

GUIDELINES FOR PERIODIC REVIEWS OF DEANS, DIRECTORS
AND DEPARTMENT HEADS OF ACADEMIC UNITS

General

Periodic reviews of deans, directors and department heads provide a broad basis for evaluating performance during their fifth year in these administrative positions, and at subsequent five-year intervals, as well as an opportunity to assess long-range goals and objectives. Such reviews shall appropriately take into consideration the progress, including the management of academic programs, of the college, department, or other academic unit during the period to be reviewed, and the role of the dean, director, or department head in this development. These reviews are to focus on the performance of the individual administrator and are distinct from decennial PERIODIC program reviews. The policy and procedures described here may not be modified by colleges, departments, or other academic units.

Initiation of Reviews

Deans shall initiate a comprehensive review of each department head and director in their colleges and the Provost shall initiate a comprehensive review of the dean of each college, AND DIRECTORS REPORTING TO THE PROVOST, at intervals of no greater than five years. The review of deans, directors, and department heads may be scheduled so as not to burden unduly or to disrupt ongoing activities by having an excessive number of reviews transpiring at the same time.

The administrator to be reviewed shall be notified in writing no later than the beginning of the appointment period in which the review is to take place. Each administrator shall prepare a written summary of personal goals, accomplishments, and other activities in office for the period to be reviewed. This summary shall be delivered to the initiating administrator within 45 days of the notice of review. The initiating administrator shall provide a copy of the written summary to the review committee at the inception of the review process.

Extraordinary Reviews

Under unusual circumstances members of the General Faculty of a college, department, or other academic unit may wish to initiate a review of a dean, director, or department head prior to the next scheduled periodic review. In such a situation, the following will apply:

- (1) When one or more members of the General Faculty of a department, a college, or other academic unit conclude that an extraordinary review of a dean, director, or department head is in the best interests of that unit, that desire will be communicated to the chair of the Committee on Conciliation, who will maintain the anonymity of the author(s) of that request.
- (2) Upon recommendation of the Committee on Conciliation, the Provost will poll each member of the General Faculty of the unit by means of a ballot asking whether or not the dean, director, or department head should be the subject of an extraordinary review. In no instance will the Committee on Conciliation recommend a ballot requesting the extraordinary review of the same administrator more than once within any twelve-month period. The ballot will be accompanied by two envelopes, one of which shall be placed, unsigned, inside of the other, on which the signature and printed name of the member of the General Faculty shall be placed.

- (3) Members of the General Faculty who cast ballots shall return them to the ~~Committee on Elections which will affirm~~ PROVOST OR THE RELEVANT DEAN. THE PROVOST OR DEAN MUST ASCERTAIN that each ballot is legitimately cast, and shall remove the outer envelopes IN THE PRESENCE OF THE CHAIR OF THE COMMITTEE ON ELECTIONS, randomize the inner envelopes, AND open and count the ballots.
- (4) When a majority of the General Faculty of the college, department, or other academic unit, as listed in the annual census of General Faculty, vote for an extraordinary review, ~~the Committee on Elections will inform the Provost or dean,~~ and the Provost or dean shall initiate such a review in conformity with the procedures described below.
- (5) The extraordinary review will not replace the next periodic review unless that periodic review would have occurred within 18 months. Generally, no more than one extraordinary review may occur within a single five-year cycle. An extraordinary review will generally not occur sooner than two years following a periodic review.

Review Committee

The initiating administrator shall appoint a review committee in accordance with the procedures indicated below. All tenured and tenure-eligible faculty and all continuing and continuing-eligible academic professionals may participate in the nomination of review committee members. Only tenured faculty and/or continuing professionals may serve as committee members.

- (1) Where a dean OR A DIRECTOR REPORTING TO THE PROVOST is to be reviewed, the General Faculty of the college OR UNIT shall nominate by written ballot eight of their tenured and/or continuing members to serve on a review committee. The Provost shall appoint four of those nominated as members of the review committee. In addition, the Provost has the discretion to appoint no more than three additional tenured and/or continuing members drawn from the college OR UNIT involved or elsewhere. If the college OR UNIT has departments, at least one of the members of the committee shall be a department head in the college. It is expected that membership of review committees will reflect concern for minorities, gender, the diversity of program, and special interests within units.
- (2) Where a director or department head is to be reviewed, the General Faculty of the academic unit shall elect three of their tenured and/or continuing members to serve on the review committee. The dean has the discretion to appoint up to two additional members drawn from the academic unit involved, or from elsewhere. Through the combination of election and appointment, membership of review committees will reflect the concerns of minorities, gender, the diversity of program, and special interests within units.
- (3) ~~The members of the review committee~~ INITIATING ADMINISTRATOR shall select the chairperson OF THE REVIEW COMMITTEE from the committee membership FOLLOWING A MEETING WITH THE FULL COMMITTEE. THE CHAIRPERSON SELECTED MUST BE RATIFIED BY A MAJORITY VOICE OF THE COMMITTEE MEMBERS.
- (4) The initiating administrator shall direct the committee in writing, with a copy to the dean, director, or department head to be reviewed, to conduct a review of the accomplishments of the dean, director, or department head and the means used to produce those achievements. The review shall be based on a description of the position and its responsibilities and all established objectives together with the unit's planning effort and the annual reviews of the dean, director, or

department head. THE INITIATING ADMINISTRATOR IS RESPONSIBLE FOR MAKING AVAILABLE ALL RELEVANT INFORMATION FOR THE COMMITTEE'S CONSIDERATION.

In the event CASES of an extraordinary reviewS, specific attention should be directed to WARD ASCERTAINING AND ADDRESSING those concerns which THAT LED directly to the initiation of the review. The ALL reviewS shall also include, but not be limited to, an assessment of the effectiveness of the performance of the dean, director or department head in the following areas:

- (a) Leadership through active direction of affairs;
 - (b) Evidence of commitment to teaching, scholarship, and academic development and quality;
 - (c) Recruiting;
 - (d) Management of fiscal affairs;
 - (e) Affirmative action;
 - (f) Developing and maintaining open communication;
 - (g) Facilitating goal setting by individuals and by the unit as a whole;
 - (h) Identifying issues and resolving conflicts affecting the unit;
 - (i) Developing internal and external resources;
 - (j) Implementing performance evaluation and salary adjustment;
 - (k) Nourishing morale and establishing a working environment conducive to achieving individual and unit goals, as well as balancing and reconciling diverse interests within the unit;
 - (l) Building relations with constituencies.
- (5) The committee shall establish its own methods of obtaining information on the areas to be reviewed, but the process must include the following:
- (a) An early meeting with the administrator being reviewed to discuss his/her role and to gather any information and perspectives that the administrator would like to provide.
 - (b) Solicitation of information through a questionnaire distributed to all faculty members and academic professionals assigned to the unit. Results of the survey shall be tabulated and filed as an addendum to the committee report, omitting all names of respondents.
 - (c) Systematic gathering of input from staff and students through questionnaires or other means, the results of which shall be tabulated and filed as an addendum to the committee report.
 - (d) An announcement that the committee is available to individual faculty, academic professionals, staff, and students for oral or written input.

In addition to providing an opportunity for response or comment from the administrator under review, the committee may solicit information from alumni and other interested groups when it deems it appropriate.

Committee Report

The review committee shall complete its work and submit a written report to the initiating administrator within 120 days of receiving the written directive to conduct a review. The report shall (1) describe briefly the procedures used in gathering information; (2) discuss important issues identified in the course of the review; and (3) present the conclusions and recommendations reached by the review committee.

~~Because some of the issues, conclusions and recommendations may focus on personnel considerations, rather than on effective management or on the academic health of the unit, the committee should consider the necessity to divide its report into separable sections. Specifically, all communications with the committee shall be confidential and treated accordingly. The committee shall not divulge or otherwise reveal the source of any communications, and the report shall contain no confidential supporting material.~~

Action by Initiating Administrator

The initiating administrator shall review the summary prepared by the dean, director, or department head and the report of the committee. The initiating administrator ~~has the discretion to develop other information bearing on the performance and effectiveness of the dean, director or department head~~ **MAY CONSIDER ADDITIONAL INFORMATION BEARING ON THE PERFORMANCE AND EFFECTIVENESS OF THE DEAN, DIRECTOR OR DEPARTMENT HEAD. HOWEVER, SUCH INFORMATION MUST BE SHARED WITH THE COMMITTEE AND THE COMMITTEE'S INPUT SOUGHT PRIOR TO DEVELOPING THE INITIATING ADMINISTRATOR'S EVALUATION.** Copies of the COMMITTEE report, THE RECORD ON ADDITIONAL INPUT TO AND FROM THE COMMITTEE, and the initiating administrator's FINAL evaluation and comments shall be submitted to the President for appropriate action.

After meeting with the review committee to review the report, the initiating administrator shall discuss with the dean, director, or department head the report of the review committee as well as any other relevant information within 60 days from the day the committee's report is received.

Insert: Summary Report

Also within 60 days following the meeting between the initiating administrator and the dean, director, or department head, the initiating administrator and the review committee will jointly draw up a summary report covering the methods by which the review committee obtained its information and ~~its recommendations and conclusions~~ , AS WELL AS A SUMMARY OF RECOMMENDATIONS AND CONCLUSIONS THAT ARE RELEVANT TO THE GOVERNANCE AND ADMINISTRATION OF THE REVIEWED UNIT. This report shall then be sent to all members of the reviewed unit.

Revisions to this document update the version approved by the Faculty Senate April 1, 1991.

STATE OF ARIZONA
40th LEGISLATURE
SECOND REGULAR SESSION

REFERENCE TITLE: regents; faculty governance

SENATE

SB 1106

Introduced
January 30, 1992

Referred on February 3, 1992

Rules _____

Education _____

Introduced By

Senator Dougherty; Representatives Horton, Solomon; Senators Alston, Bartlett, Henderson, Hill, Pena, Rios, Soltero, Stephens; Representatives Gerard, Hubbard, Kromko, Pacheco

AN ACT

AMENDING SECTION 15-1601, ARIZONA REVISED STATUTES; RELATING TO UNIVERSITIES.

1 Be it enacted by the Legislature of the State of Arizona:

2 Section 1. Section 15-1601, Arizona Revised Statutes, is amended to
3 read:

4 15-1601. State universities; location; faculty powers

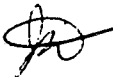
5 A. The Arizona board of regents shall maintain state universities
6 at Flagstaff in Coconino county, at Tempe in Maricopa county and at Tucson
7 in Pima county, and the universities are respectively designated northern
8 Arizona university, Arizona state university and the university of
9 Arizona. The board shall maintain an Arizona state university campus in
10 western Maricopa county designated as Arizona state university west
11 campus. The board may establish and maintain other colleges and
12 universities subject to legislative authority.

13 B. The universities shall have colleges, schools and departments
14 and give courses of study and academic degrees as the board approves. ~~The~~
15 ~~faculties of the universities shall have and exercise in the government of~~
16 ~~their respective colleges, schools and departments the powers and~~
17 ~~authority the board prescribes.~~ SUBJECT TO THE RESPONSIBILITIES AND
18 POWERS OF THE BOARD AND THE UNIVERSITY PRESIDENTS, THE FACULTY MEMBERS OF
19 THE UNIVERSITIES, THROUGH THEIR ELECTED FACULTY REPRESENTATIVES, SHALL
20 SHARE RESPONSIBILITY FOR ACADEMIC AND EDUCATIONAL ACTIVITIES AND MATTERS
21 RELATED TO FACULTY PERSONNEL. THE FACULTY MEMBERS OF EACH UNIVERSITY,
22 THROUGH THEIR ELECTED FACULTY REPRESENTATIVES, SHALL PARTICIPATE IN THE
23 GOVERNANCE OF THEIR RESPECTIVE UNIVERSITIES AND SHALL ACTIVELY PARTICIPATE
24 IN THE DEVELOPMENT OF UNIVERSITY POLICY.

MEMORANDUM

DATE: August 11, 1992

TO: Dr. Manuel T. Pacheco
President

FROM: Dr. J.D. Garcia, Chairman of the Faculty 
Dr. E. Roemer, Secretary of the Faculty
Dr. Vivian Cox, Presiding Officer, Faculty Senate
Dr. H. Ewbank, Chair, Committee of Eleven

SUBJECT: Faculty Governance

The signing of the faculty governance bill (SB1106) into law has caused us to note the lack of shared governance structure at our institution. In this memorandum, we discuss in general terms some of the cultural background and rationale for strengthening faculty participation in governance. We then present some general policy recommendations for implementation of this law on our campus, and finally some of the specific recommendations which are implied.

We believe it is very important, given the challenges that the University of Arizona faces in the coming decade, to make certain that the University brings all the talent available to concentrate on the problems that we face. Such an approach is also consistent with your avowed goal of improving relations between the faculty and the administration of the University. Inclusion of strong faculty input will also improve the morale of the faculty as it is recognized that this University has reached the level of maturity in which administrators need not feel threatened by shared governance. The fact that shared governance is now required by law adds extra impetus.

We foresee some hurdles in this endeavor, not the least of which is the attitudes of both administrators and faculty stemming from past practices. We have, however, recruited in recent years many faculty from universities having stronger faculty governance structures. The faculty has for some time been ready for a governance structure more appropriate to the institutional status which the faculty have earned for us. An optimum structure

would lead to closer collaboration between faculty and administrators — in effect a partnership to further our goals for the university. A proper structure would make clear that the institution and particularly the central administration respect faculty (opinions) views.

Some general policies we believe are important to the University's continued progress and improvement are these:

- (A) It is important that there be standing committees with at least some elected faculty membership, dealing with two areas as a minimum: budget and the unit's policies, at the department, the college and the central administration level. We believe the President needs to strongly suggest, endorse, and advocate such a committee structure. We certainly will do so, but since in changes of attitudes the behavior of administrators is essential, your own leadership is critically important in bringing about a change in culture. SB1106 identifies an essential difference between elected representation and appointed (or self-appointed) committees performing the same function. It should be the policy of the University that the voice of the faculty is not replaced by that of committees wholly appointed by an administrator by whatever criteria.
- (B) Standing committees with some elected component should be used whenever possible to handle the business of the University, at each level. This is to be contrasted with the currently prevalent practice of appointing *ad hoc* committees or task forces to address each new particular question. While we understand the need for *ad hoc* committees on unusual topics, the University would be better served by, for example, standing budget committees composed of individuals who have been educated by service longer than just a few weeks.
- (C) When *ad hoc* committees or task forces are necessary, there should be input from elected faculty representatives as to the composition of those committees.

Specific proposals:

- (1) Review the existing standing committee structure at all levels and revise as necessary to better meet ongoing needs.
- (2) Examine current University committees for adequate elected membership. It is clear, for example, that the Undergraduate and Graduate Councils should include members of the Faculty Senate Curriculum Policy Committee.
- (3) Make it a matter of policy for the appointment of *ad hoc* University committees or task forces, that the appointing administrator provide the Chairman of the Faculty with information on (a) the purposes and goals of the committee; (b) the experience which committee members should have. The Chairman of the Faculty will then, after consultation with the Committee on Committees and the elected

leaders of faculty governance, submit to the administrator the names of individuals for half of the membership of the committee or task force. The administrator will select the other half.

- (4) The Chair of the Faculty should be a member of the President's Cabinet. Both ASU and NAU have the Faculty Chair on the President's Cabinet. This is also the fact at many research universities across the country.
- (5) The Secretary of the Faculty should be a member of the Deans' Council. This is the practice at many institutions, including ASU.
- (6) The Presiding Officer of the Faculty Senate should be a member of the President's Advisory Council.
- (7) The *Ad hoc* Budget Task Force should be replaced by the University committee recommended by the Deans' Council and Faculty Senate last year.

THE UNIVERSITY OF
ARIZONA
TUCSON ARIZONA

Faculty Center
1400 East Mabel
Tucson, Arizona 85721
(602) 621-1342
Fax (602) 621-8844

September 9, 1992

MEMORANDUM TO: President Manuel T. Pacheco

FROM: J. D. Garcia, Chairman of the Faculty
Vivian L. Cox, Presiding Officer, Faculty Senate
Elizabeth Roemer, Secretary of the Faculty
Henry L. Ewbank, Chair, Committee of Eleven

SUBJECT: Coordination of faculty participation

We have been devoting some effort to consideration of how to make shared governance a reality on our campus. We firmly believe that it is especially important in the difficult times ahead to ensure that the vision of the future of the university is a shared one, with the faculty having a sense of responsibility, ownership and loyalty sufficient to accept the less-than-optimal circumstances in the proper spirit. The suspicion and mistrust that now prevail need to be converted into constructive problem-solving energy. Real shared governance, as you know, is one of the best routes for this conversion.

We believe it is important that we not have mere token representation of faculty on committees, nor committees for the sake of window-dressing. We think that the faculty perspective is essential in avoiding mistakes--it may even be true that the "cloak of authority does not necessarily always bring with it the mantle of wisdom." In any case, we believe that in order for our goals to reflect the true spirit of the university, it is necessary that the decisions concerning our present and future path be the result of a sharing of the responsibility for them. This will require more time and effort on the part of the elected governance officers to facilitate and coordinate this participation.

We believe more is needed than involvement of faculty with particular technical expertise, such as marketing or economics, on committees where such skills are helpful. The nature of the goals, policies, and decisions of the institution should reflect the aspirations and values of the faculty--in the spirit that Thomas Jefferson articulated.

As faculty governance reaches its proper role on our campus, it is clear that those most heavily involved in governance duties cannot also simultaneously carry full teaching, research and service loads at the levels expected by departments at a Research I university. We have discussed with you before the fact that faculty culture at our institution does not place a high value on faculty governance service; this is the case because past history has provided no evidence that such service is valued. For this reason, and because we believe strongly that the University of Arizona's ability to fulfill its mission is

greatly enhanced with proper, vigorously led, faculty participation, we believe there needs to be an acknowledgment of the importance of faculty governance to the institution by making such responsibilities part of the recognized workload of the few individuals with the most time-consuming responsibilities. At the same time, the departments involved should not be penalized.

We have considered how best to accomplish this, and offer the following. We note that when a faculty member is absent from a department by virtue of working full-time on scholarly activities during a sabbatical, the University provides 40 percent of the person's salary to the department for hiring a replacement to fulfill the duties normally assigned to that person. This works because the absence is a short-term one.

We propose that this precedent provides a reasonable framework in which to think about recognizing the faculty governance duties of the Chair of the Faculty and the Presiding Officer of the Faculty Senate, whose heavy responsibilities include representing the faculty of the University of Arizona on the Arizona Faculties Council and to the Arizona Board of Regents. We therefore propose essentially half-time release. I.e., that the home department receive from the Provost's Office 40 percent of the median yearly salary of a full Professor in that unit. For the Secretary of the Faculty and the Chair of the Committee of Eleven, we propose 1/4-time release, with 20 percent of the median full Professor's yearly salary made available to partially cover their duties within their departments. For those officers with summer responsibilities beyond an occasional meeting, some summer compensation will also be needed.

We would be happy to detail the workload entailed in each of these positions to show that our proposal reasonably represents the extent of governance responsibilities. We also propose term limitations on all of these officers to ensure that departments not suffer quasi-permanent losses, and that leadership positions in governance not be viewed as alternate careers.

We would welcome an opportunity to discuss this matter with you, preferably early in the Fall Semester, so that appropriate provision can be made in the 1993-94 budget.

THE CRISIS IN SCHOLARLY COMMUNICATION

THE UNIVERSITY OF ARIZONA DILEMMA

**Carla J. Stoffle
Dean of Libraries**

November 2, 1992

Figure 1
Consumer Price Index:
How Prices Rose 1984-1991

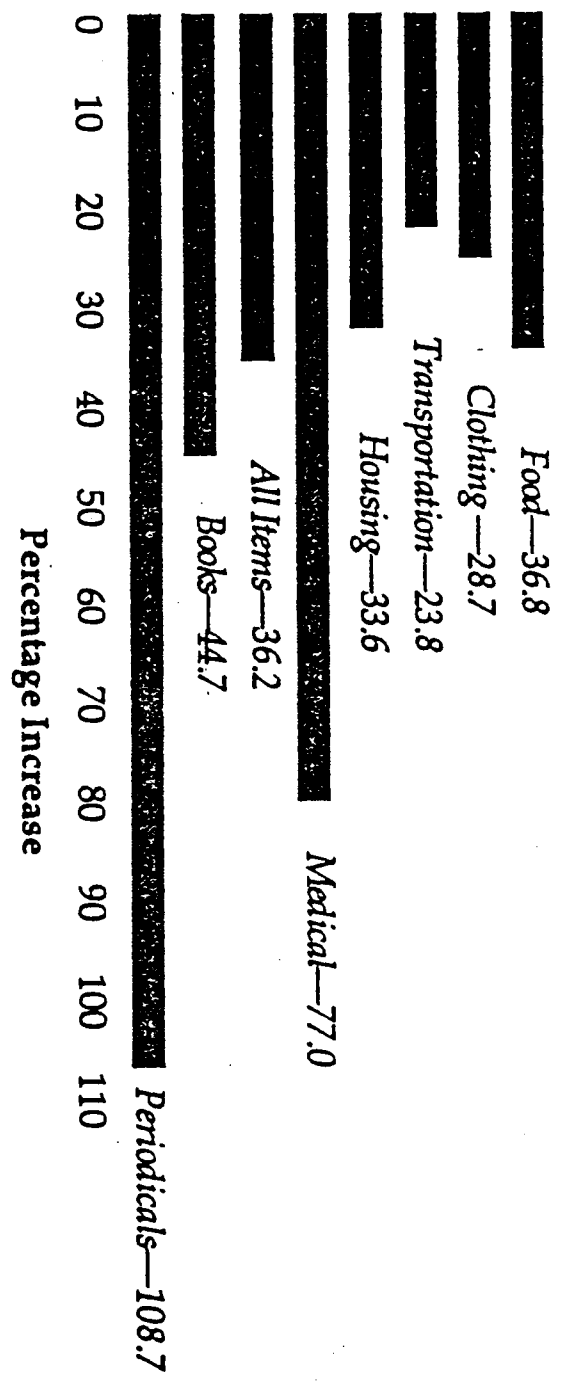
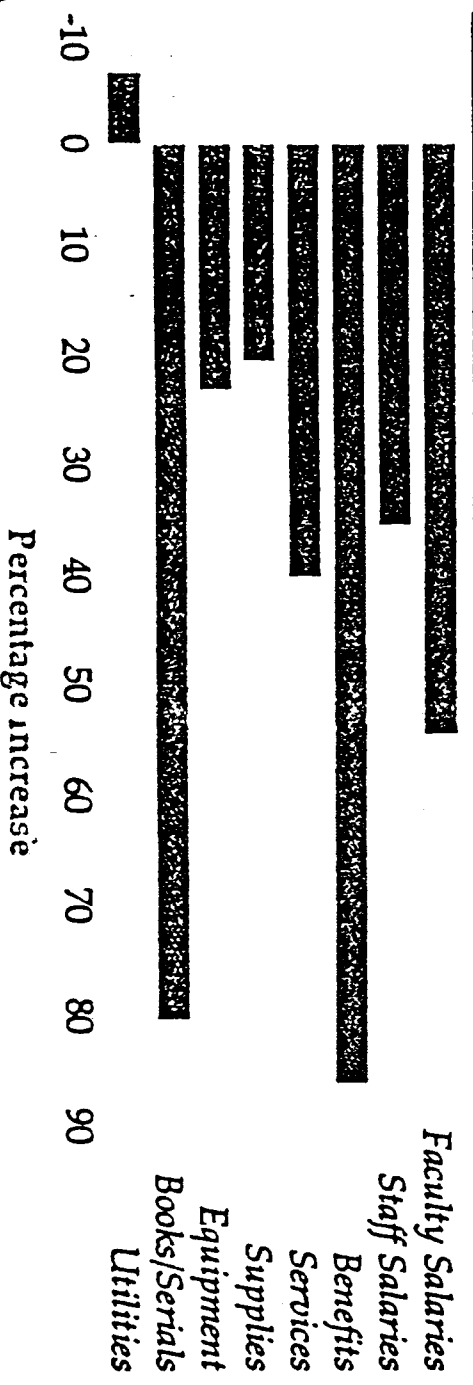


Figure 2
Higher Education Price Index:
How Prices Rose 1983-1991



SUBJECT AREA: POLITICAL SCIENCE (JA)

PUBLISHER: GORDON & BREACH

**TITLE: INTERNATIONAL INTERACTIONS: A TRANSNATIONAL
MULTIDISCIPLINARY JOURNAL**

SUBSCRIPTION PRICE ANNUAL INCREASE CUM. INCREASE

1989 \$128.34

1990 \$155.58 21% 21%

1991 \$193.34 24% 51%

1992 \$257.76 33% 101%

PROJECTED SUBSCRIPTION RATE

1993 \$358 39% 179%

SUBJECT AREA: FOODS AND FOOD SUPPLY (TX)

PUBLISHER: PERGAMON PRESS

TITLE: JOURNAL OF STORED PRODUCTS RESEARCH

SUBSCRIPTION PRICE ANNUAL INCREASE CUM. INCREASE

| | | | |
|-------------|-----------------|------------|------------|
| 1989 | \$175.63 | | |
| 1990 | \$192.18 | 9% | 9% |
| 1991 | \$243.88 | 27% | 39% |
| 1992 | \$348.72 | 43% | 99% |

PROJECTED SUBSCRIPTION RATE

| | | | |
|-------------|-----------------|------------|-------------|
| 1993 | \$433.38 | 24% | 147% |
|-------------|-----------------|------------|-------------|

SUBJECT AREA: CHEMISTRY (QD)

PUBLISHER: ELSEVIER

TITLE: ADVANCES IN COLLOID AND INTERFACE SCIENCE

SUBSCRIPTION PRICE ANNUAL INCREASE CUM. INCREASE

1989 \$165.24

1990 \$314.37 90% 90%

1991 \$786.60 150% 376%

1992 \$1085.04 38% 557%

PROJECTED SUBSCRIPTION RATE

1993 \$1836.47 69% 1011%

SUBJECT AREA: COMMERCE/BUSINESS/ACCOUNTING (HF)

PUBLISHER: UNIVERSITY OF ILLINOIS

**TITLE: INTERNATIONAL JOURNAL OF ACCOUNTING
EDUCATION AND RESEARCH**

| <u>SUBSCRIPTION PRICE</u> | <u>ANNUAL INCREASE</u> | <u>CUM. INCREASE</u> |
|---------------------------|------------------------|----------------------|
| 1989 \$69.19 | | |
| 1990 \$76.30 | 10% | 10% |

PUBLISHER CHANGED TO: SPRINGER

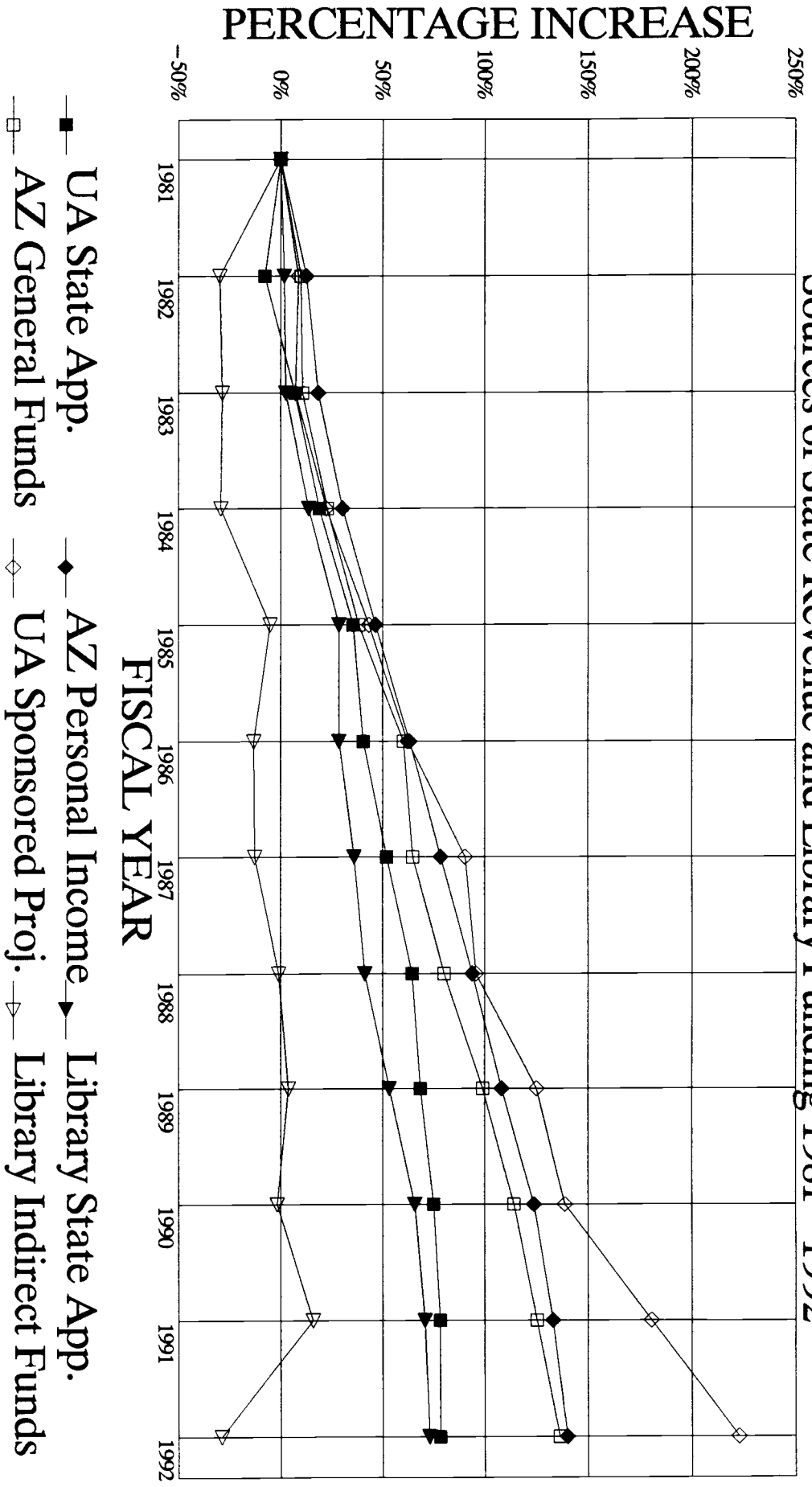
**TITLE CHANGED TO: INTERNATIONAL JOURNAL OF
ACCOUNTING**

| <u>SUBSCRIPTION PRICE</u> | <u>ANNUAL INCREASE</u> | <u>CUM. INCREASE</u> |
|---------------------------|------------------------|----------------------|
| 1991 \$104.09 | 36% | 50% |
| 1992 \$128.10 | 23% | 85% |

PROJECTED SUBSCRIPTION RATE

| | | |
|-----------------|-----|------|
| 1993 \$163 | 27% | 136% |
|-----------------|-----|------|

Sources of State Revenue and Library Funding 1981-1992

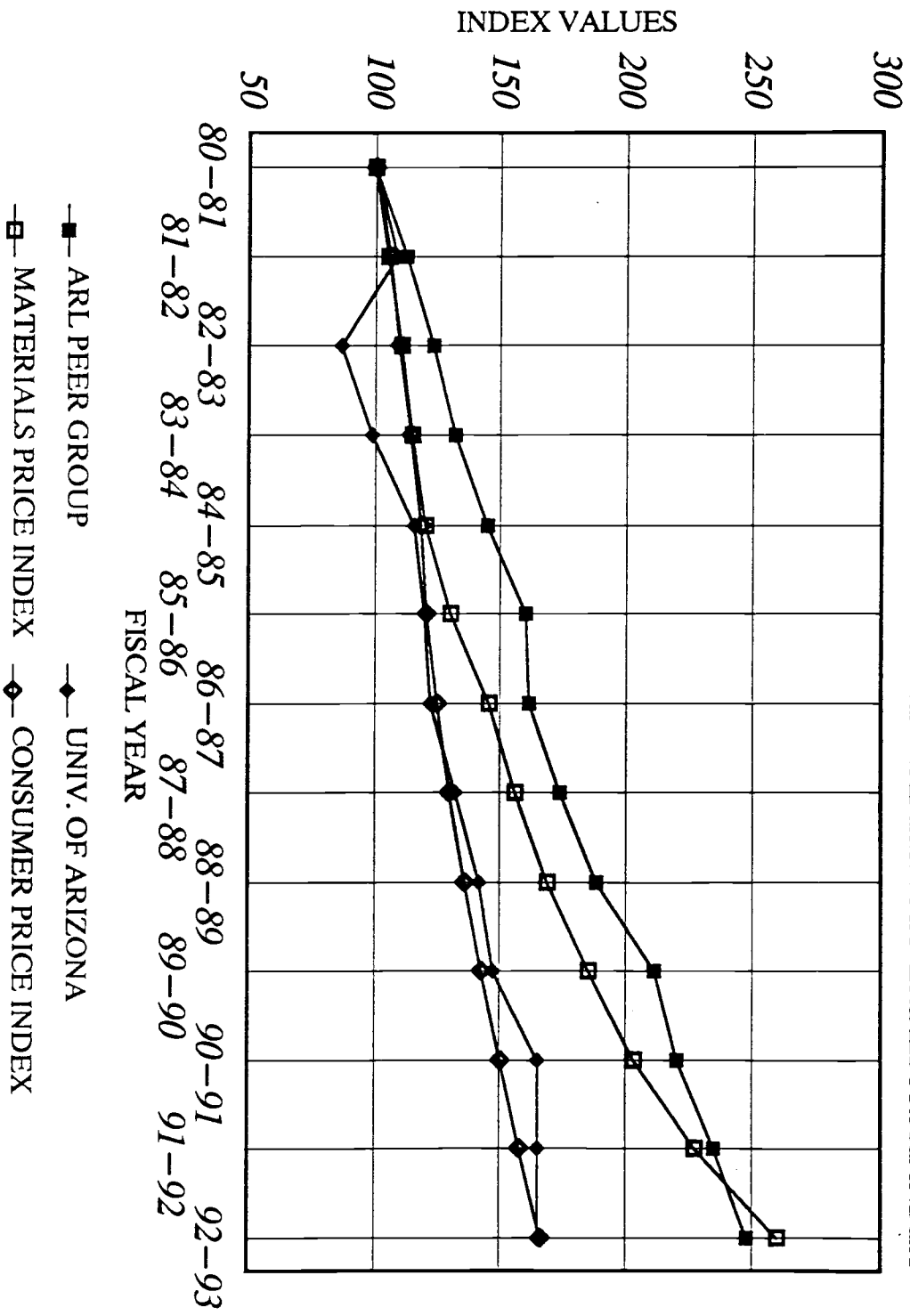


Univ. of Arizona State Appropriation (Main)
 Az Total Personal Income (in thousands)
 Univ. of Az. Library State Appropriation
 AZ General Fund Revenues (in thousands)
 Value of Sponsored Projects (Main)
 Univ. of Az. Library Indirect Cost Funds
 Library Investment Income

| | 1981 | 1992 |
|---|---------------|---------------|
| Univ. of Arizona State Appropriation (Main) | \$112,565,900 | \$200,608,700 |
| Az Total Personal Income (in thousands) | \$25,091,476 | \$60,197,155 |
| Univ. of Az. Library State Appropriation | \$6,833,360 | \$11,827,057 |
| AZ General Fund Revenues (in thousands) | \$1,422,420 | \$3,362,104 |
| Value of Sponsored Projects (Main) | \$41,795,029 | \$134,889,372 |
| Univ. of Az. Library Indirect Cost Funds | \$820,795 | \$584,573 |
| Library Investment Income | \$667,432 | \$0 |

* 1991 combined in one account for both areas.

UNIVERSITY OF ARIZONA LIBRARY MATERIALS BUDGET COMPARED TO OUR ARL PEERS,
THE CONSUMER PRICE INDEX AND THE ACADEMIC MATERIALS PRICE INDEX



Serials Inflation from 90/91 to 94/95

| 1990-91 | 1991-92 | 1992-93 | 1993-94 | 1994-95 |
|-------------|-------------|------------|------------|------------|
| Expenditure | Expenditure | Allocation | Projection | Projection |

| | | | | | |
|--------------------------|-------------|-------------|-------------|-------------|-------------|
| General Works | \$243,795 | \$250,526 | \$253,040 | \$263,793 | \$274,479 |
| Total Humanities | \$171,305 | \$190,319 | \$211,356 | \$234,459 | \$257,358 |
| Total Science/Technology | \$1,371,663 | \$1,494,261 | \$1,669,668 | \$1,969,930 | \$2,288,001 |
| Total Social Science | \$349,334 | \$377,458 | \$402,681 | \$444,834 | \$487,488 |

MAIN TOTALS

| | | | | | |
|--|-------------|-------------|-------------|-------------|-------------|
| | \$2,136,097 | \$2,312,564 | \$2,536,745 | \$2,913,015 | \$3,307,326 |
|--|-------------|-------------|-------------|-------------|-------------|

YEARLY SERIAL INCREASES

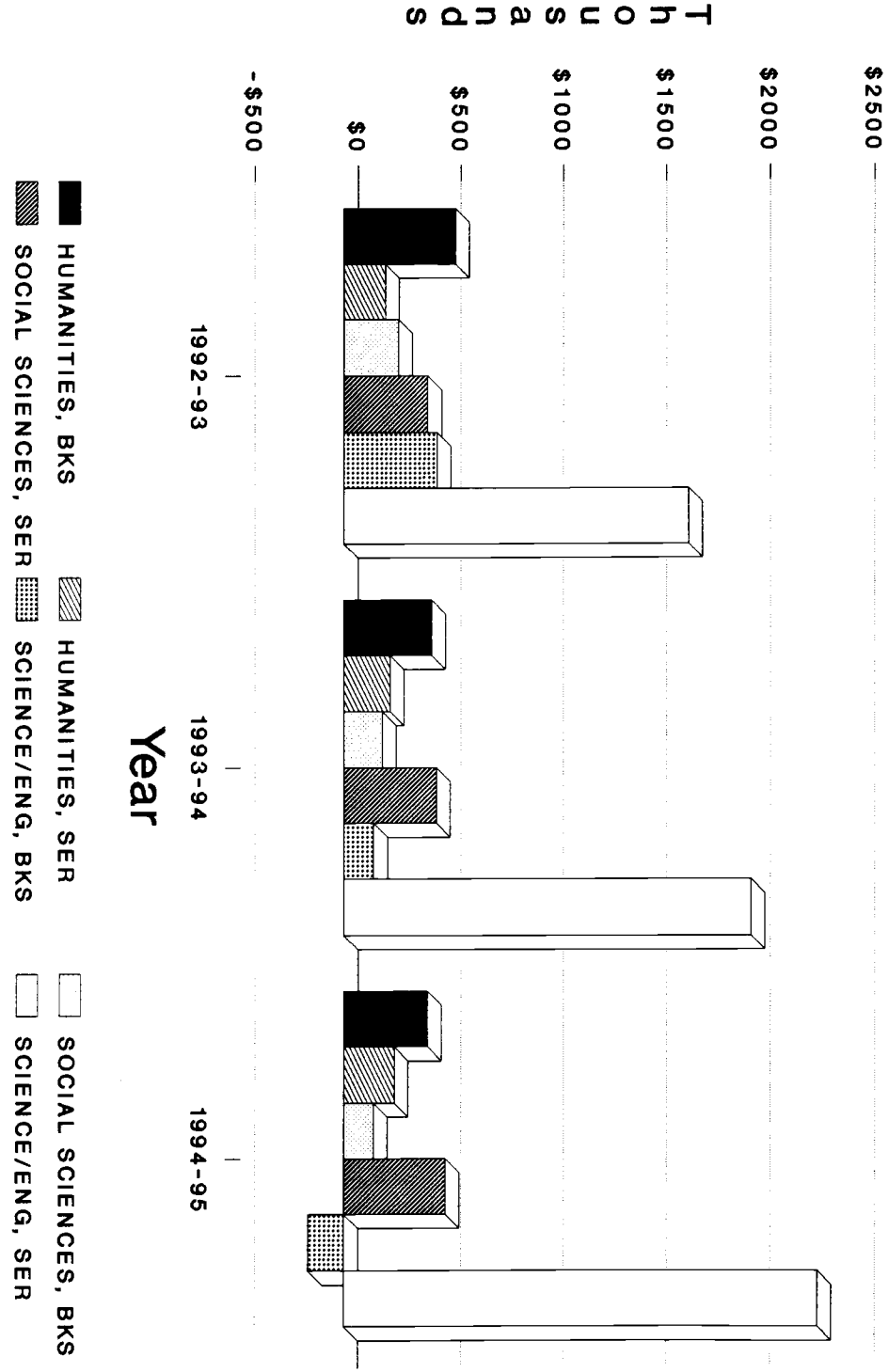
| | | | | |
|--|-----------|-----------|-----------|-----------|
| | \$176,467 | \$224,181 | \$376,270 | \$394,311 |
|--|-----------|-----------|-----------|-----------|

TOTAL INFLATION FROM 91-92 TO 94-95

\$1,171,228

** Totals do not include funds for Branch collections or other serials expenses.

Effect on a Flat Materials Budget If Serials Inflation is Taken From Books



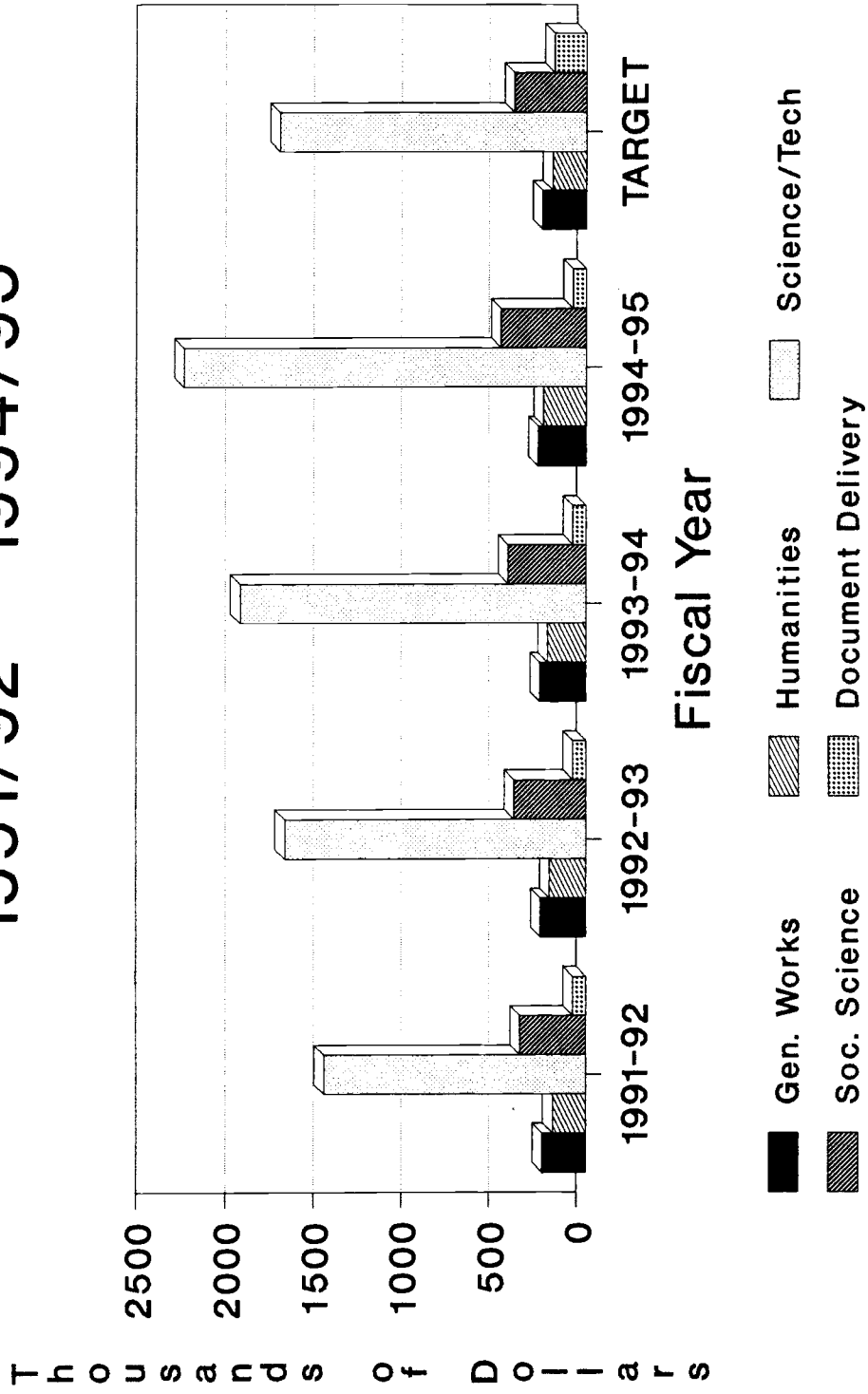
SUMMARY OF PROPOSED SERIALS REDUCTION PROJECT

- ** Total reduction of the serials budget will be \$ 700,980.**
- ** At an average cost of \$159/title this represents 4,408 titles to be cancelled. (This is a maximum. The total number cut should be less than this.)**
- ** 4,408 titles represent 21% of the Library's 21,000 current subscriptions.**
- ** Librarians will work actively with faculty in this process.**
- ** This will not be an across-the-board cut.**
- ** \$700,980 represents 15.24% of the total budget of \$4,600,674 for library materials.**
- ** \$700,980 represents 25.4% of the \$2,758,613 serials budget for 1992/93.**
- ** Target serial reductions by broad subject areas:**

| <u>Subject</u> | <u>Total Budget</u> | <u>Target Cut</u> | <u>Percent Cut</u> ¹ | <u>% Increase 1989-1992</u> |
|----------------------------|---------------------|-------------------|---------------------------------|---------------------------------|
| Humanities/Fine Arts | \$ 211,356 | \$ 48,805 | 23.1% | 32% |
| Science/Engineering | \$ 1,669,668 | \$ 542,885 | 32.5 % | 45% |
| Social Sciences | \$ 402,681 | \$ 76,037 | 18.8 % | 26% |
| General Works | \$ 253,040 | \$ 23,495 | 9.3 % | 10% |
| Branch Libraries | \$ 109,849 | \$ 9,758 | 8.8% | 10% |
| Other Serials | \$ 112,021 | \$ 0 | 0% | 0% |
| Total Serials 92/93 | \$ 2,758,613 | \$ 700,980 | 25.4% | 36% |

¹ Figures are based on serials inflation in each area over the past three years 1989-1992.

Growth in UA Library Serials Budget 1991/92 - 1994/95



PRINCIPLES TO GUIDE THE REVIEW OF SERIALS

Introduction. The Library cannot afford to locally own all of the information needed to support the University's instruction and research commitments. To successfully meet the information needs of the students and faculty of the University of Arizona requires a creative mix of locally owned collections, networked information, timely document delivery and cooperative collection development programs. Access --the timely delivery of information not owned by the Library-- must now be a basic component of the Library's information policy. The goal of the serials review will be to provide needed information to the undergraduate and the research communities while reducing local costs to levels that we can afford. In order to do this, we will need to identify those areas in the overall collection where inflation is a major factor and can be effectively managed. A review of this magnitude and complexity (a reduction of approximately one quarter of our serials budget,) will require difficult choices which will consider a variety of factors.

Basic Principle

- **** The review will attempt to identify those titles that have contributed most to the problem of increased serial costs. Controlling these costs is critical to maintaining the fiscal integrity of the Library.

Mitigating Factors. As appropriate, the following factors will be taken into account whenever cancellation or acquisition decisions are made.

- **** Quality of the title will be a factor in cancellation decisions. Measures of quality include faculty assessment, refereed status, and ISI impact factor.
- **** Users must be provided the means to identify or browse information sources, for example, the ready availability of indexes and abstracts, directories, and online databases.
- **** Duplication in different formats, e.g. paper, cd-rom and microform will be kept to a carefully justified minimum.
- **** The availability of alternatives to local ownership, for example, timely document delivery of needed items from other libraries or information providers.
- **** High use of an information source. In this case, local ownership of a title will be cheaper than providing access on demand. The Library is beginning a program to collect in-library use data.
- **** Significance for curricular or research programs. Faculty assessment will be critical in determining those titles which are essential for teaching and research.
- **** Commitment to maintain strength in a subject area as part of a cooperative agreement with other libraries.

October 1992

Proposed Calendar

October to January 1993 - Selectors develop lists of proposed serial cuts.

January to March 1993 - Selectors and Faculty review lists and make adjustments. Library Administration works with University Administration and faculty budget committees to increase Library budget.

March to April 1993 - Faculty Colloquia

April to May 1993 - Final lists reviewed and adjusted.

June to October 1993 - Cancellation and negotiation with serial publishers and vendors.

Higher 1993 Subscription Prices Due to Weaker U.S. Dollar

The continued decline of the U.S. dollar results in much higher price increases for U. S. libraries who have a high proportion of non-U.S. titles in their collections. In particular, journals published in Europe will cost substantially more than last year.

Faxon's revised projections for the cost of 1993 subscriptions are as follows:

| | Inflation | Page Increases | Currency Exchange | Total Increase |
|--|-----------|----------------|-------------------|----------------|
| U. S. Published Titles | 4.0% | 5.5% | 0.0% | 9.5% |
| Non-U.S. Published Titles (Publishers with Fixed Currency Exchange Rates) | 4.5% | 6.0% | 18.0% | 28.5% |
| Non-U.S. Published Titles (Publishers with Variable Currency Exchange Rates) | 4.5% | 5.5% | 10.0% | 20.0% |

This latest revision affects only the third category, titles published outside the U.S. where the publishers have variable exchange rates. The difference from our earlier projection is due solely to an increase in the currency exchange factor because of the weaker U.S. dollar. We now predict that the impact of currency exchange will add at least 10% to the cost of these titles, whereas our last update predicted 5%. If the dollar does not strengthen from its mid-September level, however, the total increase on these titles could be as high as 25%.

Based on our new projections, a typical library with a 50% U.S. and 50% non-U.S. collection can expect an **overall increase in the range of 17 to 20%**. Libraries with a higher proportion of non-U.S. titles should, of course, expect a higher rate of increase.

Please contact your Faxon representative if you have specific questions you would like addressed □

Source: The Faxon Report, Fall, 1992.

| Foreign Imports | 1988 | 1992 | 5-Year % Incr |
|-----------------------------|---------------|----------|------------------|
| | Gucci Jewelry | \$450 | \$495 |
| Swiss Chocolate | \$1 | \$1.39 | 39% |
| Seiko Watch | \$275 | \$310 | 13% |
| English Soap | \$3.25 | \$3.70 | 7% |
| French Perfume | \$185 | \$210 | 13% |
| French Wine | \$4.75 | \$7.99 | 68% |
| German Beer | \$7.40 | \$6.49 | -14% |
| Imported Automobiles | | | |
| BMW 525 | \$32,420 | \$38,500 | 16% |
| Honda Prelude | \$13,870 | \$19,000 | 36% |
| Nissan 300ZX | \$21,614 | \$32,000 | 48% |
| Jaguar XJS | \$43,950 | \$68,450 | 55% |

What Other Research Libraries Are Doing

We are not alone in this endeavor. The Chief Collection Development Officers of the top 40% of ARL libraries reported cutting an average of \$130,000 from their serials budget in 1991/2. One third of the group were planning serials reductions averaging \$300,000 when polled last May. Here are some specific examples.

Duke University: Planning a major cut this year, but have not established a target. Cut \$222,889 last year from a serials budget of \$2,453,000.

University of Maryland at College Park: Cut \$285,000 in 1991 and \$200,000 in 1992 for a total cut of \$485,000.

University of Illinois: Have cut over \$1,000,000 in serials since 1986. In 1991 they cut \$230,000 and in 1992 \$116,000.

University of California, Davis: Cut \$600,000 from serials last year. Their entire acquisitions budget is being cut \$500,000 over the next two to three years, and they will be cutting more serials.

University of Chicago: Cut \$200,000 over the last two years.

Harvard: Cut \$100,000 last year and is evaluating what to do this year.

University of California, Berkeley: Cut \$400,000 in serials in 1991. Their entire acquisitions budget is being cut 5% or \$305,000 this year. Part of this will be serials.

University of Florida: Cut \$300,000 last year.

Texas A & M: Are cutting \$400,000 this fall in order to stay within budget. These cuts will go into effect January 1993.

Arizona State University: Cut \$180,000 last year and planning a \$600,000 plus cut this year.

Columbia University: Cut \$210,000 last year from serials.

What Faculty Might Consider Doing about Rapidly Inflating Serials Prices

1. **Say "no" to serving on editorial boards or as reviewers for journals with poor track records, i. e. indefensible price increases. Refrain from publishing with these journals as well.**
2. **Evaluate critically the need for initiating new journals especially when others of good quality already exist in the field.**
3. **Support only good quality publications. Refuse to purchase or ask the library to purchase materials of questionable value.**
4. **Reduce the volume but not the quality by resisting opportunities to write articles in fragments. Refrain from submitting similar materials to more than one publication.**
5. **Urge the University to re-examine current promotion and tenure practices with the goal of emphasizing quality of research in a few key articles over quantity of published research. (Harvard Medical School and Stanford are among the institutions that have already begun to make changes in this direction.)**
6. **Retain the copyright to your written work for your own use and for use by educational institutions.**
7. **Education members of your professional society about the hidden danger of contracting with commercial publishers to publish society journals. Use your influence as a member of societies and editorial boards to reduce subscription fees or at least to keep them from rising astronomically.**
8. **Use your University Press for not-for-profit publishing.**
9. **Share with the library your willingness to cooperate with librarians in encouraging publishers to make journals available electronically for a usage fee rather than a subscription charge.**
10. **Communicate to library staff and your colleagues your willingness to rely on article delivery as a substitute for a journal subscription.**
11. **Pressure publishers to discontinue the practice of subscription pricing differentials which adversely affect U. S. and institutional subscribers.**

12. Challenge publishers who attempt to control your right to subscribe to a journal, own it, and freely donate it to an institutional library of your choice.

13. Support more rigorous refereeing of submissions to journals so that libraries can collect quality, not just quantity.

14. Help the library identify journals that base the subscription price on a per-page fee, while charging authors to print articles. Consider recommending that the library cancel these journals.

15. Seek regulations which prohibit copyright of written reports of all publicly funded research.

16. Work with your library liaisons to review and revise recommendations for cancellations January through March.

THE CRISIS IN SCHOLARLY COMMUNICATION

THE UNIVERSITY OF ARIZONA DILEMMA

**Carla J. Stoffle
Dean of Libraries**

November 2, 1992

Figure 1
Consumer Price Index:
How Prices Rose 1984-1991

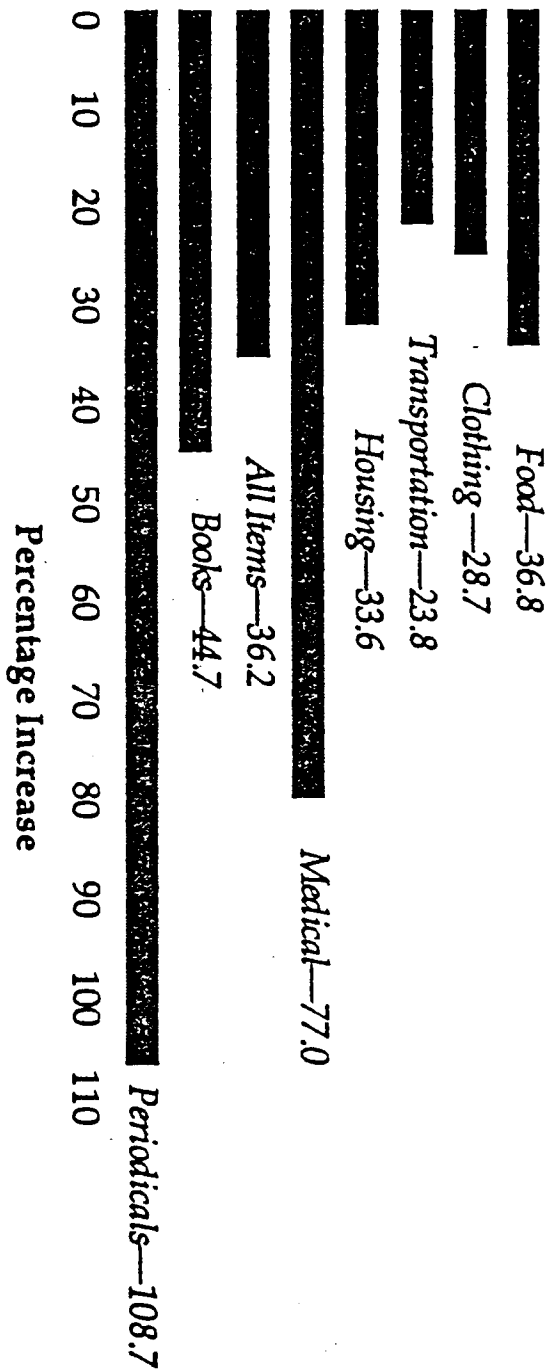
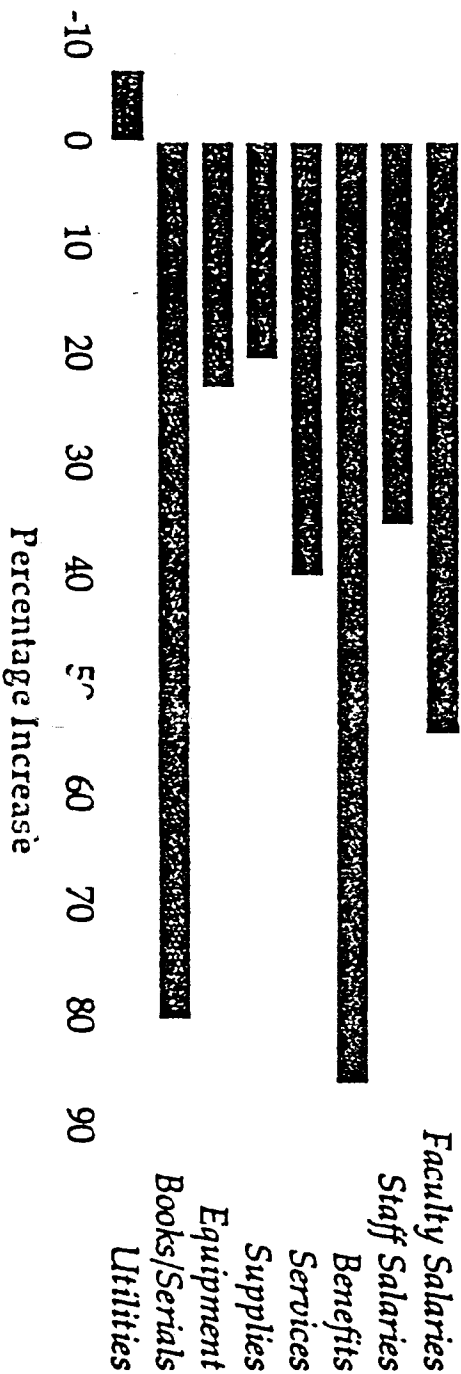


Figure 2
Higher Education Price Index:
How Prices Rose 1983-1991



UNIVERSITY OF ARIZONA
Faculty Senate
November 2, 1992

The following proposed resolution comes to the Faculty Senate for approval as a seconded motion from the Faculty Senate Executive Committee, which unanimously approved it at its meeting of October 19, 1992:

RESOLUTION SUPPORTING PROPOSITION 300
TO ESTABLISH A MARTIN LUTHER KING, JR./CIVIL RIGHTS DAY

WHEREAS, it is fitting and proper that the citizens of the State of Arizona recognize and honor the advancement of civil rights and the part played in this important and great struggle by Dr. Martin Luther King, Jr.; and

WHEREAS, the federal government, all other state governments, the City of Tucson and the University of Arizona have already recognized the third Monday of January as an official holiday;

NOW, THEREFORE, IT IS HEREBY recommended by the Faculty Senate of the University of Arizona that the citizens of the State of Arizona vote for Proposition 300, establishing the third Monday of January as a legal holiday to be known as MARTIN LUTHER KING, JR./CIVIL RIGHTS DAY.

*Approved
11/2/92
without
dissent*

GUIDELINES FOR PERIODIC REVIEWS OF DEANS, DIRECTORS
AND DEPARTMENT HEADS OF ACADEMIC UNITS

General

Periodic reviews of deans, directors and department heads provide a broad basis for evaluating performance during their fifth year in these administrative positions, and at subsequent five-year intervals, as well as an opportunity to assess long-range goals and objectives. Such reviews shall appropriately take into consideration the progress, including the management of academic programs, of the college, department, or other academic unit during the period to be reviewed, and the role of the dean, director, or department head in this development. These reviews are to focus on the performance of the individual administrator and are distinct from ~~decennial~~ PERIODIC program reviews. The policy and procedures described here may not be modified by colleges, departments, or other academic units.

Initiation of Reviews

Deans shall initiate a comprehensive review of each department head and director in their colleges and the Provost shall initiate a comprehensive review of the dean of each college, AND DIRECTORS REPORTING TO THE PROVOST, at intervals of no greater than five years. The review of deans, directors, and department heads may be scheduled so as not to burden unduly or to disrupt ongoing activities by having an excessive number of reviews transpiring at the same time.

The administrator to be reviewed shall be notified in writing no later than the beginning of the appointment period in which the review is to take place. Each administrator shall prepare a written summary of personal goals, accomplishments, and other activities in office for the period to be reviewed. This summary shall be delivered to the initiating administrator within 45 days of the notice of review. The initiating administrator shall provide a copy of the written summary to the review committee at the inception of the review process.

Extraordinary Reviews

Under unusual circumstances members of the General Faculty of a college, department, or other academic unit may wish to initiate a review of a dean, director, or department head prior to the next scheduled periodic review. In such a situation, the following will apply:

- (1) When one or more members of the General Faculty of a department, a college, or other academic unit conclude that an extraordinary review of a dean, director, or department head is in the best interests of that unit, that desire will be communicated to the chair of the Committee on Conciliation, who will maintain the anonymity of the author(s) of that request.
- (2) Upon recommendation of the Committee on Conciliation, the Provost will poll each member of the General Faculty of the unit by means of a ballot asking whether or not the dean, director, or department head should be the subject of an extraordinary review. In no instance will the Committee on Conciliation recommend a ballot requesting the extraordinary review of the same administrator more than once within any twelve-month period. The ballot will be accompanied by two envelopes, one of which shall be placed, unsigned, inside of the other, on which the signature and printed name of the member of the General Faculty shall be placed.

- (3) Members of the General Faculty who cast ballots shall return them to the ~~Committee on Elections which will affirm~~ PROVOST OR THE RELEVANT DEAN. THE PROVOST OR DEAN MUST ASCERTAIN that each ballot is legitimately cast, and shall remove the outer envelopes IN THE PRESENCE OF THE CHAIR OF THE COMMITTEE ON ELECTIONS, randomize the inner envelopes, AND open and count the ballots.
- (4) When a majority of the General Faculty of the college, department, or other academic unit, as listed in the annual census of General Faculty, vote for an extraordinary review, ~~the Committee on Elections will inform the Provost or dean,~~ and the Provost or dean shall initiate such a review in conformity with the procedures described below.
- (5) The extraordinary review will not replace the next periodic review unless that periodic review would have occurred within 18 months. Generally, no more than one extraordinary review may occur within a single five-year cycle. An extraordinary review will generally not occur sooner than two years following a periodic review.

Review Committee

The initiating administrator shall appoint a review committee in accordance with the procedures indicated below. All tenured and tenure-eligible faculty and all continuing and continuing-eligible academic professionals may participate in the nomination of review committee members. Only tenured faculty and/or continuing professionals may serve as committee members.

- (1) Where a dean OR A DIRECTOR REPORTING TO THE PROVOST is to be reviewed, the General Faculty of the college OR UNIT shall nominate by written ballot eight of their tenured and/or continuing members to serve on a review committee. The Provost shall appoint four of those nominated as members of the review committee. In addition, the Provost has the discretion to appoint no more than three additional tenured and/or continuing members drawn from the college OR UNIT involved or elsewhere. If the college OR UNIT has departments, at least one of the members of the committee shall be a department head in the college. It is expected that membership of review committees will reflect concern for minorities, gender, the diversity of program, and special interests within units.
- (2) Where a director or department head is to be reviewed, the General Faculty of the academic unit shall elect three of their tenured and/or continuing members to serve on the review committee. The dean has the discretion to appoint up to two additional members drawn from the academic unit involved, or from elsewhere. Through the combination of election and appointment, membership of review committees will reflect the concerns of minorities, gender, the diversity of program, and special interests within units.
- (3) ~~The members of the review committee~~ INITIATING ADMINISTRATOR shall select the chairperson OF THE REVIEW COMMITTEE from the committee membership FOLLOWING A MEETING WITH THE FULL COMMITTEE. THE CHAIRPERSON SELECTED MUST BE RATIFIED BY A MAJORITY VOTE OF THE COMMITTEE MEMBERS.
- (4) The initiating administrator shall direct the committee in writing, with a copy to the dean, director, or department head to be reviewed, to conduct a review of the accomplishments of the dean, director, or department head and the means used to produce those achievements. The review shall be based on a description of the position and its responsibilities and all established objectives together with the unit's planning effort and the annual reviews of the dean, director, or

department head. THE INITIATING ADMINISTRATOR IS RESPONSIBLE FOR MAKING AVAILABLE ALL RELEVANT INFORMATION FOR THE COMMITTEE'S CONSIDERATION.

In the event CASES of an extraordinary review~~S~~, specific attention should be directed TOWARD ASCERTAINING AND ADDRESSING those concerns which THAT LED directly to the initiation of the review. The ALL review~~S~~ shall also include, but not be limited to, an assessment of the effectiveness of the performance of the dean, director or department head in the following areas:

- (a) Leadership through active direction of affairs;
 - (b) Evidence of commitment to teaching, scholarship, and academic development and quality;
 - (c) Recruiting;
 - (d) Management of fiscal affairs;
 - (e) Affirmative action;
 - (f) Developing and maintaining open communication;
 - (g) Facilitating goal setting by individuals and by the unit as a whole;
 - (h) Identifying issues and resolving conflicts affecting the unit;
 - (i) Developing internal and external resources;
 - (j) Implementing performance evaluation and salary adjustment;
 - (k) Nourishing morale and establishing a working environment conducive to achieving individual and unit goals, as well as balancing and reconciling diverse interests within the unit;
 - (l) Building relations with constituencies.
- (5) The committee shall establish its own methods of obtaining information on the areas to be reviewed, but the process must include the following:
- (a) An early meeting with the administrator being reviewed to discuss his/her role and to gather any information and perspectives that the administrator would like to provide.
 - (b) Solicitation of information through a questionnaire distributed to all faculty members and academic professionals assigned to the unit. Results of the survey shall be tabulated and filed as an addendum to the committee report, omitting all names of respondents.
 - (c) Systematic gathering of input from staff and students through questionnaires or other means, the results of which shall be tabulated and filed as an addendum to the committee report.
 - (d) An announcement that the committee is available to individual faculty, academic professionals, staff, and students for oral or written input.

In addition to providing an opportunity for response or comment from the administrator under review, the committee may solicit information from alumni and other interested groups when it deems it appropriate.

Committee Report

The review committee shall complete its work and submit a written report to the initiating administrator within 120 days of receiving the written directive to conduct a review. The report shall (1) describe briefly the procedures used in gathering information; (2) discuss important issues identified in the course of the review; and (3) present the conclusions and recommendations reached by the review committee.

~~Because some of the issues, conclusions and recommendations may focus on personnel considerations, rather than on effective management or on the academic health of the unit, the committee should consider the necessity to divide its report into separable sections. Specifically, all communications with the committee shall be confidential and treated accordingly. The committee shall not divulge or otherwise reveal the source of any communications, and the report shall contain no confidential supporting material.~~

Action by Initiating Administrator

The initiating administrator shall review the summary prepared by the dean, director, or department head and the report of the committee. The initiating administrator ~~has the discretion to develop other information bearing on the performance and effectiveness of the dean, director or department head~~ **MAY CONSIDER ADDITIONAL INFORMATION BEARING ON THE PERFORMANCE AND EFFECTIVENESS OF THE DEAN, DIRECTOR OR DEPARTMENT HEAD. HOWEVER, SUCH INFORMATION MUST BE SHARED WITH THE COMMITTEE AND THE COMMITTEE'S INPUT SOUGHT PRIOR TO DEVELOPING THE INITIATING ADMINISTRATOR'S EVALUATION.** Copies of the COMMITTEE report, THE RECORD ON ADDITIONAL INPUT TO AND FROM THE COMMITTEE, and the initiating administrator's FINAL evaluation and comments shall be submitted to the President for appropriate action.

After meeting with the review committee to review the report, the initiating administrator shall discuss with the dean, director, or department head the report of the review committee as well as any other relevant information within 60 days from the day the committee's report is received.

Insert: Summary Report

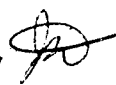
Also within 60 days following the meeting between the initiating administrator and the dean, director, or department head, the initiating administrator and the review committee will jointly draw up a summary report covering the methods by which the review committee obtained its information ~~and its recommendations and conclusions~~ , AS WELL AS A SUMMARY OF RECOMMENDATIONS AND CONCLUSIONS THAT ARE RELEVANT TO THE GOVERNANCE AND ADMINISTRATION OF THE REVIEWED UNIT. This report shall then be sent to all members of the reviewed unit.

Ready to print

MEMORANDUM

DATE: August 11, 1992

TO: Dr. Manuel T. Pacheco
President

FROM: Dr. J.D. Garcia, Chairman of the Faculty 
Dr. E. Roemer, Secretary of the Faculty
Dr. Vivian Cox, Presiding Officer, Faculty Senate
Dr. H. Ewbank, Chair, Committee of Eleven

SUBJECT: Faculty Governance

The signing of the faculty governance bill (SB1106) into law has caused us to note the lack of shared governance structure at our institution. In this memorandum, we discuss in general terms some of the cultural background and rationale for strengthening faculty participation in governance. We then present some general policy recommendations for implementation of this law on our campus, and finally some of the specific recommendations which are implied.

We believe it is very important, given the challenges that the University of Arizona faces in the coming decade, to make certain that the University brings all the talent available to concentrate on the problems that we face. Such an approach is also consistent with your avowed goal of improving relations between the faculty and the administration of the University. Inclusion of strong faculty input will also improve the morale of the faculty as it is recognized that this University has reached the level of maturity in which administrators need not feel threatened by shared governance. The fact that shared governance is now required by law adds extra impetus.

We foresee some hurdles in this endeavor, not the least of which is the attitudes of both administrators and faculty stemming from past practices. We have, however, recruited in recent years many faculty from universities having stronger faculty governance structures. The faculty has for some time been ready for a governance structure more appropriate to the institutional status which the faculty have earned for us. An optimum structure

would lead to closer collaboration between faculty and administrators — in effect a partnership to further our goals for the university. A proper structure would make clear that the institution and particularly the central administration respect faculty (opinions) views.

Some general policies we believe are important to the University's continued progress and improvement are these:

- (A) It is important that there be standing committees with at least some elected faculty membership, dealing with two areas as a minimum: budget and the unit's policies, at the department, the college and the central administration level. We believe the President needs to strongly suggest, endorse, and advocate such a committee structure. We certainly will do so, but since in changes of attitudes the behavior of administrators is essential, your own leadership is critically important in bringing about a change in culture. SB1106 identifies an essential difference between elected representation and appointed (or self-appointed) committees performing the same function. It should be the policy of the University that the voice of the faculty is not replaced by that of committees wholly appointed by an administrator by whatever criteria.
- (B) Standing committees with some elected component should be used whenever possible to handle the business of the University, at each level. This is to be contrasted with the currently prevalent practice of appointing *ad hoc* committees or task forces to address each new particular question. While we understand the need for *ad hoc* committees on unusual topics, the University would be better served by, for example, standing budget committees composed of individuals who have been educated by service longer than just a few weeks.
- (C) When *ad hoc* committees or task forces are necessary, there should be input from elected faculty representatives as to the composition of those committees.

Specific proposals:

- (1) Review the existing standing committee structure at all levels and revise as necessary to better meet ongoing needs.
- (2) Examine current University committees for adequate elected membership. It is clear, for example, that the Undergraduate and Graduate Councils should include members of the Faculty Senate Curriculum Policy Committee.
- (3) Make it a matter of policy for the appointment of *ad hoc* University committees or task forces, that the appointing administrator provide the Chairman of the Faculty with information on (a) the purposes and goals of the committee; (b) the experience which committee members should have. The Chairman of the Faculty will then, after consultation with the Committee on Committees and the elected

leaders of faculty governance, submit to the administrator the names of individuals for half of the membership of the committee or task force. The administrator will select the other half.

- (4) The Chair of the Faculty should be a member of the President's Cabinet. Both ASU and NAU have the Faculty Chair on the President's Cabinet. This is also the fact at many research universities across the country.
- (5) The Secretary of the Faculty should be a member of the Deans' Council. This is the practice at many institutions, including ASU.
- (6) The Presiding Officer of the Faculty Senate should be a member of the President's Advisory Council.
- (7) The *Ad hoc* Budget Task Force should be replaced by the University committee recommended by the Deans' Council and Faculty Senate last year.

INSTRUCTION AND CURRICULUM POLICY COMMITTEE

Report to Faculty Senate

2 November 1992

The Committee met on 7 October 1992 with Jeff Warburton, chair of the Student Affairs Policy Committee present. Two motions were made and seconded for consideration by the Faculty Senate, being jointly submitted by the two committees.

1. **Plus/Minus Grading for Graduate Students.** This has already been passed by the Graduate Council. The Committee feels this would compensate for grade compression in as graduate students are expected to maintain a 3.0 average *viz.* undergraduates who are expected to maintain a 2.0 average.

"It is moved to adopt plus/minus grading for graduate students. The Graduate College would remain on the 4.0 system but students' grade point averages would be computed by adding 0.33 to the underlying mark for a plus and by subtracting 0.33 from the underlying mark for a minus. There would be no grades of A+, E+, or E-."

2. **Grade Replacement for the College of Law.** This is strongly endorsed by the College of Law but would not affect the remainder of the Graduate College. The Committee had no strong feelings pro or con but it was felt this policy would favorably impact new, non-traditional students.

"It is moved to extend the present grade replacement policy for undergraduate students to include the College of Law. Under this system, College of Law students would be able to repeat up to 10 units or 3 courses, whichever is greater. The grade received in the repeat of the course replaces the grade received on the first attempt, and only the grade received in the repeat of the course shall be used in calculating the student's cumulative grade point average."

3. **Recommendations on Faculty Teaching Loads.** Several recommendations were made to the Provost regarding a draft of "Faculty Teaching" which recommends a standard teaching load of 18 teaching load credits (TLC), outlines a proposal for determining individual faculty teaching loads, and suggests several circumstances for which a reduction in the minimum teaching load requirement may be granted.
4. **Recommendations on the Report of the President's Task Force on Undergraduate Education.**

It was moved and seconded that the Faculty Senate recommend the first sentence in the second paragraph of page 3 be modified to read, "Members of the professorial faculty should consider it a responsibility to participate in teaching at the undergraduate as well as at the graduate level." This is noted to affect the third paragraph on page 3 dealing with letters of appointment. It is recommended that these sections be rewritten to be consistent with the Mission Statement.

The proposal to award GATships without regard to departmental boundaries (second full paragraph on page 5) was viewed as infringing on the prerogatives of the departments. It was felt quite strongly that the department responsible for the course(s) proposed to be taught by outside GATs should retain the final say in who teaches the course(s). GATs should not be assigned to teach courses within a department, in opposition to the wishes of the department. It is recommended that this section be eliminated.

The Committee feels strongly that excellence in teaching should be properly valued in promotion and tenure decisions (page 10, paragraph 3) but questions how this is to be implemented. It was moved and seconded that the Faculty Senate recommend that each college should have an elected faculty committee to formulate teaching effectiveness criteria which should be oriented toward quality indicators as opposed to quantity indicators.

It is recommended that the wording in the last paragraph on page 10, "...carrying out a vigorous and distinguished program of research..." be modified to "...carrying out an active program of research..."

UNIVERSITY OF ARIZONA
Faculty Senate
November 2, 1992

The Instruction and Curriculum Policy Committee and the Student Affairs Policy Committee submit, as a seconded motion, the following proposal for Faculty Senate consideration and approval:

That the University of Arizona adopt plus/minus grading for graduate students. The Graduate College will remain on the 4.0 system, but students' grade point averages shall be computed by adding 0.33 to the underlying mark for a plus, and subtracting 0.33 from the underlying mark for a minus. There shall be no grades of A+, E+, or E-.

STUDENT AFFAIRS POLICY COMMITTEE
Report to the Faculty Senate
November 2, 1992

Topics covered at its meeting on October 5:

1. Grading policy: plus and minus grades for graduate students in the College of Law. The committee agreed to meet with the Instruction and Curriculum Policy Committee to create a resolution for the November 2 meeting of the Faculty Senate.
2. Discussion with Dr. Sandra Taylor, Vice President for Student Affairs, the breakdown and structure of the Student Affairs office; diversity and minority retention; budget reduction recruiting; and management of the undergraduate.
3. Athlete grading policy, for a future meeting.

The meeting adjourned early for the Faculty Senate meeting at 2:30 p.m.

All meetings will be held one hour before Faculty Senate meetings on the first Monday of the month.

Members present at the October 5 meeting: William Bickel, Virginia Horak, Derek Lewis, Sheila Pitt, Andy Silverman, Dave Williams, and Jeff Warburton (Chair and Recorder).