Arizona has realized an unparalleled rise in research standing among research universities in the last 25 years. The premier research university in the state, it is a leader among public research universities nationally, the University has developed a wide range of high quality programs of research and creative activity of national and international visibility. These programs create knowledge about our natural and social worlds. They contribute to creative and technological advances that benefit quality of life and economic well-being of the State, the Nation, and the world. The University's extraordinary success in competing for external grants and contracts also serves to provide financial support for graduate and undergraduate students. Further, it contributes to enhanced instruction at the graduate and undergraduate levels. Equipment that is later utilized for instructional purposes is often purchased through grants. And a considerable proportion of these sponsored projects are instructional grants or are related to the improvement of education in the public schools or in colleges and universities.

**Objectives:**

B.1. To enhance research and creative activity in selected areas of distinction taking into consideration their relevance to societal concerns and needs (ABOR: III-1). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Evaluate current areas of research distinction and appropriate levels of support for these activities
- b. Develop and apply criteria for selecting future areas of distinction in which The University of Arizona can make a unique contribution
- c. Reallocate funds to areas of distinction or new targets of opportunity
- d. Develop appropriate assessment and ranking methodology for those areas for which National Science Foundation (NSF) rankings fail to provide adequate information

B.2. To continue to develop partnerships in which scholars, contribute to economic development and enrich the life of the community (ABOR: III-2, III-3, VII-5). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Expand on-going interactions with state and local leaders to identify needs and areas of cooperation
- b. Develop and utilize working partnerships with business, labor, and government to improve the transfer of technology and other appropriate information
- c. Initiate opportunities for partnerships that respond to identified needs of the community

**Measures:**

- a. National Science Foundation research expenditures ranking among public universities  
 Baseline: Ranked 13th among Publics, 18th overall for 1993  
 Goal: Top Ten by 2000

1996	1997	1998	1999	2000
11th	11th	10th	10th	10th

- b. The volume of research grants and contracts from the private sector and the proportion from Arizona companies  
 Baseline: Currently The University of Arizona receives approximately \$17 million in awards per year from the private sector; approximately 10% of this money is from Arizona companies  
 Goal: Increase private sector funds by 50% and the fraction of Arizona funding to 25% of the total by 1999

1996	1997	1998	1999	2000
16%	19%	22%	25%	25%

- c. The number of technology transfer disclosures<sup>6</sup>  
 Baseline: Approximately 70 disclosures per year on average  
 Goal: Increase the annual number of technology disclosures by 50% by 1998-99

1996	1997	1998	1999	2000
90	105	110	120	125

Other measures that could be considered for inclusion in the plan:

- d. Expenditures for research grants and contracts (in millions\$)
- e. Dissertation honors awarded to graduates, i.e., professional assoc. dissertation awards
- f. Number of Postdoctoral fellowships
- g. Number of graduate fellowships awarded to U of A students
- h. Improvements in NCR or other rankings
- I. Number of faculty in honorary societies, engineering, science, etc.
- j. Proportion of graduate degrees awarded in interdisciplinary studies
- k. \$ for interdisciplinary grants and contracts
- l. Number of students supported by grants and contracts either directly or indirectly

**Goal C.** To strengthen University outreach to address societal needs of the community, State, and Nation.

Outreach is a form of education which transcends the classroom and laboratory to bring knowledge to people outside of the University. As a manifestation of the University's teaching, scholarly research, and creative activities, it involves the generation, delivery, application, and preservation of knowledge for the well being of its external constituents. Central to its unique land grant responsibility, the University of Arizona's legacy of cooperative extension to the community and State is a tradition that lays a foundation for an expanded definition which must evolve to keep pace with ever changing and global societal needs. The University of Arizona will meet its outreach goal by supporting physical and human resources to more effectively integrate outreach responsibilities with its activities in teaching and research. The foci of the University's outreach activities will be:

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<sup>6</sup>Technology Transfer Disclosures include two different types of disclosure documents. The first is the Invention Disclosure document which includes information that may be used in a patent application should a patent for the invention, discovery, or software be warranted. Second is the Technology Transfer Enabling Disclosure (ARS 15-1635.01) document. This document serves as a "petition" to the University, initiated by a University officer or other employee, for permission to transfer technology developed at the University by that employee to an enterprise in which the employee has a substantial interest (usually defined to be 3% or more of the stock at issue); the transfer is usually implemented by license.

**Objectives:**

- C.1. To coordinate and integrate overlapping outreach activities (ABOR: VI-3, VII-2). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Build outreach initiatives around on-going educational, research, and cultural activities, based on external and internal environmental scans/needs assessments
- b. Identify and develop a representative range of partnership and cooperative opportunities involving University teaching and research programs
- c. Form outreach oversight councils, centrally coordinated, to address overlapping activities
- d. Create a community planning advisory committee, widely representative, to assist in the strategic planning process

- C.2. To focus on outreach opportunities in which The University of Arizona can make unique contributions by addressing the major social and public policy issues (ABOR: III-3, VI-1, VI-2). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Identify new social, health, and public policy issues that the expertise of members of the University community can affect
- b. Enhance and expand working partnerships with early childhood, K through 12, and community college educational systems to foster lifelong learning
- c. Support activities that help Arizona benefit from regional and global economic developments and contribute to the fiscal well-being and culture of communities represented in Arizona and the southwest
- d. Enhance the identification, transmission, and preservation of cultural and ethnic knowledge of the peoples in the state
- e. Share learning in the arts, humanities, and sciences through public presentations, community collaboration, and publications

- C.3. To take advantage of new and emerging technologies, social organizations, and forms of expression that enhance outreach capabilities (ABOR: V-2; UGEG: 3.4). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Provide opportunities for the use of distance education in cooperation with other educational institutions and university offices located in each county seat and in other Arizona communities
- b. Utilize the World Wide Web and other electronic publishing capabilities to share resources and information with the local, state, national, and global communities
- c. Identify and support new social organizations which parallel the University's mission to improve the quality of life in the state

**Measures:**

- a. Number of outreach programs offered to lifelong learners in the State:

	Extended University	Video Campus
Baseline:	1,911 courses	11 programs
Goal:	3,000 courses	24 in five years

Extended University courses

1996	1997	1998	1999	2000
2628	2733	2842	2956	3074

Video Campus programs

1996	1997	1998	1999	2000
17	20	23	25	28

- b. Increase participation in The University of Arizona outreach programs<sup>4</sup> (number of registrants/attendance/credit hours)

Cooperative Extension registrants (in '000s)

Cultural Affairs attendance (in '000s)

Museum of Art attendance (in '000s)

Extended University credit hours

Distance Education credit hours

	Baseline	1996	1997	1998	1999	2000
Coop. Extension	165	197	200	200	220	242
Cultural Affairs	60	60	65	70	70	73.5
Museum of Art	30	42	46	50	55	55
Extended Univ.	19,500	24,576	25,559	26,580	27,000	28,000
Distance Ed.	500	1,400	1,600	1,800	2,000	2,200

- c. Survey of community needs and statewide satisfaction with The University of Arizona outreach programs: The survey instrument is undergoing the final stages of development. Results from the initial survey are expected by the end of the 1996-97 academic year.

Baseline: To be developed, though some units regularly assess needs and survey customers

Goal: Increase in personal contacts, enhanced articulation with public schools, community colleges and industries, and improved public relations

- d. Percent increase in the number of University-coordinated partnerships with local, state, and international communities and institutions

An inventory of University outreach programs is being undertaken. This is a necessary prerequisite for establishing a baseline number for this measure.

**Goal D.** To improve the way all members of the University community are supported

An essential element in the University's transformation is in its approach to supporting students, faculty, and staff. The society in which higher education is now immersed is best characterized by rapid change, complexity, and uncertainty. Success in such a context must place the emphasis on people, with the knowledge that individuals, working together, know what needs to be done and how best to meet those needs. People must be full participants in the organization's achievements and recipients of its rewards. The focus of the transformation in the University's approach is:

**Objectives:**

- D.1. To effectively motivate, develop, and support members of the University community (ABOR: VII-3; UGEG:1). To achieve this objective the University will continue to:

**Strategies:**

- a. Coordinate and integrate human resource structures and processes while improving the effectiveness of student support systems and services to identify areas in need of improvement
- b. Develop and implement equitable compensation systems that are aligned with University values and goals, and that promote job satisfaction
- c. Promote proactive programs to educate and develop members of the University of Arizona community
- d. Increase participation and influence of all members of the campus community in the functions of the institution
- e. Strengthen forms of recognition and reward accomplishments of members of the University of Arizona community

- D.2. To provide a healthy campus environment (ABOR: VII-3). To achieve this objective the University will continue to:

**Strategies:**

- a. Support a campus culture based on caring, equity, and civility
- b. Enhance diversity among faculty, students, and staff and provide opportunities to increase awareness and appreciation for other cultures and perspectives



- c. Provide high quality, affordable health, housing, food, recreation, disability, and safety related resources
- d. Provide opportunities for faculty/student/staff/community partnerships that promote the synthesis of learning and life experiences
- e. Provide opportunities for open involvement in decision making processes of the institution
- f. Support a rich cultural life at The University of Arizona

**Measures:**

- a. Satisfaction of University departments/units with Human Resources services as measured by annual survey

Baseline: To be determined by fall 1996 Survey  
 Goal: To be determined

- b. Responses to employee survey question: "I would encourage a friend or family member to apply for a job at The University of Arizona."

Baseline: 1994 Biennial Employee Survey Mean = 4.6<sup>7</sup>  
 Goal: Mean greater than or equal to 6 by end of 1998-99 Fiscal Year

1996	1997	1998	1999	2000
≥5.1	≥5.55	≥6.0	≥6.0	≥6.0

- c. Responses to employee survey question: "General feelings about job."

Baseline: 1994 Employee Survey Mean = 5.1<sup>8</sup>  
 Goal: Mean greater than or equal to 6.0 by the end of the 1998-99 Fiscal Year

1996	1997	1998	1999	2000
≥5.4	≥5.7	≥6.0	≥6.0	≥6.0

- d. Satisfaction of students with co-curricular services as measured by surveys
- e. Responses to a student survey to measure a general assessment of student experiences at the University

**Goal E.** To transform the University infrastructure to support the University's mission effectively and efficiently

Considerable progress has been, and continues to be, made in understanding and streamlining processes across the University. Successes must continue to be communicated and expectations must be defined so that these efforts can be replicated. Effective and efficient management of basic infrastructure resources in support of the University's mission, including financial, human, and physical, will require concentration on the following tasks:

<sup>7</sup> Scale on item is eight points from strongly disagree (1) to strongly agree (8).

<sup>8</sup> Scale on item is negative (1) to positive (8).

**Objectives:**

- E.1. Build a flexible organization that continually learns by reviewing its work and results in order to adapt and improve (ABOR: VII-2). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Invest in innovations and activities of excellence to maintain our position as the State's premier institution of higher education.
- b. Promote greater synergy by rewarding cooperation among units, institution-wide.
- c. Provide comprehensive data management services for operating units, and accessible, flexible, and integrated information systems in support of decision-making functions
- d. Clarify and streamline processes and eliminate non-productive activities
- e. Develop communications networks between and among academic and non-academic units to promote student success

- E.2. Use an improved planning and budgeting process to determine priorities, direct resources, and ensure accountability. The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Develop, within the principles of shared governance, effective and integrated assessment, environmental scanning, planning, and budgeting that results in clear priorities
- b. Develop reliable and valid indicators to chart progress toward University goals and objectives
- c. Develop a pool of resources to be reallocated in support of institutional priorities
- d. Structure administrative responsibilities and funding to promote accountability for the effective management of resources
- e. Privatize where it will achieve cost-effective operations conducted in a manner consistent with University values

- E.3. Continue to develop technologies to support teaching, research, outreach, and administration (ABOR: V-1; UGEG : 3.3, 3.4). The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Capitalize on new technologies to provide necessary tools to enable students, faculty, staff, and administrators to achieve the highest levels of performance and to allow for flexibility in work schedules and locations
- b. Utilize technology to expand campus boundaries for distributed learning, research, and service
- c. Provide adaptable and integrated library, computing, communication, and media technologies

- E.4. Develop a physical environment supportive of the University mission and community. The University of Arizona will achieve this objective by continuing to:

**Strategies:**

- a. Ensure the maintenance, utility and attractiveness of University buildings and grounds
- b. Provide world class facilities in support of undergraduate and graduate education
- c. Provide world class facilities in support of our research programs
- d. Provide the physical infrastructure for statewide education, research, and service efforts particular to the University's statewide mission

**Measures:**

- a. The number of librarian/faculty instructional partnerships developed for the purpose of integrating new information technologies into the curriculum and resulting in changing the method of instruction in at least one course per faculty member partner

Baseline: Twenty-one librarian/faculty instructional partnerships in 1995-96 Fiscal Year  
 1998 Goal: To be developed

1996	1997	1998	1999	2000
21	35	TBD	TBD	TBD

- b. Average number of UA Info user network inquiries from on-campus and off-campus

Baseline: In development

Goal: In development

- c. The number of classrooms available for multimedia and computer based instruction each Fall

	Multimedia	Computer Based
Baseline:	38 Fall 1993	46 Fall 1993
Goal:	160 Fall 1999	60 Fall 1999

	1996	1997	1998	1999	2000
Multi-media	110	133	150	160	175
Computer Based	50	53	56	60	6

**Resource Assumptions (see also Appendix C)**

Resource assumptions for this strategic planning period are modest. Marginal new appropriated revenues requested through the legislative process approximate 3.7 percent for fiscal 1997-98 excluding the employee salary request. Employee salary data and the University's portion of the System's request will be submitted by the Board of Regents to the Department of Administration for inclusion in their recommendations for all State employees, therefore this planning document does not include assumptions regarding those issues. Marginal new non-appropriated revenues (Auxiliary, Designated, and Restricted funds) are expected to continue their modest aggregate growth rates in the 2 to 3 percent range.

**APPENDIX A**

***ENVIRONMENTAL FORCES AND THEIR IMPLICATIONS FOR THE UNIVERSITY OF ARIZONA***

Driving Forces	Implications for The University of Arizona
<p><b>DEMOGRAPHIC</b></p> <p>The growth and increasing diversity of the Arizona population will continue to require targeted initiatives.</p> <p>To be effective, organizations must respond to the needs and expectations of distinct demographic segments.</p>	<p>Meeting the projected growth in enrollment will continue as a challenge to The University of Arizona over the next decade.</p> <p>While operating with limited resources, The University of Arizona, in partnership with State and local organizations, must implement more aggressive multicultural strategies in K-16 to be successful in attracting and graduating under represented minorities.</p>
<p><b>SOCIAL/CULTURAL</b></p> <p>Cultural and value shifts are occurring due to changing demographics, globalization, economic, and technical change.</p> <p>Increasingly, individuals will be required to work in teams and coalitions.</p> <p>Health care reform and advances in diagnostic and therapeutic modalities will have an impact on health and human resource needs.</p>	<p>The University must further internationalize the campus and the curriculum.</p> <p>The University recognizes that diversity is an essential element of competitive strength and organizational success.</p> <p>The University is expanding the provision of experiences through which students and employees will become effective in new team based organizational and community environments.</p> <p>The University needs a coordinated approach to meet Arizona's future health and human resource needs, including community based organizations integrated across K-12, community college, undergraduate, and professional education.</p>

Driving Forces	Implications for The University of Arizona
<p><b>ECONOMIC</b></p> <p>The competition for public funds has become increasingly acute at the federal (budget deficit), State (health and corrections), and local levels, further squeezing funding for higher education.</p> <p>State tax and revenue structures continue to put future university funding at risk, especially during an economic downturn.</p>	<p>The University of Arizona, working with K-12 and community colleges, must prepare a skilled work force required to attract high technology knowledge-based industries to the State.</p> <p>The University curricula and research activities must be responsive to the changes in the mix of labor force skills necessary to meet the needs of a competitive global economy.</p> <p>During periods of constrained resources, the University must re-engineer educational and administrative processes to improve efficiency and free up funding for new initiatives.</p> <p>The University must initiate creative fund-raising efforts to supplement current sources of funds (corporate partnerships, technology transfer, private donations, etc.)</p>
<p><b>POLITICAL/GOVERNMENTAL</b></p> <p>There is a lack of public understanding of the ways in which the universities affect the future of the State.</p> <p>There are demands for greater institutional accountability regarding finances, administration, and academic affairs.</p> <p>Society expects universities to contribute to the economic development and to the solution of public policy problems.</p>	<p>The University of Arizona will demonstrate how it is improving productivity and performance by relying more on outcome measures.</p> <p>Universities must better understand and respond to the needs of the State.</p> <p>The University must demonstrate how it is adding value, especially in helping to address major policy and societal problems and in supporting strategic technologies for Arizona's future.</p> <p>The University must provide non-traditional educational and other outreach programs that improve the well-being of Arizona citizens.</p>

Driving Forces	Implications for The University of Arizona
<p><b>TECHNOLOGY</b></p> <p>Technology has the potential to improve learning, extend access, and lower costs.</p> <p>Technology is changing so quickly that we are constantly implementing yesterday's solutions.</p> <p>Information technology will allow increased competition and collaboration between and among current and new institutions, including the corporate community.</p> <p>The impact of technology on the changing needs for work skills means that graduates must continuously adapt through life-long learning.</p>	<p>The best way to extend the teaching capacity of the faculty is to reconsider the present assumptions about teaching and learning, especially about how technology can contribute to the learning process.</p> <p>State-of-the-art equipment and appropriate infrastructure are critical to support leading edge research and training of students.</p> <p>The University must develop a specific planning effort that will share the unique competencies of faculty and other resources with collaborating community colleges, universities, and industry, and that will develop innovative programs that are beyond the capacity of any one institution.</p>
<p><b>HIGHER EDUCATION</b></p> <p>There will be an ever increasing set of higher education alternatives resulting from public and private sources and innovations in information technologies.</p> <p>There is increasing emphasis on developing various competencies and skills (communications, team building, critical thinking, and a global perspective) and an expectation that universities accept responsibility for the overall quality of their graduates.</p> <p>An increasing number of under prepared and unmotivated students are entering the universities.</p> <p>Because of the economy, students often must work long hours in addition to attending classes.</p> <p>Cycle-time of new knowledge is shortening and new knowledge is being developed exponentially.</p>	<p>The University of Arizona must recognize its appropriate role within the expanding set of higher education alternatives.</p> <p>The University must combine a foundation of liberal education with the ability to apply knowledge in a constantly changing world to meet the needs of the learner of tomorrow.</p> <p>The University must shift the focus from solely the teacher to one that includes the learner, and to measure learning outcomes more effectively.</p> <p>The University must implement programs that increase student success and improve retention/graduation.</p> <p>The University must continue to produce major basic research at the cutting edge, as well as to emphasize ways to put knowledge to practical use.</p> <p>The University must ensure that the curriculum is flexible enough to incorporate new knowledge continually.</p>