

UNIVERSITY OF ARIZONA

Faculty Senate

Monday, April 29, 1996

SPECIAL MEETING

Please Note Change In Start Time (3:00 p.m.)

and Location (140 Law)

- 3:00 p.m. 1. Call to order.
- 3:01 p.m. 2. Discussion on working draft proposals related to changes to Conditions of Service (copy enclosed): Faculty Chair John Schwarz.
- 4:30 p.m. 3. Report from the Sierra Vista Task Force: Senator Larry Aleamoni.
- 4:45 p.m. 4. Discussion and action on a proposal that the Sierra Vista Branch Campus be allocated Faculty Senate Observer status (copy enclosed): Presiding Officer Anne E. Atwater.
- 4:50 p.m. 5. Discussion on University Withdrawal Policy (copy enclosed): Senator Jocelyn Reiter, Chair, Student Affairs Policy Committee, Alexis Hernandez, Associate Dean of Students, and Senator Fred Hill, Chair, Undergraduate Council.
- 5:00 p.m. 6. Report from the Strategic Planning and Budget Advisory Committee concerning degree consolidation and termination: Senator Stan Reynolds.
- 5:10 p.m. 7. Discussion and action on a proposal concerning Retention of Research Data (copy enclosed): Research Policy Committee.
- 5:30 p.m. 8. Adjournment.

THE UNIVERSITY OF
ARIZONA®
TUCSON ARIZONA

Faculty Senate

Faculty Center
1400 East Mabel
Tucson, Arizona 85721
(602) 621-1342
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Date: April 15, 1996

To: Members, Conditions of Faculty Service Task Force

From: Members of the Promotion and Tenure Subcommittee:
Larry Aleamoni, Betty Atwater, Martha Gilliland, Robert Hershberger, Larry Schooley, Mal Zwolinski

Re: Background and Source Materials for the Final Working Draft of
"University Guidelines, Criteria, and Evaluation Procedures for Promotion & Tenure"

The final working draft of the "University Guidelines, Criteria, and Evaluation Procedures for Promotion & Tenure" document, dated 4/5/96, draws heavily on previous University documents dealing with the subjects of faculty evaluation, and promotion and tenure. The purpose of this memorandum is to acknowledge these earlier documents and the faculty members who participated on the committees responsible for preparing the documents.

Parts I and II of the final working draft represent a revision of the draft document, "University Guidelines and Criteria for Promotion and Tenure", dated 10/3/95. During the spring of 1995, the committee that prepared this document worked to align previous reports and outcomes from six working groups, all dealing with various aspects of promotion and tenure. The committee membership and the groups represented were:

| | |
|--------------------------------------------------------------|----------------------|
| Faculty Senate Committee on Academic Personnel Policy (APPC) | John Bradley |
| Faculty Reward Team | Dipankar Chakravarti |
| Committee on a Performance Based Compensation System | Malcolm Zwolinski |
| Tenure Policy Committee | J.D. Garcia |
| Performance Evaluation Process Improvement Team (PEPIT) | Carla Stoffle |
| Faculty Development Team | Martha Gilliland |

Part III of the final working draft is based directly on two documents:

- (1) a document included in Appendix C of the final report from the Performance Evaluation Process Improvement Team (PEPIT). This document, dated 2/20/95, was titled: "Performance Management System: Draft - Faculty Bridge Paper".

PEPIT Committee Members:

| | | | |
|-----------------|--------------|----------------|-------------------|
| Tom Good | Ron Peterson | Carla Stoffle | Genevieve Watson |
| Linda Heffernan | Dick Powell | Robert Valasco | Malcolm Zwolinski |
| Nancy Huber | Laura Shamas | | |

- (2) a report (dated 2/15/93) from the Faculty Senate Committee on Academic Personnel Policy (APPC): "Development of University-Wide System for Faculty Peer Evaluation". This report was approved by the Faculty Senate at its meeting on May 3, 1993.

APPC Committee Members:

| | | |
|------------------------------|------------------------------|---------------------|
| Dipankar Chakravarti (Chair) | Robert Mautner | Ed Williams |
| Larry Aleamoni | Gerald Monsman | Malcolm Zwolinski |
| Betty Atwater | Karen Sergeant (student rep) | (former APPC Chair) |

**UNIVERSITY GUIDELINES, CRITERIA, AND EVALUATION PROCEDURES
FOR PROMOTION AND TENURE**

I. General Expectations of Faculty at The University of Arizona

The University of Arizona is a major land-grant teaching and research University. Accordingly, its mission is threefold: **teaching** -- to prepare successful lifelong learners using instructional systems that respond to various student learning styles, that incorporate modern technologies, and that integrate research with instruction; **research or creative activity** -- to expand the frontiers of intellectual and creative human expertise; and **service** -- to serve on committees and in leadership positions within the university and in professional organizations, and to participate in outreach activities that serve the community constituency and its broader state, regional, national and international community.

Whatever the field of learning, the pervasive institutional values are: an interest in perpetuating and disseminating knowledge through teaching programs at all levels; a respect for research, scholarship and artistic endeavor; and a concern for the application of new knowledge and insights that will improve the human condition. To achieve success, the recruitment and retention of outstanding faculty must be given the highest priority. To ensure that the faculty is and continues to be of very high quality, effective systems for recruitment and retention, for reward and recognition (including promotion and tenure), and for faculty development must be maintained, giving proper consideration to contributions in teaching, research, and professional and public service.

To maintain an outstanding faculty, the University must insist on rigorous standards for promotion and tenure. The obvious ideal is a high level of professionalism in the categories of scholarship as reflected in teaching, research or creative activity, and service. A combination of excellence in teaching and strong research or creative activity, or strong teaching and excellence in research or creative activity, both with demonstrated service to the institution, community, and profession, will normally warrant promotion and/or tenure.

Teaching: The instructional function of the University requires faculty members who can effectively communicate the content of the current body of knowledge and the latest research results in the classroom, with individual student contact and through professional modes of publication (in its widest sense). Excellence in teaching includes:

- organizing and conducting a course appropriate to the level of instruction and the nature of the subject matter;
- bringing to the classroom the latest discoveries, techniques and pedagogical approaches;
- engaging the students, according to their capacities, in the current discourse and debates within a field;
- enabling students to articulate issues and solve problems on their own;
- being available outside the classroom for further instruction and advice; and
- successfully directing graduate, professional and post-doctoral students.

Research or creative activity: The research function of the University requires faculty members to be actively engaged in the expansion of intellectual and creative frontiers. Excellence in research includes:

- a sustained program of scholarly research and publication or creative contributions;
- the receipt and sustained renewal of grants, awards and fellowships, where appropriate;
- high quality as judged by independent peers both inside and outside the University; and
- the responsibility and recognition achieved by being named to important professional positions.

Service/Outreach: Service includes: service on departmental, college, and University committees; service to professional associations and on public committees where faculty disciplinary knowledge is required. Service becomes an increasingly important part of a faculty member's activities as he or she advances through the professorial ranks. Outreach is a form of scholarship that cuts across teaching and research/creative activity. It involves generating, delivering, applying, and preserving knowledge for the direct benefit of external audiences in ways that are consistent with University and unit missions. The application of one's expertise to issues in the community is encouraged and often generates research ideas and contributions. Service/outreach activities may include:

- serving on campus committees and teams;
- actively participating in faculty governance at departmental, college or university levels;
- participating in activities of professional societies or organizations in one's discipline.
- applying one's expertise to address local, regional or national issues;
- providing Extended University, extension programs or short courses to governmental agencies and professional organizations; and
- presenting community lectures or performances;

The primary characteristic that The University of Arizona demands in its faculty is high quality, whatever their category and rank. Without it, we cannot be a leading institution. Tenure and promotion depend on past accomplishments *and* on the promise of continued excellence. Every member of every committee involved in promotion and tenure decisions has the responsibility to guarantee that our quality is preserved and enhanced.

II. University Criteria for Promotion and Tenure

These guidelines for promotion and tenure provide a philosophical basis for faculty retention and advancement. They express the level of expectation that the institution holds for itself; they ensure that the activities that are to be rewarded are consistent with the overall mission of the institution; they alert faculty to first-order responsibilities and expectations; and they provide a public document that expresses The University of Arizona's seriousness in holding itself to the highest standards of a public land-grant university.

This document frames general criteria, applied by the University Promotion and Tenure Committee and employed by the Provost and the President in making final decisions. University guidelines serve as an effective reference in the development and revision of individual academic unit guidelines, which must reflect discipline-specific characteristics, defined activities, expectations, standards and criteria, and evaluative measures. All unit guidelines for promotion and tenure should uphold the general University criteria and standards. Each department, division, school and college, in turn, should have its own approved criteria for promotion and tenure that are appropriate to its faculty.

In addition to unit-specific criteria for promotion and tenure, it is essential that a faculty member's workload responsibilities are clearly defined at the time of hire and are reviewed annually. Faculty members and department heads are required to outline the relative importance assigned to teaching, research and service/outreach activities in relationship to the department's mission and strategic plan. The workload assignment provides the context for evaluating a candidate's success in meeting performance expectations for promotion and/or tenure.

A. General Criteria

The University of Arizona must insist on rigorous standards for promotion and tenure. The ideal is excellence in the categories of scholarship as reflected in teaching, original research and creative work, and service/outreach. The granting of promotion or tenure is not a decision to be made lightly, but with all due attention to the quality of performance in each of the three categories. The focus of the faculty member's efforts must support the responsibilities and objectives of his/her department.

B. Promotion to Associate Professor with Tenure

For promotion to associate professor or granting of tenure, a high quality of performance is expected in teaching, research or creative activity, and service to the institution, community or profession.

1. Teaching

- Candidates must present evidence of successful teaching appropriate to the unit's mission (including undergraduate and lower division courses for units involved at this level).
- Candidates should be engaged in educating students at the highest level of their discipline at The University of Arizona and should be directing master's and doctoral work (where appropriate).

An important measure of quality is the evaluation by independent internal and external reviewers. Faculty members must show effectiveness within the classroom in organizing and presenting material and in stimulating intellectual response. Evidence on teaching effectiveness must come from: student evaluation; a peer review of the teaching portfolio and of the quality of feedback to students on their work; in-class peer evaluation; recognition of advising responsibilities; and participation in faculty development activities. Other evidence includes: grants for teaching innovations; teaching awards; selection to teach in prestigious programs; and achievements by students. Evidence of efforts to improve teaching effectiveness (e.g., the use of technology) should be provided. Availability to students during office hours is an expectation.

2. Research or creative activity

- Candidates must present evidence of having established a coherent program of research or creative activity.
- The published results and/or creative work in media of candidates must be peer-reviewed. The results need to be in sufficient quality and quantity to establish an emerging national reputation and the clear promise of sustained contribution into the future.

An important measure of quality is the evaluation by independent internal and external reviewers. The achievement of a candidate's stature may be measured in the quality of the specific media of publication or presentation. Other measures include: citation rates; the reception of grants, awards and fellowships in support of the candidate's work; and the attraction of advanced students to the candidate's tutelage.

3. Service/Outreach

- Candidates must contribute to decision making and academic and institutional planning at the departmental level and, perhaps, at the college and university levels by effectively carrying out committee assignments;
- Candidates should share their professional expertise with the public through avenues such as local schools, agencies, commissions, consulting assignments or panels.
- Candidates should participate in local, regional and national meetings, be active in professional societies, and conduct editorial reviews.

An important measure of quality is the evaluation by independent internal and external reviewers. Evidence of the above should be provided and should reveal that assistant professors worthy of promotion to associate professor with tenure have begun to develop a habit of service, that their judgments are professionally respected and valued, and that they have demonstrated the ability and an interest in finding linkages between their discipline and public interests, needs and opportunities.

C. Promotion to Professor

For promotion to full professor, performance of high quality in teaching, research and service/outreach with outstanding performance in one or more categories is required. The focus of the faculty member's efforts must support the responsibilities and objectives of his/her department and must be agreed upon with the department head at each annual review.

1. Teaching

- Candidates must present evidence of continued high quality teaching and mentoring, both in the classroom and through individual student contact, as appropriate to the unit's mission. This should include undergraduate and lower division courses for units involved at this level, as well as direction of master's and doctoral work, where appropriate.
- Candidates should have attained a leadership role in developing departmental curricula, providing evaluation of the teaching effectiveness of other faculty, and contributing to more effective departmental teaching approaches.

An important measure of quality is the evaluation by independent internal and external reviewers. Evidence of teaching effectiveness should continue to come from student evaluations, peer evaluations, advising, achievements by students, teaching grants and awards, successful innovation, selection to teach in prestigious programs here and elsewhere, and participation in faculty development activities. Faculty are expected to continually improve their teaching by staying current with the latest developments in the discipline and with pedagogical techniques.

2. Research or Creative Activity

- Candidates must present evidence of continued high quality basic or applied research, or creative activity.
- Candidates must present evidence that the results of these efforts have positively impacted their field of study, professional discipline, or local, regional, national, or international constituencies.

An important measure of quality is the evaluation by independent internal and external reviewers. This level of achievement is manifested in signs such as the quality and quantity of work presented in reviewed media or means of presentation; the opinions of peers from other institutions; citations of the candidate's work in his/her discipline; evidence that the candidate's work or findings have been incorporated into the field; the attainment and/or renewal of major awards, grants, and fellowships; presentations to scholarly or artistic communities beyond the southwest region; the reprinting and/or translation of a candidate's work abroad; the invitation to serve on editorial boards or other boards of judgment, to review manuscripts for leading journals and presses, to review grant applications for national funding agencies, and to evaluate candidates from other institutions for promotion and/or tenure.

3. Service/Outreach

Candidates for full professor must have accepted much more service responsibility than that required for lower ranks. An important measure of quality is the evaluation by independent internal and external reviewers. Evidence of service/outreach may include, but is not limited to the following:

- leadership in faculty governance, in mentoring of junior faculty, and in establishing departmental and college goals, objectives and performance standards;
- participation in professional associations, on professional review panels, and in the review of journal articles, grants and proposals;
- work with governmental and non-profit agencies that involves one's disciplinary expertise; and
- community lectures or performances.

III. Evaluation Procedures for Promotion and Tenure

The procedural guidelines described below are intended to help each department¹ establish its own standards for evaluating its faculty for promotion and tenure decisions. These guidelines will facilitate the type of faculty participation and consensus building that should allow each department to develop a peer evaluation process that reflects its own priorities and values as well as those of the college and university.

In addition to making decisions about how the faculty evaluation system will work generally for the faculty group, it is necessary to specify an individual's role within the department. For each performance period, there should be a written assignment clarifying expectations of each individual.

1. Determine critical dimensions of performance. The faculty evaluation plan begins with each department determining those critical dimensions of behavior that move the goals and objectives of the department forward. For example, traditionally with the performance review of faculty responsibilities, one includes information about teaching, research, and service dimensions. However, there are emerging interests in considering other faculty responsibilities such as professional development and these may be incorporated in performance plans consistent with objectives and budget constraints.

2. Describe activities to be included in each performance dimension. The faculty of the department should further delineate activities to be considered for evaluation within each performance dimension. For example, teaching may include graduate and undergraduate teaching, supervising independent study courses, advising masters or doctoral students, etc. Scholarly research/creative activities may include publishing research in refereed journals, presenting exhibitions of creative works, obtaining grants or contracts, etc. In like manner departments may describe more fully the nature of service by using subcategories such as outreach, community service, University service, and professional service. Additional examples of assignment activities that could become part of the faculty evaluation system are listed in Table 1. One logical starting point would be to begin with the activities listed as examples and allow the faculty to add or delete items.

3. Identify key activities to be evaluated. After the set of possible activities has been identified, the next step is to develop a process that leads to the description of those key activities that will actually be included within the evaluation system. A given academic department might accept only one-third of the items listed in this set. In contrast, another department might decide to adopt the entire set listed because they feel these activities are representative of their collective interests. There is no prescribed list--the issue is simply to determine what the academic unit values and how they will go about obtaining and analyzing information (the more activities included--the more time needed for data collection and evaluation).

4. Determine weight ranges for each performance dimension. A key element in adapting the faculty evaluation system to the department focuses on determining and assigning value or "weight" ranges to each performance dimension. Minimum and maximum weights for each dimension are first determined at the department level and then negotiated to ensure that they support the mission of the college and university. For example, a department may hold the expectation that all faculty should carry on an active program of research or creative activity, but, at the same time, recognize that faculty assignments will vary as to emphasis between teaching, research and service. This would then be reflected in a weighted range of values for evaluation purposes such that not less than 20% importance is assigned to research though it may go as high as 80%. The teaching range in the same department may vary from 20% to perhaps 80% while service may range between 5% and 30%. Another department heavily involved in undergraduate education may have different minimum and maximum ranges for each major dimension. Any department may have individual faculty negotiate specific weights consistent with unit goals and individual needs. It is expected that the level of importance

¹ The word "department" is used to denote the smallest academic unit (e.g., center, department or division, school).

assigned to a given activity relates directly to the work assignment negotiated for the time period and indeed comes out of the work assignment, although the importance weights are not directly tied to time allocation.

It is important to understand that decisions regarding minimum and maximum weights are framed within the broader policy decisions that have already been established in the University community. For example, to be a ranked faculty member, a 20% teaching load is required and although the importance weight for teaching need not be 20%, for example it could be 40%, the importance weight should be related to the work assignment. University procedures and explicit policy about the allocation of resources within the University will provide boundaries within which departments determine the minimum and maximum ranges for weighting of performance dimensions. Also, it should be understood that the quality of a faculty member's performance in each dimension (teaching, research/creative activity, and service) should be evaluated independently of the weighting that is then to be assigned to that dimension for that faculty member.

5. Determine sources of evaluation input. Next, the department needs to determine what information must be gathered to obtain an assessment or rating of the activities included in each of the three performance dimensions. For example, if one is going to analyze teaching performance, decisions must be made about concerns such as; whether student ratings will be used and to what extent; will the department head and/or peers be included as classroom observers; to what extent is self-evaluation of teaching considered in the process; will teaching materials and course syllabi be evaluated; how will the data be collected; etc. Examples of sources of information on which evaluations may be based are included in Table 1.

6. Incorporate the following procedural aspects in the evaluation plan. In adapting the faculty evaluation system at the department level, the following procedures support the design elements:

- Each department will have established by May 1 (i.e., starting in 1997) those core dimensions that will guide the faculty evaluation system for the following academic year.
- Opportunities for multiple inputs must be identified and be an explicit part of each departmental plan. For example, departments might consider student evaluation of teaching, an elected peer review committee for research productivity, other stakeholders in research efforts and/or outreach activities to provide information on performance, etc. The specific role of the department head and the faculty members in evaluating faculty performance also should be clarified.
- Appropriate expectations should be negotiated annually between the department head and each faculty member. These expectations should be based upon faculty standards and guidelines that have been created (and/or modified) by the end of the previous academic year (i.e., in May). This communication allows the faculty member and head to negotiate on an individual basis and to set clear expectations for performance outcomes. Although it may not be possible to personalize a plan that is optimally desirable for every faculty member in a given year, it is an expectation that "forward looking negotiation" may solve most disagreements.
- Standard procedures must be identified to assure fairness. That is, the performance goal-setting process involving each faculty member and the department head will establish written expectations that are on file and open to public examination. Every effort should be made to assure that faculty concerns regarding all aspects of work assignments are addressed fairly.
- Appropriate rewards and recognition are a vital component of the faculty evaluation system. The two purposes of a faculty evaluation system are to provide feedback for self improvement and data for personnel decisions. Feedback for self improvement should provide faculty with information that assists them in enhancing current performance or correcting deficiencies in areas they and the administration consider relevant and important. Feedback for personnel decisions should provide decision-makers with relevant, reliable data concerning faculty performance on which to base decisions concerning promotion, tenure, merit pay, or continuation of appointments.

Table I. Examples of Faculty Activities that may be Considered for Evaluation

| ASSIGNMENT ACTIVITIES | SOURCES OF EVALUATION INPUT |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| INSTRUCTION | |
| <u>Teaching</u> | |
| <ol style="list-style-type: none"> 1. Teaching regular course offerings 2. Developing course materials 3. Developing replicable systems of instruction (e.g., designing TA-instructed courses) 4. Developing new courses/labs 5. Coordinating a multi-faceted course 6. Teaching a multi-faceted course 7. Clinical teaching/independent study/tutorials 8. Supervising independent study, graduate and undergraduate research 9. Implementing innovative technology for instruction 10. Developing and applying educational innovations in the classroom 11. Providing meaningful feedback to students on their work | <ol style="list-style-type: none"> 1. Student evaluations of teaching 2. Peer review 3. Self evaluation 4. Department Head assessment 5. Administrative support personnel 6. Teaching assistants |
| <u>Advising</u> | |
| <ol style="list-style-type: none"> 1. Advising undergraduate students on programs of study 2. Advising student groups 3. Serving on master's or doctoral supervisory committees 4. Advising/mentoring graduate students 5. Advising about residency programs | |
| <u>Special honors or recognition for teaching excellence or innovation</u> | |
| SCHOLARLY RESEARCH/CREATIVE ACTIVITIES | |
| <u>Publications</u> | |
| <ol style="list-style-type: none"> 1. Books 2. Refereed journal articles 3. Monographs, technical reports, etc. 4. Exhibiting paintings, sculptures, and other creative arts 5. Staging, directing, or acting in musical, theatrical and dance productions 6. Reviews 7. Software/Media 8. Electronic or other non-refereed material 9. Citation counts 10. Presenting recitals and exhibitions 11. Invited/contributed presentations/performances 12. Invited/contributed papers 13. Poster sessions 14. Producing deliverable systems 15. One-person exhibits in museums or prestigious galleries 16. Placement of work in museums 17. Commissions received 18. Choreography performed by others 19. Performances with leading professional organizations 20. Performance of works by others 21. Chapters in books 22. Maps 23. Abstracts 24. Patents | <ol style="list-style-type: none"> 1. Faculty review committee 2. External peer reviews of activities 3. Self evaluation 4. Department Head assessment 5. Agencies supporting the activity 6. Collaborators |
| <u>Ongoing Research</u> | |
| <ol style="list-style-type: none"> 1. Basic investigations (theoretical/applied) in progress 2. Investigations of educationally relevant problems 3. Obtaining outside support for projects, especially through peer-reviewed proposals 4. Patents and technology transfer 5. Grants, contracts, box office receipts | |
| <u>Professional Recognition</u> | |
| <ol style="list-style-type: none"> 1. Awards/Honors 2. Achieving advanced degrees/certifications, etc. 3. Special recognitions for professional accomplishments 4. Prizes for/acceptances in juried show 5. Awards in juried competitions 6. Awards for compositions | |

TABLE I (continued)

| ASSIGNMENT ACTIVITIES | SOURCES OF EVALUATION INPUT |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| SERVICE ACTIVITIES | |
| <u>Faculty Service</u> | |
| <ol style="list-style-type: none"> 1. Serving on departmental, college, and/or university committees 2. Serving in the Faculty Senate 3. Chairing of any committee (student, faculty, etc.) 4. Serving as a sponsor for student activities and/or groups 5. Administrative assignments | <ol style="list-style-type: none"> 1. Faculty review committee 2. External peer reviews 3. Self evaluation 4. Department Head assessment 5. Administrative supervisor 6. Faculty and staff colleagues |
| <u>Professional Service</u> | |
| <ol style="list-style-type: none"> 1. Activity in professional organizations (holding office, serving on committees for federal or state government agencies or on boards) 2. Consulting to organizations/corporations 3. Consulting to universities/colleges, etc. | |
| <u>Public or Community Service</u> | |
| <ol style="list-style-type: none"> 1. Participating in local, state, or national civic activities and organizations 2. Applying one's academic expertise in the local, state, or national community without pay/profit | |
| <u>Awards and Recognitions</u> | |

**Summary of the Proposed
Continuing Review and Compensation Plan
(Based on Working Draft 9, April 15, 1996)**

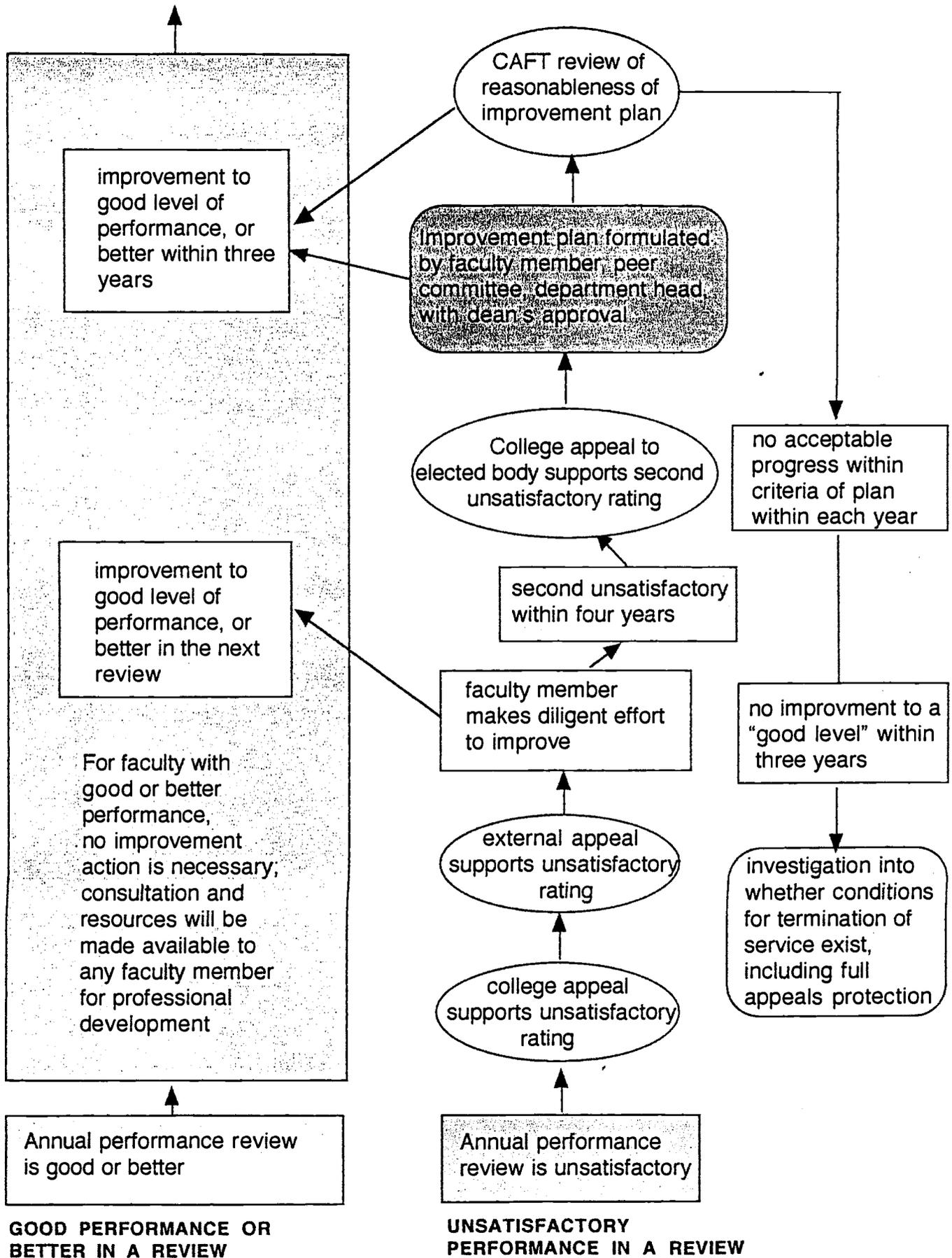
How the Proposed Plan Differs from Present Review System:

- provides greater flexibility to allow individual faculty workloads to build upon individual faculty strengths.
- places greater emphasis on the role that faculty development can play in the evaluation process.
 - invites voluntary participation by all faculty members in faculty development, using available University programs and resources.
 - initiates remedial response in case of unsatisfactory performance.
- establishes the assurance that the peer review committee is elected by faculty.
- establishes thorough appeals processes:
 - appeals can be on procedural or substantive grounds.
 - provision for appeals to elected faculty bodies at both college and university levels.
 - in cases of consideration for termination of service, external review appeals process at faculty member's request allows for outside review by professional body in faculty member's discipline, in which the finding shall be conclusive.
- requires both University and faculty to abide by results of hearings and appeals process.
- places burden of proof upon the University in all reviews, hearings, and appeals concerning unsatisfactory performance.
- establishes the framework for a merit compensation plan linked to faculty performance rankings in the annual review.

Plan Contents:

- **Position Statement** - a statement of the philosophy underlying the document, which firmly supports tenure, establishes a commitment to development and improvement programs, and a commitment to accountability.
- **Introduction** - an overview of the various review systems, their interrelationships and connection to the continuing review.
- **Process** - a detailed outline of review plan procedures, timelines, criteria, considerations; an explanation of procedures for unsatisfactory rankings, improvement plans, appeals processes and conditions for termination, including hearings and external appeals.
- **Cost** - an outline of the appropriate ways to meet the costs of both the review process and the compensation plan.
- **Appendix A (Evaluation rankings)** - a suggested list of performance rankings and their resultant implications for improvement plans and merit compensation.
- **Attachment 1 (ABOR language)** - in response to request from ABOR, two versions of suggested language change in **Conditions of Faculty Service**.

CONTINUING REVIEW PATHS



Proposed Working Draft in Progress

Continuing Review and Compensation Plan University of Arizona

DRAFT 9 4/15/96

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I. POSITION STATEMENT

A university is an organization focused on learning. It generates new knowledge and new applications of existing knowledge, it increases appreciation of the arts, and it deepens our understanding of natural and social phenomena. This knowledge, appreciation, and understanding are then transmitted to students and to the larger society. The university operates on a time scale different from that of production or service enterprises and it needs the freedom to explore avenues different from those entities.

Tenure is one of the most valued assets the University can offer to attract the finest talent into the academy from the outside world. It provides a stability which helps to offset the generally higher salaries found elsewhere in the marketplace. Through a rigorous assessment process over time, the awarding of tenure recognizes proven excellence as measured by many different criteria. Constructive peer-based review systems in place before and after tenure have the purpose of providing accountability through emphasis on sustained high quality performance and opportunities for continued faculty growth and development. A system of faculty development is vital to maintaining and enhancing this high level of faculty performance. In addition, structured programs for performance improvement are able specifically to ensure that those rare cases of unsatisfactory performance will be corrected in a timely manner without diminishing the value of tenure in the institution.

The process of achieving tenure at the University of Arizona is a long and rigorous one. Achievement of tenure is both a strong recognition of the accomplishments of candidates in their disciplines and confidence in their ability for continued growth and excellence. This validation occurs at the departmental, college, and University levels, according to stringent guidelines. Thus, when the continuing review shows that a performance is below acceptable standards for a tenured or continuing faculty member, the intent of the review must be to begin a vigorous program of faculty support on the part of the University, to reengage and refocus that person in whom so much has already been invested. Only after such a process has clearly failed, and then alone, should termination of service be considered, according to the ABOR procedures.

II. INTRODUCTION

The Arizona Board of Regents requires an annual performance review, as stated in UHAP 3.10.04: "Each faculty member's performance shall be evaluated in writing on a scheduled basis at least once every 12 months." The proposed Continuing Review and Compensation Plan will incorporate and build upon the annual performance review to create a system which will serve the needs of post-tenure review and provide the potential for a plan for compensation.

Objectives of the Review:

1. To recognize and reward strong performance: to reward individual faculty (or members of faculty teams) who meet stated expectations.
2. To provide greater accountability while fully protecting academic freedom, through an improved faculty review procedure after tenure or continuing status is attained.
3. To enable faculty to be evaluated more individually and with greater flexibility, according to the strengths of the individual faculty member.
4. To provide for and strengthen faculty development.
5. To identify and address cases of unsatisfactory performance. Where there is potentially persistent unsatisfactory performance, to set in place a plan for improving the level of performance. If the performance thereafter continues to fall below stated expectations, so as to become a case of persistent unsatisfactory performance, to provide a process for consideration of termination of service.
6. To tie salary more closely to performance.
7. To improve and to maintain improved pay equity.

III. FEATURES OF THE PROPOSED CONTINUING REVIEW SYSTEM

1. The foundation for the proposed continuing review system shall be the regular annual performance review. The regular annual performance review of all faculty regardless of rank includes all personnel covered by the definition below. Regular annual performance review shall include Faculty as defined by the **Constitution of the General Faculty of the University of Arizona (1986), Article II, Section 1 (a)**:

"For purpose of University government, the General Faculty of the University of Arizona is composed of individuals holding more than half-time appointments in teaching, research and/or service including both faculty members who hold tenured and tenure-eligible appointments and academic professionals holding continuing and continuing-eligible appointments, and who are recommended by the faculty of the appropriate academic unit, approved by the President of the University and/or ratified by the Board of Regents."

The review will assign merit rankings to faculty performance.

A parallel system of annual performance-based review and compensation for lecturers and instructors and other academic personnel not

covered by the definition of the faculty in the **Constitution of the General Faculty** shall be devised for all departments that employ lecturers and instructors. Colleges should apply the principles of this performance and compensation plan to other academic personnel as deemed appropriate.

To ensure the quality of judgments of the annual reviews, the rankings of 25% of the faculty will be reviewed every four years at the dean's level, by each dean and an elected committee from the faculty of each college.

2. The mechanisms contained in this plan serve simultaneously both the continuing review and the compensation review for merit salary adjustment. Performance shall be the basis for both the continuing review and for merit review salary adjustment (except for COLA and equity). The performance criteria involved in reviews will be against stated performance expectations for the individual faculty member or, in some instances, by a faculty team (e.g., librarians) in accordance with the stated mission and peer review instrument of the department and college, and will be approved by the department or unit head. The parameters of the stated performance expectations for teaching, research and service will be determined by the faculty and academic professionals on continuing or continuing-eligible status of each department or unit, as approved by the college dean.

The stated performance expectations shall reflect standards common throughout the University for teaching, research and service, adapted to the individual needs of each college and department. Each annual review shall examine the past 3-5 years of the individual faculty member's performance, with the time period to be determined by the department. University rules concerning absence and leave for health, family, or other reasons shall continue to be applicable as they are currently, with the time limits to be established by each college.

3. The intent is to review the performance of individual faculty members against stated expectations. The mix of expectations, consisting of teaching, research and service, can vary for faculty members within departmentally established limits predetermined by the faculty of each department or unit and approved by the college dean. That mix could change through time for an individual. Individual faculty members may contract with their department heads to alter their particular defined workloads, as long as the expected level of overall performance remains comparable to the common standards.

4. A faculty member's annual performance will be reviewed by a committee of elected peers, usually from the same department or unit. This committee could be, for example, the P & T committee or the faculty status committee of the department, or a separate elected committee. The reviewing committee will systematically judge the quality of performance in each area of expected performance (teaching, research, service) according to the departmentally-established and college approved standards.

5. Equity issues resulting from salary compression, gender or other bias, will be addressed and inequities will be redressed within three years of the implementation of the system, and will be periodically revisited. Review at the University level will be required for any recommended equity adjustment in excess of \$5,000 above the increment resulting from the outcome of the performance review. In no case shall the justification for equity or market adjustment be based on time and rank alone, regardless of the aforementioned gender or other such biases.

6. Separate raises for promotion to associate or full professor and for comparable ranks of academic professionals should be given.

IV. PROCESS FOR THE CONTINUING REVIEW SYSTEM

1. The annual or continuing review, based on the performance of faculty over the past 3-5 years, shall result in performance rankings to be used in personnel decisions and merit compensation. (See **Appendix A**)

2. External letters, such as those required for promotion decisions and for tenure and continuing status decisions, are not required in the annual or continuing review except in very special circumstances (e.g., when the faculty member's publication rate is viewed by the department as low in quantity but very high in quality).

3. The department or unit head will meet with the faculty member to discuss the outcome of the review and expectations for the next review.

4. An unsatisfactory ranking shall be given in the case of performance below stated expectations as described in III, 2,3, 4 and **Appendix A**. For tenured and continuing faculty, in the event of an unsatisfactory ranking, the following process shall be used :

a) First-time Unsatisfactory

The department head will inform faculty members who received unsatisfactory reviews for the first time of faculty development opportunities available to help them improve their performance. With the concurrence of the department head, faculty will be allowed to adjust the weights given for teaching, research, and service within the performance guidelines already established by each department.

Tenured and continuing faculty who receive an unsatisfactory ranking for the first time may appeal the judgment within the college according to a written procedure to be defined by the faculty of each college. The appeals process of every college shall provide for the possibility of an appeal outside of the college in which the faculty member works, undertaken by a university-wide elected body. Appeals can be made on the basis of procedural or substantive grounds. If an unsatisfactory judgment is upheld on appeal, the faculty member will be expected to make a diligent effort to improve his or her performance.

b) Second-time Unsatisfactory

Tenured and continuing faculty who receive two consecutive unsatisfactory rankings, or two unsatisfactory rankings within a four-year period, are considered to be emerging cases of persistent unsatisfactory performance. Each faculty member may appeal the second judgment according to a written procedure to be defined by the faculty of each college. The process shall provide for an appeal to an elected body within the college where the faculty member works, and appeals can be made on the basis of procedural or substantive grounds.

If the second unsatisfactory judgment is upheld on appeal, the faculty member will be expected to develop a plan for improvement in collaboration with the department head and peer committee, and approved by the dean of the college, within the first semester following the unsatisfactory ranking. The University will make appropriate resources available to help the faculty member. The improvement plan must be in effect within the first semester following the agreement upon the plan. The faculty member's performance within the context of the improvement plan must be evaluated within one year, or earlier where practicable, after the plan is put into effect. The evaluation will be done by the department head and the elected peer review committee, and approved by the dean. The plan must state reasonable expectations and provide for a CAFT review if the faculty member questions the reasonableness of the expectations. The improvement plan will stay in effect until performance reaches the level of good. In no case shall an improvement plan take more than three years to lead to a good performance, according to stated expectations.

5. Improvement plans will be designed with the intent to provide structures and resources for faculty to make changes in order to attain appropriate performance levels. The spirit of the improvement plan is to support, encourage, and measure faculty performance quality, to the end that faculty performance meets stated expectations.

The improvement plan will include the following:

- a description of specific deficiencies
- a list of reasonable outcomes needed to correct deficiencies
- the process to be followed to achieve outcomes
- the timeline for accomplishing the process
- the criteria to be used in evaluating progress in the plan
- the resources available to facilitate the plan

6. It is the objective of the continuing review that improvement plans have successful outcomes, and that no further action need take place. Only when a successful outcome fails to occur can any further action ensue. That is, consideration of termination of service for demonstrated unsatisfactory performance, according to the revised language of the ABOR Policy (see Attachment I) may occur only in cases where one of the following circumstances exists:

a) the faculty member is unwilling to enter into an improvement plan following a second unsatisfactory judgment within a four-year period, wherever the

second unsatisfactory judgment either is not appealed within 90 days or is sustained upon appeal;

b) the faculty member fails to make progress considered acceptable within the expectations and timetables established under the improvement plan within each year under the implementation of the improvement plan;

c) the faculty member is unable to achieve a "good performance" according to stated expectations within three years under the improvement plan.

Given the current recruiting practices which are focused on attracting the best qualified individuals for any open position, cases of persistent unsatisfactory performance should be rare. In such cases, however, the ABOR procedures specified in **Chapter VI, sections I.1 and K** can be initiated. Section I.1.a states as follows:

"Tenured faculty members shall not be dismissed or suspended without pay except for just cause. Such termination of service or suspension may take effect only following an opportunity for the faculty member to utilize the conciliation/mediation and hearing procedures as prescribed in **sections K.3 and K.4** below."

7. **Hearings**

Section K specifies in detail hearing procedures for faculty and academic professionals on continuing or continuing-eligible appointments. **Section K.1** is a statement of principles:

"Investigations and hearings require the judicious consideration of facts, but they should neither partake of the form of courts of law nor be constrained by the limitations imposed upon such courts. They are academic hearings the purpose of which is to safeguard and protect not only the individual rights of the members affected but also the integrity of the university."

8. **External Appeals**

At the request of the faculty member, an external review appeals process covering the faculty member's substantive performance shall take place in addition to the University conciliation and CAFT review. The external review shall be conducted by a professional body in the faculty member's own discipline, and the expense for the review shall be borne by the University. A finding of the external review which does not sustain the allegation that the faculty member's performance falls beneath the expectations of the improvement plan or the stated expectations of "good performance" shall be conclusive.

With respect to all reviews, hearings, and appeals concerning unsatisfactory performance, the burden of proof is on the University. The University and faculty will abide by the results of the hearings and appeals process.

V. COST OF MAINTAINING THE SYSTEM

1. The cost of implementing and maintaining the review process should be borne by the University, from within existing human and financial resources.
2. The funds for the performance-based salary adjustments will be provided by the state legislature. The cost of maintaining the system should be estimated by the Provost's Office and the Faculty Senate Budget & Strategic Planning Committee. The budgeting process and the financial management of the University must ensure to the extent possible the availability of the necessary funds, either from State sources, from local funds, or from both.

In order to ensure the availability of these monies on a continuing basis, a special fund will be established. This fund will be controlled by the Provost's Office and the Faculty Senate Budget & Strategic Planning Committee. Its existence will ensure relatively constant performance-based salary adjustments. This fund will be used exclusively for the implementation of the proposed performance-based compensation policy for the faculty and for no other purpose.

3. The proposed system should be independent of and should not be intended to replace COLA, equity and market adjustments, wherever they occur.
4. The need to raise salaries to meet outside offers hopefully will be rare after the proposed system, which foresees regular performance-based compensation, becomes fully operative. It is envisioned that salaries at the University of Arizona will be competitive with those at peer institutions. Nevertheless, if such retention situations occur, a process should be initiated at the departmental level to make a compelling argument for an exception to this policy. The concurrence of the college dean is essential for submission of the case to the Provost, whose decision should be final.

Appendix A

If the continuing review operates in concert with the plan for compensation, the table below suggests what the performance rankings might look like.

These definitions are offered as broad outlines; they should be made operative in detail in each department or unit.

| Performance Ranking | Faculty Development: Improvement Action | Compensation Action |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|
| <i>truly exceptional</i> - Truly exceptional performance, evaluated according to the weighting for teaching, research, and service applicable to the individual faculty member. | | at least three salary increments (the dollar amount to be determined) |
| <i>excellent</i> - Excellent performance, evaluated according to the weighting for teaching, research, and service applicable to the individual faculty member. | (to be discussed) | two salary increments (the dollar amount to be determined) |
| <i>very good</i> - Very Good performance, evaluated according to the weighting for teaching, research, and service applicable to the individual faculty member. | (to be discussed) | one salary increment (the dollar amount to be determined) |
| <i>good</i> - Good performance, evaluated according to the weighting for teaching, research, and service applicable to the individual faculty member. | (to be discussed) | no salary increment except COLA |
| <i>unsatisfactory</i> - Performance below stated expectations, evaluated according to the weighting for teaching, research, and service applicable to the individual faculty member. (See also Section III, numbers 2,3, and 4, of this document.) | if unsatisfactory twice within a 4-year period, improvement plan will be developed by faculty member, peer committee and department head with dean's approval; University resources will be made available to carry out plan. | no salary increment except COLA (unless we are legislatively allowed to exempt COLA) |

Attachment I

The plan is based upon the changing of language contained in the **Conditions of Faculty Service (ABOR Policy, Chapter VI, p. 24, I. 1.b)**, as specifically requested by the Board of Regents in its January 12, 1996, meeting. Two versions are proposed below for discussion, with the altered language in bold italics:

Existing language

"Just cause shall include, but not be limited to, demonstrated incompetence or dishonesty in professional activities related to teaching, research, publication, other creative endeavors, or service to the university community; substantial neglect of or refusal to carry out properly assigned duties; personal conduct that substantially impairs the individual's fulfillment of properly assigned duties and responsibilities; misrepresentation in securing an appointment, promotion, or tenure at the university; or proven violation of Board or university rules and regulations (including the code of conduct or any other disciplinary rules), depending upon the gravity of the offense, its repetition, or its negative consequences upon others. "

Version 1.

"Just cause shall include, but not be limited to, demonstrated incompetence, *as defined by each individual institution, or* dishonesty in professional activities...." (the rest stated as in existing language)

Version 2.

"Just cause shall include, but not be limited to, demonstrated incompetence, *meaning demonstrated unsatisfactory performance falling beneath stated expectations;* dishonesty in professional activities...." (the rest stated as in existing language)

Conditions of Faculty Service Task Force
Committee on Academic Freedom and Tenure Subcommittee
April 22, 1996

The Subcommittee on CAFT, which includes both the present and a former Chair of CAFT, concluded that CAFT has worked quite well under present policies, and that only minor changes are needed.

A complaint has been heard that some cases before CAFT have been extended for a great deal of time before any resolution was made. Actually, present policies cover that matter quite well, but there have been a few problems resulting from failure to follow those policies. We propose an addition, item 1 below, to the General Faculty Constitution, Article V, Committee on Academic Freedom and Tenure, page C-5, last paragraph. It has also been suggested that there may be need for legal advice to CAFT in order to assure that procedures and recommendations are not legally faulty. Item 2 in the section below is an attempt to deal with that perceived problem.

Finally, CAFT has served entirely as an advisory body to the President, with the President either following or ignoring that advice as he/she wishes. If a President does not take CAFT seriously, then CAFT becomes essentially non-functional. The subcommittee believes that either CAFT recommendations should be final, or the President should be required to report either to CAFT or the Senate reasons for not following their recommendations and justifications for contrary actions taken. If that report is made to CAFT, then CAFT should report to the Senate. Note comments on this matter in item 3 in the section below.

Conditions of Faculty Service Task Force
Committee on Academic Freedom and Tenure Subcommittee
1995-96 Members:

Dr. Kenneth Joe Smith, Chair Dr. John Bradley
Dr. Don Thomson Dr. Mark Smith

1. General Faculty Constitution, Article V., Committee on Academic Freedom and Tenure, p. C-5, last paragraph. Add at end: "If for any reason the report, findings, and recommendations cannot be ready within 90 days after the receipt of the request for the hearing, the Chair of CAFT shall report to the President, indicating that the deadline cannot be met and why it cannot be met, and further providing an estimate of when the President can expect to receive the report, findings, and recommendations."
2. The possibility of having Law College faculty serve as a resource to CAFT on an as-needed basis has been raised with the Dean of the Law College, and further discussions will ensue.
3. Additionally, the subcommittee agreed that CAFT should report at least annually to the Faculty Senate, giving information both on the recommendations made to the President and the President's actions. The purpose of this report is to inform the Senate and the Faculty concerning the usefulness and viability of CAFT. Given that CAFT is entirely advisory, the President may, at his/her option, take CAFT recommendations seriously or disregard them. We reportedly have examples of each approach in recent history. The President already is required to report his/her actions to CAFT, but here is no policy for wider dissemination of that information. If CAFT is, under any administration, essentially ineffective, the Faculty should know.

“Review of the Recommended Policies and Guidelines Governing the Sierra Vista Branch Campus

The Sierra Vista Branch Campus Ad Hoc Committee consisting of Lawrence M. Aleamoni, Chair, Alberta Charney and Roy Emrick has completed their review of the Recommended Policies and Guidelines Governing the Sierra Vista Branch Campus and submits the attached report.

Report on the Review of the Report Entitled “The University of Arizona Sierra Vista: Recommendations as to Policies and Guidelines”
by Sierra Vista Branch Campus Ad Hoc Committee:
Lawrence M. Aleamoni, Chair, Alberta Charney and Roy Emrick
April 26, 1996

After carefully reviewing the “Recommendations as to Policies and Guidelines” submitted by the Committee on Policies Governing the Sierra Vista Branch Campus (SVBC) chaired by Susan Steele, the SVBC “Strategic Plan for Branch Campus Designation” and the Arizona Board of Regents policies regarding Branch Campus and Free Standing Campus’, the Committee formulated 10 questions which were then presented to Dr. Randall H. Groth, Dean of the SVBC and discussed at a meeting on March 5, 1996. The meeting and discussion was very pleasant and constructive. The questions and their answers are presented below.

1. Where will the 1,500 FTE student enrollment after the initial three years of operation be coming from?

A: The requirement is only that SVBC have an enrollment potential of 1,500 after three years of operation. R.H.G. says that they are on target for that goal.

2. If tenure is granted to the faculty through the existing UofA departments, then do they continue those rights after the branch campus becomes “free standing”?

A: The intention is to transfer the tenure lines to the “free standing” campus.

3. Why is the Faculty Forum chaired by the CEO?

A: The Chair will be elected by the faculty.

4. Why should department heads be appointed by the CEO?

A: The department heads will be elected by the faculty.

5. Why should department heads replace the Faculty Forum?

A: Once enough faculty are on board, then they will constitute the Faculty Forum.

6. Is mentoring realistic?

A: The mentoring plan is realistic and is presently being done very well through the UofA departments.

7. Should the existing adjunct faculty be given a choice as to whether or not their lines be converted to tenure-eligible status?

A: Yes, the faculty will be given a choice.

8. Was the rationale for establishing a branch campus simply business community support?

A: The initial impetus was from the business community, but was quickly followed by complete community support.

9. Is the recommended procedure for appointing the Ombudsperson consistent with that at the UofA?

A: Yes, it is consistent with the UofA.

10. Should the formation of the Faculty Grievance Committee be consistent with the procedure followed in formation of the UofA CAFT-elected?

A: Yes, it will be once the SVBC becomes accredited. Until that time, they will use the UofA CAFT.

We recommend that the following changes be made to the "Recommendations as to Policies and Guidelines document.

1. Page 4, third paragraph under "III. Governance," should be replaced with "Although such academic units as develop may not ultimately correspond to main campus departmental units, once they are established each should be supervised by a head elected by the faculty. The Faculty Forum will consist of all faculty at SVBC when sufficient academic units have been developed, as determined by the Provost of the main campus.

2. Page 5, bottom of page: insert the following paragraph: "The Letter of Appointment should be approved by the appropriate UofA department and then continue through the normal UofA approval process. The Letter should include expected weights for the performance evaluation components. There should be a clear explanation of the criteria and guidelines used to evaluate performance at the SVBC (for example, if publications are required, then there should be clear statements regarding the quality and nature of those publications.

3. Page 6, just above "Current Personnel:": insert the following sentence: "If tenure is granted prior to SVBC becoming a free standing campus, then the tenure line resides in the appropriate UofA department until SVBC becomes a free standing campus.

4. Page 7, first line: insert "if they so choose" after the word "occupants."

5. Page 7, fifth paragraph under "IV. Grievances," second sentence, replace "two elected" with "all elected." Delete "...and one appointed by the UASV CEO." At the end of the paragraph add "The UofA CAFT will serve s the UASV Faculty Grievance Committee until it becomes a free standing campus."

Based upon our review of the existing methods of operation being employed by the SVBC, the Committee wishes to commend Dean Groth and the SVBC on their scrupulous adherence to existing policies and procedures for establishing curricula and hiring faculty as a branch campus at the UofA.

Proposed Policy for the University of Arizona regarding Ownership, Access to, and Retention of Scientific Data submitted by the Research Policy Committee, March 25, 1996

1. Data Ownership

The policy of the funding agency, as stated in the grant contract, governs ownership of data. It is the responsibility of the principal investigator to read the conditions of his/her grant contract.

In cases where the funding agency has no stated policy concerning data ownership or in the case of unsponsored research conducted at a University of Arizona laboratory, the University of Arizona retains ownership of the data.

2. Access to and Retention of Scientific Research Protocols and Data:

a. Both the scholar and the University have responsibilities and, hence, rights concerning access to, use of, and maintenance of original research data. Consistent with the precepts of academic freedom and intellectual integrity, the scholar has the primary authority to make judgements involving the use and dissemination of the data. Any disputes regarding access to data should be settled at the lowest possible level, if circumstances permit. Otherwise, each dispute should go before the appropriate university reconciliation committee.

b. Each scholar is ultimately responsible for the maintenance and proper retention of research records. These records should include sufficient detail to permit examination for the purposes of replicating the research, responding to questions that may result from unintentional error or misinterpretation, establishing their authenticity, and confirming the validity of the conclusions.

c. Each scholar should maintain a laboratory manual that describes all major procedures. Correspondence with institutional review committees and records of the use of controlled substances and radioactive materials should be maintained as part of the research record in accordance with governmental, regulatory, and University policies.

d. A system of data organization should be adopted and should be communicated to all members of a research group and to the appropriate administrative person. The appropriate administrative person should be determined by the subunit.

e. Where feasible, all original primary data are to be retained by the scholar or by his or her designee. Accepted practices for retaining data vary among disciplines and depend on the perishability, nature and logistics of retaining each type of data. Each investigator should treat data properly to ensure authenticity, reproducibility and validity and to meet the requirements of relevant grants and other agreements concerning the retention of data. Primary data should be reserved for a reasonable duration to ensure that any questions raised by the researcher, colleagues, or readers of any published results can be answered. It is recommended that, where feasible, data be retained for seven years; in circumstances where there are no federal or other requirements, such as those referred to in the Appendix, subunits of the University may wish to establish standards and procedures for retention and destruction of data. In unusual cases (e.g., data used for a patent application filed by the University), it may be necessary for original data to be kept at the University. Potentially patentable data should be signed and dated by the researcher at the time they are entered into notebooks or maintained by other methods of retention in the event the results are questioned.

f. In the event the scholar leaves the University, an Agreement on Disposition of Research Data may be negotiated by the scholar and the department chair or dean to allow the scholar's data, notebooks, and other data retention materials (other than clinical research records) to be transferred to the new institution. Consistent with the same precepts, and to fulfill its obligations to funding sources and others, the University will ensure in such agreements access to the transferred data for purposes of review. In unusual cases (e.g., data used for a patent application filed by the University) it may be necessary for original data to be kept at the University. In such cases an individual written agreement shall be signed which preserves the scholar's right to access and copy (where practical) such data. In cases of multi-institutional studies, the institution of the primary study director is ultimately responsible for guaranteeing appropriate access to, use of, and retention of original data.

APPENDIX

RECORD RETENTION: GRANTS AND OTHER TYPES OF AGREEMENTS

General Regulation:

OMB* Circular A-110 (Uniform Administrative Requirements for Grants and Agreements of Higher Education, Hospitals and Other Non-Profit Organizations). This regulation applies to all federally funded grants and other types of agreements.

Records must be retained for at least three (3) years from the date of the submission of the final expenditure report.

Specific Agencies (for example):

- a) Health and Human Services: 45 CFR** 74(D):

Records must be retained for at least three (3) years from the date of the submission of the final expenditure report.

- b) US Department of Education: 34 CFR** 74(A):

Records must be retained for at least three (3) years from the date of the submission of the final expenditure report.

Records and Reports: Clinical Trial Agreements

- 1) Food and Drug Administration: 21 CFR** 312.62

In general, record must be retained for at least two (2) years following the date a marketing application is approved for the drug for the indication for which it is being investigated; or, until two (2) years after the investigation is discontinued and FDA is notified.

- 2) Food and Drug Administration: 21 CFR** 56.115:

Regarding IRB records: Records required by this regulation shall be retained for at least (3) years after completion of research.

*OMB: Office of Management and Budget

**

CFR: Code of Federal Regulations

This form is to be used only where original data are to be kept by the faculty member. In unusual cases, for example data used for a patent application filed by the University, it may be necessary for original data to be kept at the University. In such a case, an individual written agreement shall be signed which preserves the faculty member's right to access and copy (where practical) such data. Any dispute shall be resolved by the Provost. Patient medical records shall remain at the University and copying shall be only as permitted by law.

AGREEMENT ON DISPOSITION OF RESEARCH DATA

In recognition of both the right of the undersigned faculty member, who is leaving the employ of The University of Arizona to continue his/her research, and the necessity for the University to be able to fulfill its contractual and legal commitments, respond to any allegations of research misconduct, and carry out its administrative, ethical, or moral duties, the faculty member and the University agree as follows:

1. Research data developed or generated by the faculty member while employed by the University shall be preserved for a period of not less than seven (7) years (or such lesser period as designated below) from he later of the date on which the data were created or the data of the first publication utilizing such data.

Lesser period * (if applicable)

_____ Years

_____ Faculty
Initial

_____ University
Initial

2. The faculty member shall have the right and responsibility to remove and preserve the data provided that he/she shall make the data available (including the right to copy) to authorized representatives of the University, at the University's request, for any lawful purpose including, but not limited to, the carrying of a legal, contractual, administrative, ethical or moral duty. In case of dispute, the University's Provost shall make the final decision which shall be binding on both the University and the faculty member.

Dated this _____ day of _____, 199_____.

The University of Arizona

By:

Faculty Member

Department Chair or Dean

*Please note that federal regulations require retention of records for a period of at least three (3) years after termination of a grant or other agreement. The FDA requires records of clinical trials to be retained for at least tw (2) years following the date a marketing application is approved (21 Code of Federal Regulations 312.62).