

UNIVERSITY OF ARIZONA RETIREES ASSOCIATION
PO Box 42391
Tucson, Arizona 85733

REPORT TO THE UA FACULTY SENATE

March 1, 2004

1. Arizona State Retirement System (ASRS) Investment Fund

January 2004 = \$21.5 billion March 2003 = \$ 16.5 billion

Rate of return for current (2004-5) fiscal year:= 17.%

2. Health Insurance

Both the ASRS and the Arizona Department of Administration (ADOA) are studying the option of self insurance for the health care of actives and retirees. Thirty six states operate self insurance programs, as the best way to control benefits. UA retirees and actives are represented by Dr. Keith Meredith, a member of the ASRS Board of Directors, and Marcia Chatalas, Associate Executive Director of Human Resources.

3. THE GOOD, THE BAD AND THE UGLY is the subject of a forum on the recently passed Congressional legislation (12-8-03) affecting prescription drugs and Medicare changes. Sponsored by the UARA, the forum will be held on Saturday, April 22, 2004 from 9-11AM at St. Phillips in the Hills Episcopal Church. To reserve a seat, please email Dr. Meredith at: [<kem@dakotacom.net>](mailto:kem@dakotacom.net).

4. Miscellaneous Items.

The UARA now has 1100 members

25 -60% of increases in health insurance premiums are allocated to prescription drug costs.

ASRS members/retirees statistics

Year	# of members	# of retirees	# covered by ASRS medical insurance
2002	377,000	60,302	20,300

Members include retirees from universities, counties, cities, schools, etc.

Past accomplishments of the UARA

Campaigned for a constitutional amendment, which prohibits the Arizona State Legislature from raiding the ASRS retirement funds.

Campaigned for health insurance coverage for UA faculty and staff.

Cornelius Steelink, President, UARA

CONSENT AGENDA
Faculty Senate Meeting
1 Mar 2004

Instruction and Curriculum Policy Committee

CONSENT AGENDA ITEMS

Item 1

Approval of the name change of the Eller College of Business and Public Administration to the Eller College of Management as detailed in the proposal dated 01/22/2004.

Projected effective date: Fall, 2004

Description: Change the name of the Eller College of Business and Public Administration to the Eller College of Management.

Reasons for Proposed Change: The Eller College of Business and Public Administration's name is too long and cumbersome to be successfully branded among top business schools. The new proposed name, the Eller College of Management, captures both the business and public administration components of the college and addresses marketing issues as well.

Justification: Top 50 business schools are generally called Schools/Colleges of Business or Management. Other top research universities with business schools using the "Management" label include MIT, Yale, and UCLA. Consensus in the college is clear that Management should be part of the college's title.

Approvals:

Undergraduate Council: 8/26/03*

Graduate Council: 9/19/03*

Administrative Review: 1/26/04

ICPC: 2/18/04

* Undergraduate and Graduate Council passed the original proposal requesting a name change of the Eller College of Business and Public Administration to the Eller School of Management. This revised proposal (1/22/04) for a name change to the Eller College of Management is the result of recommendations of the Provost's Management Group and Academic Council.

For Faculty Senate Agenda Item 6

CONSENT AGENDA
Faculty Senate Meeting
1 Mar 2004

Item 2

Transfer of Nutritional Sciences GIDP PhD with options to the Department of Nutritional Sciences in the College of Agriculture and Life Sciences

Description: Transfer of Nutritional Sciences GIDP PhD with options to the Department of Nutritional Sciences in the College of Agriculture and Life Sciences as detailed in the proposal dated 11/18/2003.

Projected effective date: Fall, 2004

Justification: The GIDP in Nutritional Science reorganized in 2000. Since then, the program has been functioning as a "GIDP inside a department" rather than a stand-alone IDP. This structure has been successful in addressing some of the weaknesses pointed out in the previous APR. Furthermore, the identity of the GIDP is virtually indistinguishable from that of the department.

Approvals:

Undergraduate Council: N/A
Graduate Council: 11/21/03
Administrative Review: 1/26/04
ICPC: 2/18/04

2/19/04 Revision of Draft
The University of Arizona

Policy Title: Misuse of University Assets

Policy Number "P"

Contact: Joel D. Valdez

Effective Date:

Approved:

I. **POLICY STATEMENT:** The University of Arizona is responsible for the appropriate use of its assets. In substantiated cases of misuse of those assets, it is the policy of the University to obtain full restitution, to impose administrative sanctions, and to refer to violations of criminal statutes for prosecution.

II. **PURPOSE:**

This policy is adopted for the purpose of

A. Defining, and delineating responsibilities relating to, the misuse of University assets.

B. Establishing protocols for reporting and handling of incidents involving alleged or actual misuse of University assets.

C. Providing guidelines for corrective actions when the investigations confirm that misuse has occurred, or is likely to occur.

D. Misuse of University assets is a violation of the Arizona Board of Regents (ABOR), University Handbook for Appointed Personnel (UHAP), Classified Staff Human Resources Policy (CSHP), the Student Code of Conduct, and other policies of the University. Therefore, this policy is in addition to, but does not substitute for other laws and policies governing employees and students at the University, whether currently in effect or whether established after the adoption of this policy. Employees and students are required to be familiar with all policies governing the appropriate use of University assets.

E. Disciplinary action against employees or students for misuse of University assets will be pursued under one or more of those policies, using the procedure applicable to that category of employees or students in connection with those policies.

III. **DEFINITIONS**

Unless otherwise stated, language in this policy is to be given its ordinary meaning consistent with the remedial purpose of this policy. Examples are given by way of

illustration only, and specially defined terms are not limited to the examples given. As used in this policy:

- A. "Employee," means an individual who is employed by the Arizona Board of Regents under classifications "faculty," "classified staff," or "academic," administrative or service," professional, as those terms are defined in the *University Handbook for Appointed Personnel, Arizona Board of Regents' Policy Manual, and Classified Staff Employee Handbook*, student employees who have authority to impose discipline on other students, graduate students with supervisory or teaching responsibilities, including instructors, whether the individual is paid or unpaid, or any individual who represents or acts on behalf of the University and whose actions may bind the University. For purposes of this policy, "employee" shall include all agents of the University."
- B. "University assets" are items of tangible or intangible property owned by, leased to, licensed to, or in the possession of the University of Arizona. Examples include name, money, land, buildings, improvements, proprietary information, inventory, equipment, accounts receivable, supplies, library volumes, museum pieces, art objects, furniture, materials, intellectual property, campus electronic information resources or internet domain (arizona.edu) software, tools, vehicles, and paid employee time. University assets also include items, which should have rightfully become an asset of the University, but did not due to misuse by an employee. An example is a patent that should have been assigned by an employee but was not.
- C. ~~Misuse is the illegal or unauthorized use of University assets and/or uses that are prohibited under this or another University policy (for example, a use not permitted by ABOR or University rules or the person having authority over the property or resource);~~ which results in loss, damage or financial liability to the University or gain to the individual or a third party ~~and of~~ no benefit to the University. Examples include but are not limited to using University assets for personal purposes, fraud, theft or embezzlement, which violate provisions of criminal law of the State of Arizona; acts (such as disclosure of confidential, proprietary or privileged information) that reduce the value of University assets or expose the University to legal or financial penalties, or are conflicts of interest that benefit only the employee or a third party.
- D. "Corrective Action Plan" (CAP) means a written plan developed by the management of the affected unit following a determination of misuse (or risk of misuse) of University assets, in order to correct and protect the University from future losses or potential losses.

IV. RESPONSIBILITIES OF ALL EMPLOYEES AND STUDENTS

- A. Employees and students may not misuse University assets.
- B. ~~Employees and students have a responsibility to report activities or significant incidents that appear to be misuse of University assets. inappropriate or illegal, and/or violate a University rule or policy such as conflict of interest or commitment; and/or~~

~~create a benefit to an employee or a third party and no benefit to the UA.~~ Employees may report such suspected misuse to any manager or supervisor in the chain of authority (director, department/unit head, dean, or appropriate vice president) or may make a report directly to the Senior Vice President for Business Affairs, or Executive Vice President. Employees need not report misuse to their direct supervisors, but may make a report of alleged misuse to any supervisor, vice president or Executive Vice President or to the Senior VP for Business Affairs. Good faith reports of misuse of University assets are subject to the protection of the ABOR policy against whistle blowing as outlined in ABOR Policy Manual, as amended. Reporters of violations of this policy should be aware that some misuses of University assets are *de minimus*, and do not rise to the level to which a University administrator, auditor or the University of Arizona Police Department (UAPD) would consider the use a violation of this policy. However, if, combined with other incidents of reported misuse, the incident is not *de minimus*, the University supervisor, auditor or UAPD may consider the incident a significant misuse of University assets, warranting an investigation.

C. Supervisors receiving alleged reports of suspected misuse may take action to satisfy themselves that there is a reasonable basis to suspect that misuse has occurred prior to reporting to their immediate superior or supervisor in the chain of authority. However, before doing so, supervisors should consult with a representative from the Human Resources Department Employee Advising, the Chief of UAPD, the Chief Auditor or the Office of the General Counsel, whose expertise in these matters may provide helpful insights to confirm the appropriateness of an evaluation or indicate the need for additional assistance.

~~D. The UA respects the rights and prerogatives of any individual to report incidents or activities directly to the immediate supervisor or to an administrator up the chain of authority, including a vice president.~~

~~E.D.~~ Employees and/or students involved in any aspect of a preliminary evaluation by the administrator, supervisor or manager, or an investigation under this policy, are responsible for keeping all information regarding the alleged misuse confidential.

V. RESPONSIBILITIES OF ADMINISTRATORS (Vice Presidents, Deans, Department/Unit Heads/Directors)

A. The Senior Vice President for Business Affairs has overall staff responsibility for matters concerning known or suspected misuse of University assets. Attendant to this task is the responsibility for

1. Ensuring that an investigation is conducted;
2. Designating, in any case to which this policy applies, a person who is responsible for undertaking steps required under this policy;
3. Ensuring preparation and implementation of a corrective action plan when misuse of assets is confirmed;

4. Coordinating the investigative process with the Executive VP and Provost and other senior University officials;
5. Notifying and updating the University President and General Counsel of confirmed misuse of assets; and
6. Effecting appropriate reporting to ABOR.

A.B. Receiving reports of alleged misuse of University assets.

B.C. Exercising good judgment and carefully evaluating the alleged infraction to determine whether it is *de minimus* or whether that it does not rise to the level to which a University supervisor, dean, director or department head would consider reporting the infraction to the next level.

C.D. Consulting with appropriate administrator(s) to determine who in the chain of authority should be advised of the reported misconduct. In the event that a report of significant misuse of University assets has occurred, the administrator to whom a report has been made shall report the misuse to the Senior Vice President of Business Affairs (SVPBA).

D.E. The responsibilities set forth in paragraph IV, above.

E.F. Ensuring that matters pertaining to reports of investigation of misuse of University assets are treated as confidential, pending the completion of an audit or investigation.

F.G. Where an incident of misuse is confirmed following an investigation:

1. Administering appropriate disciplinary action in accordance with ABOR and University policies and procedures in effect at that time;
2. Taking steps to recover assets;
3. Taking steps to prevent recurrence; and
4. Developing a Corrective Action Plan, which shall be reviewed and approved by an immediate supervisor.

~~G. Ensure preparation and implementation of a corrective action plan when misuse of assets is confirmed.~~

H.H. When a person who is suspected or accused of misuse of University assets is the head of a department/unit/agency, consideration should be given to having all unit management responsibilities of that individual performed by the next higher authority.

I. Ensuring compliance with the provisions of this policy.

J. Seeking advice from the UA Attorney's office regarding when the individual who is suspected of misuse of assets should be informed of his or her legal rights, including the right to retain counsel.

~~J. The Senior Vice President for Business Affairs has overall staff responsibility for matters concerning known or suspected misuse of University assets. Attendant to this task is the responsibility for~~

- ~~1. Notifying and updating the University President and General Counsel of confirmed misuse of assets;~~
- ~~2. Ensuring that an investigation is conducted;~~
- ~~3. Effecting appropriate reporting to ABOR; and~~
- ~~4. Coordinating the investigative process with the Executive VP and Provost and other senior University officials.~~

VI. The University and its administrators shall follow any other Policies and Procedures of the ABOR or University regarding misuse of assets. By way of example, but without limitation, the following policies may apply:

~~A. ABOR Policy regarding Protection of Employees from Reprisal for Whistleblowing and University policies addressing the same;~~

~~A.~~

~~B. Conflict of Interest and Commitment Policy;~~

~~B.~~

~~C. Classified Staff Policy and Procedures Manual (CSPM);~~

~~C.~~

D. University Handbook for Appointed Personnel (UHAP);

E. Intellectual Property policy;

F. FRS Policy 9.18, Small Dollar/Direct Purchase Procedures ;

~~G. FRS Policy 15, Security, theft Control, Lost and Damage; and~~

~~G.~~

~~H. University of Arizona Acceptable Use of Computers and Network, if applicable;~~

~~H.~~

~~I. University of Arizona Codes of Conduct;~~

~~I.~~

~~J. Provisions of Arizona statutory law; and~~

~~J.~~

K. Any other policies currently in effect or effected subsequent to the adoption of this policy, which address misuse of University assets.

VII. INVESTIGATIVE PROCESS

A. General

As set forth in paragraph IV (B) above, employees and students are expected required to report incidents involving significant misuse of University assets.

B. Confidentiality

1. Subject to applicable Arizona law, matters pertaining to reports and investigations of misuse of University assets shall be treated as confidential pending the completion of any audit or investigation. University employees responsible for conducting any phase of a confidential investigation shall inform individuals contacted that their identities, and the information they provide, will remain confidential to the extent permitted by law.

C. Preliminary Investigation

1. The Internal Audit Department may conduct an investigation of the available evidence and related circumstances to determine whether a thorough or more extensive audit is necessary. If a more thorough or extensive audit is deemed necessary the SVPBA or his/her designee will determine who should conduct that audit.
2. If, after consulting with General Counsel, it appears to the Senior Vice President for Business Affairs (SVPBA) or the Internal Audit Department that the matter may involve criminal misconduct, s/he shall request an preliminary investigation by UAPD.
3. The Senior Vice President for Business Affairs (SVPBA), UAPD Internal Audit Department, Deans, Directors and department heads have authority to take immediate action as they determine necessary, to secure and protect University assets and any pertinent accounting and administrative records from misuse, destruction or alteration.
- ~~3. from misuse, destruction or alteration of University assets and any pertinent accounting and administrative records.~~
4. An individual who is accusecharged of with misuse or misappropriation of University assets may, at his or her expense, employ and be accompanied by legal counsel during any interviews or meetings with UAPD, internal auditors or others charged by the University to investigate this matter. Should disciplinary action be initiated upon a finding of wrongdoing, the individual shall be entitled to the protections provided under applicable personnel rules of the University and ABOR policies.
5. If permitted by applicable policies and procedures of the University of Arizona, an individual who is subject to an investigation for misuse of University assets may be placed on administrative suspension with or without pay while an investigation into wrongdoing is pending. Leave with pay, if appropriate, may be imposed by any supervisor in the chain of authority, and shall be imposed in accordance with applicable University and ABOR policies, and following consultation with Human Resources Department, the Provost and the Senior Vice

President for Business Affairs.

B.D. Post-Investigation Actions

1. The officials conducting the preliminary investigation shall make a written report to the SVPBA, subject to their right to expand the scope of their investigation to determine the extent of the misuse, to identify individuals responsible for the improprieties, or to include a review of internal controls of the area in which the misuse occurred.
2. If the individuals or offices conducting the investigation determine that no further investigation is required, then they shall complete their report to the SVPBA.
3. If, after consultation with the General Counsel, it appears from the investigation that the individual under investigation has committed a criminal act in violation of Arizona or federal law, the UAPD shall notify and coordinate further actions with the relevant prosecuting agency.

C.E. After receipt of a written final investigative report, the SVPBA will inform the Executive Vice President and Provost of the final disposition of the investigation.

D.F. The Executive Vice President and Provost and SVPBA shall inform appropriate subordinate supervisors, within their respective areas of responsibility, of the investigative results which affect their units, and direct, if appropriate, that they initiate appropriate disciplinary action.

VIII. DISCIPLINARY ACTIONS

VIII.

A. If the investigator(s) conclude that an employee or student is responsible for misuse of university assets, management or the Dean of Students shall initiate appropriate disciplinary action, in accordance with existing ABOR and University policies including all provisions regarding due process.

B. All other rules, regulations and statutes governing University business operations shall also apply to disciplinary action taken against an employee for violation of this policy.

IX. ACTIONS WHERE FINDINGS DO NOT SUPPORT CLAIM OF MISUSE

If, at the conclusion of the evaluation or investigation, either the supervisor conducting the evaluation of the allegation of misuse or the SVPBA finds insufficient evidence upon which to determine that misuse occurred, or if s/he disagrees with the Investigators' findings and recommendations, the University, including the SVPBA, a Department Head, Director, Dean or Supervisor, will undertake diligent efforts to restore the reputations of persons alleged to have engaged in misuse under this policy. They also will

make diligent efforts to protect the positions and reputations of those persons who, in good faith, made those allegations. Unless the employee or student so requests, no records of the complaint, investigation or report shall be maintained by the University, except as required by law.

X. REFERENCES AND RELATED POLICIES (These policies, by way of example, but not limitation, also may apply to allegations of misuse of University assets)

- A. ABOR Policy Manual:
http://www.abor.asu.edu/1_the_regents/policymanual/index.html
- B. University Handbook for Appointed Personnel:
<http://w3.arizona.edu/~uhap/>
- C. Classified Staff Human Resources Policy Manual:
http://www.hr.arizona.edu/09_rel/clsstaffmanual.php
- D. Use of University property:
http://www.hr.arizona.edu/09_rel/policies/pp414.php
- E. Department of Risk Management and Safety property loss claims procedures:
http://fp.arizona.edu/riskmgmt/property_claims.htm
- F. Student Code of Conduct and Disciplinary Procedures:
<http://w3.arizona.edu/~studpubs/policies/studcofc.htm>
- G. Campus Use Policy:
<http://w3.arizona.edu/~policy/campus-use.shtml>
- H. Conflict of Interest Policy:
http://vpr2.admin.arizona.edu/rie/conflict_of_interest.htm
- I. ABOR Policy regarding Protection of Employees from Reprisal for Whistleblowing
http://www.abor.asu.edu/1_the_regents/policymanual/chap6/6-914.pdf

2/16/22/04

CP:VG:RPCrev-021404misuse-policy5-vg.revisions.doc

**2/19/04 Revision of Draft
The University of Arizona**

Policy Title: Misuse of University Assets

Policy Number "P"

Contact: Joel D. Valdez

Effective Date:

Approved:

I. **POLICY STATEMENT:** The University of Arizona is responsible for the appropriate use of its assets. In substantiated cases of misuse of those assets, it is the policy of the University to obtain full restitution, to impose administrative sanctions, and to refer violations of criminal statutes for prosecution.

II. **PURPOSE:**

This policy is adopted for the purpose of

A. Defining, and delineating responsibilities relating to, the misuse of University assets.

B. Establishing protocols for reporting and handling of incidents involving alleged or actual misuse of University assets.

C. Providing guidelines for corrective actions when the investigations confirm that misuse has occurred, or is likely to occur.

D. Misuse of University assets is a violation of the Arizona Board of Regents (ABOR), University Handbook for Appointed Personnel (UHAP), Classified Staff Human Resources Policy (CSHP), the Student Code of Conduct, and other policies of the University. Therefore, this policy is in addition to, but does not substitute for other laws and policies governing employees and students at the University, whether currently in effect or whether established after the adoption of this policy. Employees and students are required to be familiar with all policies governing the appropriate use of University assets.

E. Disciplinary action against employees or students for misuse of University assets will be pursued under one or more of those policies, using the procedure applicable to that category of employees or students in connection with those policies.

III. **DEFINITIONS**

Unless otherwise stated, language in this policy is to be given its ordinary meaning consistent with the remedial purpose of this policy. Examples are given by way of

illustration only, and specially defined terms are not limited to the examples given. As used in this policy:

- A. "Employee," means an individual who is employed by the Arizona Board of Regents under classifications "faculty," "classified staff," or "academic," administrative or service," professional, as those terms are defined in the *University Handbook for Appointed Personnel, Arizona Board of Regents' Policy Manual, and Classified Staff Employee Handbook*, student employees who have authority to impose discipline on other students, graduate students with supervisory or teaching responsibilities, including instructors, whether the individual is paid or unpaid, or any individual who represents or acts on behalf of the University and whose actions may bind the University. For purposes of this policy, "employee" shall include all agents of the University."
- B. "University assets" are items of tangible or intangible property owned by, leased to, licensed to, or in the possession of the University of Arizona. Examples include name, money, land, buildings, improvements, proprietary information, inventory, equipment, accounts receivable, supplies, library volumes, museum pieces, art objects, furniture, materials, intellectual property, campus electronic information resources or internet domain (arizona.edu) software, tools, vehicles, and paid employee time. University assets also include items, which should have rightfully become an asset of the University, but did not due to misuse by an employee. An example is a patent that should have been assigned by an employee but was not.
- C. Misuse is the illegal use of University assets and/or uses that are prohibited under this or another University policy which result in loss, damage or financial liability to the University or gain to the individual or a third party and no benefit to the University. Examples include but are not limited to using University assets for personal purposes, fraud, theft or embezzlement, which violate provisions of criminal law of the State of Arizona; acts (such as disclosure of confidential, proprietary or privileged information) that reduce the value of University assets or expose the University to legal or financial penalties, or are conflicts of interest that benefit only the employee or a third party.
- D. "Corrective Action Plan" (CAP) means a written plan developed by the management of the affected unit following a determination of misuse (or risk of misuse) of University assets, in order to correct and protect the University from future losses or potential losses.

IV. RESPONSIBILITIES OF ALL EMPLOYEES AND STUDENTS

- A. Employees and students may not misuse University assets.
- B. Employees and students have a responsibility to report activities or significant incidents that appear to be misuse of University assets. Employees may report such suspected misuse to any manager or supervisor in the chain of authority (director, department/unit head, dean, or appropriate vice president) or may make a report

directly to the Senior Vice President for Business Affairs, or Executive Vice President. Employees need not report misuse to their direct supervisors, but may make a report of alleged misuse to any supervisor, vice president or Executive Vice President or to the Senior VP for Business Affairs. Good faith reports of misuse of University assets are subject to the protection of the ABOR policy against whistle blowing as outlined in ABOR Policy Manual, as amended. Reporters of violations of this policy should be aware that some misuses of University assets are *de minimus*, and do not rise to the level to which a University administrator, auditor or the University of Arizona Police Department (UAPD) would consider the use a violation of this policy. However, if, combined with other incidents of reported misuse, the incident is not *de minimus*, the University supervisor, auditor or UAPD may consider the incident a significant misuse of University assets, warranting an investigation.

- C. Supervisors receiving reports of suspected misuse may take action to satisfy themselves that there is a reasonable basis to suspect that misuse has occurred prior to reporting to their immediate superior or supervisor in the chain of authority. However, before doing so, supervisors should consult with a representative from the Human Resources Department Employee Advising, the Chief of UAPD, the Chief Auditor or the Office of the General Counsel, whose expertise in these matters may provide helpful insights to confirm the appropriateness of an evaluation or indicate the need for additional assistance.
- D. Employees and/or students involved in any aspect of a preliminary evaluation by the administrator, supervisor or manager, or an investigation under this policy, are responsible for keeping all information regarding the alleged misuse confidential.

V. RESPONSIBILITIES OF ADMINISTRATORS (Vice Presidents, Deans, Department/Unit Heads/Directors)

- A. The Senior Vice President for Business Affairs has overall staff responsibility for matters concerning known or suspected misuse of University assets. Attendant to this task is the responsibility for
 - 1. Ensuring that an investigation is conducted;
 - 2. Designating, in any case to which this policy applies, a person who is responsible for undertaking steps required under this policy;
 - 3. Ensuring preparation and implementation of a corrective action plan when misuse of assets is confirmed;
 - 4. Coordinating the investigative process with the Executive VP and Provost and other senior University officials;
 - 5. Notifying and updating the University President and General Counsel of confirmed misuse of assets; and
 - 6. Effecting appropriate reporting to ABOR.
- B. Receiving reports of alleged misuse of University assets.

C. Exercising good judgment and carefully evaluating the alleged infraction to determine whether it is *de minimus* or whether it does not rise to the level to which a University supervisor, dean, director or department head would consider reporting the infraction to the next level.

D. Consulting with appropriate administrator(s) to determine who in the chain of authority should be advised of the reported misconduct. In the event that a report of significant misuse of University assets has occurred, the administrator to whom a report has been made shall report the misuse to the Senior Vice President of Business Affairs (SVPBA).

E. The responsibilities set forth in paragraph IV, above.

F. Ensuring that matters pertaining to reports of investigation of misuse of University assets are treated as confidential, pending the completion of an audit or investigation.

G. Where an incident of misuse is confirmed following an investigation:

1. Administering appropriate disciplinary action in accordance with ABOR and University policies and procedures in effect at that time;
2. Taking steps to recover assets;
3. Taking steps to prevent recurrence; and
4. Developing a Corrective Action Plan, which shall be reviewed and approved by an immediate supervisor.

H. When a person who is suspected or accused of misuse of University assets is the head of a department/unit/agency, consideration should be given to having all unit management responsibilities of that individual performed by the next higher authority.

I. Ensuring compliance with the provisions of this policy.

J. Seeking advice from the UA Attorney's office regarding when the individual who is suspected of misuse of assets should be informed of his or her legal rights, including the right to retain counsel.

VI. The University and its administrators shall follow any other Policies and Procedures of the ABOR or University regarding misuse of assets. By way of example, but without limitation, the following policies may apply:

- A. ABOR Policy regarding Protection of Employees from Reprisal for Whistleblowing and University policies addressing the same;
- B. Conflict of Interest and Commitment Policy;
- C. Classified Staff Policy and Procedures Manual (CSPM);
- D. University Handbook for Appointed Personnel (UHAP);
- E. Intellectual Property policy;
- F. FRS Policy 9.18, Small Dollar/Direct Purchase Procedures ;

- G. FRS Policy 15, Security, theft Control, Lost and Damage;
- H. University of Arizona Acceptable Use of Computers and Network, if applicable;
- I. University of Arizona Codes of Conduct;
- J. Provisions of Arizona statutory law; and
- K. Any other policies currently in effect or effected subsequent to the adoption of this policy, which address misuse of University assets.

VII. INVESTIGATIVE PROCESS

A. General

As set forth in paragraph IV (B) above, employees and students are expected to report incidents involving significant misuse of University assets.

B. Confidentiality

1. Subject to applicable Arizona law, matters pertaining to reports and investigations of misuse of University assets shall be treated as confidential pending the completion of any audit or investigation. University employees responsible for conducting any phase of a confidential investigation shall inform individuals contacted that their identities, and the information they provide, will remain confidential to the extent permitted by law.

C. Investigation

1. The Internal Audit Department may conduct an investigation of the available evidence and related circumstances to determine whether a thorough or more extensive audit is necessary. If a more thorough or extensive audit is deemed necessary the SVPBA or his/her designee will determine who should conduct that audit.
2. If, after consulting with General Counsel, it appears to the Senior Vice President for Business Affairs (SVPBA) or the Internal Audit Department that the matter may involve criminal misconduct, s/he shall request an investigation by UAPD.
3. The Senior Vice President for Business Affairs (SVPBA), UAPD Internal Audit Department, Deans, Directors and department heads have authority to take immediate action as they determine necessary, to secure and protect University assets and any pertinent accounting and administrative records from misuse, destruction or alteration.
4. An individual who is accused of misuse or misappropriation of University assets may, at his or her expense, employ and be accompanied by legal counsel during any interviews or meetings with UAPD, internal auditors or others charged by the University to investigate this matter. Should disciplinary action be initiated upon a finding of wrongdoing, the individual shall be entitled to the protections

provided under applicable personnel rules of the University and ABOR policies.

5. If permitted by applicable policies and procedures of the University of Arizona, an individual who is subject to an investigation for misuse of University assets may be placed on administrative suspension with or without pay while an investigation into wrongdoing is pending. Leave with pay, if appropriate, may be imposed by any supervisor in the chain of authority, and shall be imposed in accordance with applicable University and ABOR policies, and following consultation with Human Resources Department, the Provost and the Senior Vice President for Business Affairs.

D. Post-Investigation Actions

1. The officials conducting the investigation shall make a written report to the SVPBA, subject to their right to expand the scope of their investigation to determine the extent of the misuse, to identify individuals responsible for the improprieties, or to include a review of internal controls of the area in which the misuse occurred.
2. If the individuals or offices conducting the investigation determine that no further investigation is required, then they shall complete their report to the SVPBA.
3. If, after consultation with the General Counsel, it appears from the investigation that the individual under investigation has committed a criminal act in violation of Arizona or federal law, the UAPD shall notify and coordinate further actions with the relevant prosecuting agency.

E. After receipt of a written final investigative report, the SVPBA will inform the Executive Vice President and Provost of the final disposition of the investigation.

F. The Executive Vice President and Provost and SVPBA shall inform appropriate subordinate supervisors, within their respective areas of responsibility, of the investigative results which affect their units, and direct, if appropriate, that they initiate appropriate disciplinary action.

VIII. DISCIPLINARY ACTIONS

A. If the investigator(s) conclude that an employee or student is responsible for misuse of university assets, management or the Dean of Students shall initiate appropriate disciplinary action, in accordance with existing ABOR and University policies including all provisions regarding due process.

B. All other rules, regulations and statutes governing University business operations shall also apply to disciplinary action taken against an employee for violation of this policy.

IX. ACTIONS WHERE FINDINGS DO NOT SUPPORT CLAIM OF MISUSE

If, at the conclusion of the evaluation or investigation, either the supervisor conducting the evaluation of the allegation of misuse or the SVPBA finds insufficient evidence upon which to determine that misuse occurred, or if s/he disagrees with the Investigators' findings and recommendations, the University, including the SVPBA, a Department Head, Director, Dean or Supervisor, will undertake diligent efforts to restore the reputations of persons alleged to have engaged in misuse under this policy. They also will make diligent efforts to protect the positions and reputations of those persons who, in good faith, made those allegations. Unless the employee or student so requests, no records of the complaint, investigation or report shall be maintained by the University, except as required by law.

X. REFERENCES AND RELATED POLICIES (These policies, by way of example, but not limitation, also may apply to allegations of misuse of University assets)

- A. ABOR Policy Manual:
http://www.abor.asu.edu/1_the_regents/policymanual/index.html
- B. University Handbook for Appointed Personnel:
<http://w3.arizona.edu/~uhap/>
- C. Classified Staff Human Resources Policy Manual:
http://www.hr.arizona.edu/09_rel/clsstaffmanual.php
- D. Use of University property:
http://www.hr.arizona.edu/09_rel/policies/pp414.php
- E. Department of Risk Management and Safety property loss claims procedures:
http://fp.arizona.edu/riskmgmt/property_claims.htm
- F. Student Code of Conduct and Disciplinary Procedures:
<http://w3.arizona.edu/~studpubs/policies/studcofc.htm>
- G. Campus Use Policy:
<http://w3.arizona.edu/~policy/campus-use.shtml>
- H. Conflict of Interest Policy:
http://vpr2.admin.arizona.edu/rie/conflict_of_interest.htm
- I. ABOR Policy regarding Protection of Employees from Reprisal for Whistleblowing
http://www.abor.asu.edu/1_the_regents/policymanual/chap6/6-914.pdf

2/16/04

CP::RPCrev-021404.doc

Charter of the Coalition On Intercollegiate Athletics

March, 2003

The Coalition. The Coalition On Intercollegiate Athletics (COIA) is a group advocating for reform in intercollegiate athletics, created by and representative of faculty senate leaders at Bowl Championship Series conference schools.

Origins. The impetus for creating the Coalition was evidence of some sustained momentum toward reform, as indicated by a succession of national statements from groups such as the Knight Commission and the AAUP, a series of studies that provided new data and insight on relevant issues, and the formation of the Group of Six cooperative effort among BCS-conference presidents. In late 2002, the adoption of the initial set of Group of Six reform proposals and the appointment of Myles Brand at the NCAA reinforced this momentum.

Goals. The Coalition's purpose is to articulate a broad national faculty voice in support of reform effort to contribute ideas towards a successful long-term strategy for reform, and to work with other groups committed to ensuring that athletics enhances rather than undermines the academic mission. The expectation at the outset is for an initial period of several years of high Coalition activity, leading toward adoption of an acceptable comprehensive program of staged reform by the NCAA or by some alternative emerging structure, followed by a diminishing role tracking the success of the adopted program.

Strategy. The Coalition advocates a strategy of reaching consensus among groups interested in reform of the desired long-term outcome of comprehensive reform, and building an agenda of specific phased steps to accomplish that goal over time. While rapid elimination of negative aspects of athletics practices may be desirable, emphasis on speed may limit both the goals that can be set and the chances of success. Therefore, the Coalition's strategy balances goals of speed, comprehensiveness, and practicability.

Membership. The Coalition has been established on the basis of membership by individual faculty senate leaders, who have determined individually the degree to which they may seek sanction for their decision to participate from faculty leadership groups within their institutions. Its initial structure is ad hoc, and makes no strong claim to represent faculty in a broad sense. To the degree that the Coalition is able to build legitimacy by developing a clear program that faculty may broadly support and accomplishing steps towards initial success, it may choose to formalize issues of membership, engagement with local faculty leaderships, etc., to maximize the degree to which it can claim to represent a national faculty voice.

Leadership. The Coalition will initially be led by a Steering Committee that includes at least one and more than three representatives from each of the six conferences that have participated in founding the Coalition. Committee members are nominated by faculty senate leaders within each conference, and appointed by agreement of those leaders. The committee will begin from ad hoc procedures, and formalize its governance principles to the degree this seems useful to the committee, or to the degree Coalition members indicate this necessity. Initially, the Steering Committee will attempt to draft a vision of long-term reform objectives and a tentative agenda for reaching them that Coalition members can respond to, refine, and perhaps adopt. The committee is also charged to undertake on its own activities intended to provide a foundation for the Coalition's organizational viability, and play a leadership role in the activities listed below.

Activities. The Coalition's activities may fall into the following categories:

- 1) Bringing together ideas from a wide variety of people, both within the Coalition and outside

faculty and non-faculty, and including campus NCAA faculty athletics representatives, administrators, and trustees interested in reform, and national groups, such as the NCAA, AAUP, and the Association of Governing Boards (AGB).

2) Drafting documents that articulate faculty viewpoints and that constructively contribute to reform efforts.

3) Organizing or participating in events, such as conferences, that can bring together people interested in reform, both to enlarge the coalition and to accomplish specific tasks efficiently.

4) Identifying key issues and proposals where developing additional data is critical to designing reform or effectively advocating for it, and working with other groups, such as the NCAA, AAUP, or AGB, to identify specialists and find funding to support necessary research.

Scope of Reform. The Coalition seeks comprehensive reform that would affect five broad categories of intercollegiate athletics activities (the examples below are not intended to be exhaustive and some bridge more than one of the five categories):

1) **Academics.** This includes issues of initial and continuing eligibility; admissions and student athlete academic standards, etc.

2) **Student Welfare.** This includes issues of scholarship policies; academic advising and other forms of student support; equity concerning matters such as gender and race; athletics scheduling; training expectations and time limits; athletes' engagement in campus life, etc.

3) **Finances and Scale.** This points towards issues related to the athletics "arms race," and includes the cost structure of athletics departments and revenue/non-revenue programs; financial planning, reporting, and monitoring; competitive equity within conferences and divisions; the relationship between winning programs and solvency; the constraints of anti-trust law, etc.

4) **Commercialization.** This concerns responses to financial imperatives that may lead to dependency on corporate and media funding, requiring various forms of commercial behavior that may conflict with academic missions or values, including corporate sponsorship contracts and branding control; media contracts and scheduling/marketing control; high-stakes dependency on revenue streams influenced by factors outside institutional control and not related to institutional priorities, etc.

5) **Governance.** This includes the shared governance roles among faculty, presidents, athletic administrators and trustees on individual campuses over such matters as academic standards and support for student-athletes, athletics personnel decisions, supervision of financial planning and performance of athletics auxiliaries, programmatic athletics department decisions, etc.

COIA STEERING COMMITTEE		
Joel Cohen	University of Maryland	ACC
James Earl	University of Oregon	Pac-10
Gary Engstrand	University of Minnesota	Big Ten
Bob Eno	Indiana University	Big Ten
Michael Granof	University of Texas	Big-12
Ed Lawry	Oklahoma State University	Big-12
John Nichols	Pennsylvania State University	Big Ten
Curt Rom	University of Arkansas	SEC
Virginia Shepherd	Vanderbilt University	SEC
Kathleen Smith	Duke University	ACC
Mike Wasylenko	Syracuse University	Big East
Steering Committee members are present or former faculty senate leaders or faculty athletics representatives, designated by conference faculty senate leaders participating in the Coalition.		

COALITION ON INTERCOLLEGIATE ATHLETICS (COIA)

A NATIONAL COALITION OF FACULTY GOVERNANCE LEADERS

FRAMEWORK FOR INTERCOLLEGIATE ATHLETICS REFORM

[HOME](#)

[STEERING COMMITTEE](#)

[COLLABORATIVE
AAUP GOVERNANCE
CONFERENCE
AGENDA, OCTOBER 9-
11](#)

[Proceedings](#)

[CONTACT COIA](#)

[CURRENT DOCUMENTS](#)

[COIA CHARTER](#)

[JOINT STATEMENT
WITH NCAA & AGB](#)

[STATEMENT ON ACC
EXPANSION](#)

[BACKGROUND
DOCUMENTS](#)

[PAC-10 RESOLUTION](#)

[BIG TEN RESOLUTION](#)

["CALL FOR A
COALITION"](#)

About the Coalition

The Coalition on Intercollegiate Athletics (COIA) was originally formed in 2002 as an email network of faculty leaders from over fifty Division I-A schools in Bowl Championship Series conferences, including the Atlantic Coast Conference, the Big-12, the Big East, the Big Ten, the Pac-10, and the Southeastern Conference. In the Fall of 2003, the COIA became a coalition of faculty senates welcoming membership from all Division I-A schools. It seeks to become a faculty voice in the national debate over the future of college sports.

The Coalition functions through a [Steering Committee](#) of twelve members, nominated by faculty leaders in each conference.

The COIA works with the [American Association of University Professors](#), the [Association of Governing Boards](#) (a national organization representing college and university trustees), and the [NCAA](#) to promote serious and comprehensive reform of intercollegiate sports, so as to preserve and enhance the contributions athletics can make to academic life by addressing longstanding problems in college sports that undermine those contributions.

The Coalition's structure and mission is described in its [Charter](#) document. A more detailed description of its goals is developed in the [Framework for Intercollegiate Athletics Reform](#), which the Steering Committee has proposed for adoption this Fall by faculty governance at schools involved in the Coalition.

Together with the NCAA and the AGB, the COIA collaborated in the 2003 [AAUP Governance Conference](#), which focussed on intercollegiate athletics. The conference was held in Indianapolis, October 9-11. The COIA is in the process of revising and preparing several documents as a result of the conference.

Site last updated 28
October 2003
[Contact COIA](#)

A Framework for Comprehensive Athletics Reform
Coalition On Intercollegiate Athletics (COIA), August 2003

Executive Summary

Reform of intercollegiate athletics is an urgent priority. Successful reform will require a broad consensus and a comprehensive approach. Some issues may be resolved quickly, others may require much more time, but national agreement on a comprehensive plan in the near future is essential to accomplish meaningful reform; the piecemeal approach has not succeeded. The COIA Framework, aimed at Division I-A, outlines essential features such a plan should include, and calls for the NCAA and national academic constituencies to develop detailed, appropriately flexible strategies for implementation. The goal of reform is not negative; it is to bring out the positive aspects of intercollegiate athletics, which contribute to the personal development of athletes and enhance college life on campus and off.

Academic Integrity. Colleges should admit only students with realistic prospects of graduation. Admissions practices should confirm that high schools must prepare athletes to meet such standards. Continuing eligibility standards should ensure that only academically engaged students compete in athletics. Faculty must take responsibility to ensure academic integrity in all programs. Athletics advisors must be closely integrated with academic advising to ensure prioritization of academic goals and integrity.

Athlete Welfare. The design and enforcement of limits on athlete participation in non-academic activities must be improved; assessment of coaches must reflect commitment to athletes' academic opportunities. Optimal season schedules for each sport should be designed and adopted. The terms and bases of scholarships should be reexamined so as to support student academics, and athletes should be fully integrated into campus life.

Governance. Shared oversight of athletics between governing boards, administrations, and faculty should involve clear communication and complementary responsibilities. Best-practice designs for the interaction of faculty athletics representatives, campus athletics committees, and faculty governance should be designed nationally, and adapted locally. Uniform reporting standards for athletics budgets should be established, to provide more financial transparency. Stable athletics conferences should support the linkage of athletics and academics, and become the basis for intercollegiate relationships beyond athletics competitions and finances.

Finances. The link between winning and financial solvency undermines the values of college sports and contributes to the athletics arms race. Broadened revenue sharing, and limits on budgets and capital expenditures should be implemented. Amateur goals appropriate to each sport should determine standards of expectations. Cost cutting in the areas of scholarships, squad size, season length, and recruitment should be explored.

Over-commercialization. Excesses in marketing college sports impair institutional control and contribute to public misperception of the nature and purpose of higher education. Schools must step back from over-commercialization by cutting costs and setting clear standards of institutional control and public presentation of college sports.

Full Text

A Framework for Comprehensive Athletics Reform

Recommended by the COIA Steering Committee, October 2003

The need for reform of intercollegiate athletics is serious and requires immediate action. The problems are not new, but they are worsening. During the 1990s, universities and the NCAA responded to the 1989 Knight Commission report, yet in 2000 the Commission concluded that intercollegiate athletics was more troubled than ever. The Coalition on Intercollegiate Athletics (COIA), a national network of Division I-A faculty leaders, believes that reform requires a comprehensive approach that addresses five issues: **(1) academic integrity, (2) athlete welfare, (3) governance of athletics at the school and conference level, (4) finances, and (5) commercialization.** Some of these issues may be resolved quickly, but others may require as much as a decade. With a comprehensive plan, however, we can avoid the ineffectiveness of the piecemeal approach of the 1990s. The present document reflects a consensus within the COIA; not every faculty leader associated with the Coalition will agree with all points. It is our hope that in conversation with other groups and individuals—such as the NCAA, the Association of Governing Boards (AGB), the AAUP, and university presidents—it can contribute to a plan of action for the coming decade. The Coalition encourages efforts to compile and analyze relevant data, and remains open to rethinking its positions as information becomes available.

There is wide diversity among college sports. While some issues may be of general concern, others may pertain very differently to team and individual sports, or to sports where the highest levels of competition are professional or amateur. A document as brief as this cannot attempt comprehensiveness. The process of reform we envision would appropriately adapt to each sport the general approaches we advocate. While some aspects of reform can and should be carried out immediately, others may involve complex solutions and significant lead time. The goal of the Coalition is to work with all groups over the next two years to develop a comprehensive plan that can be practically implemented as a series of scheduled steps.

The goal of reform is not negative; it is to bring out the positive aspects of intercollegiate athletics, which contributes to the personal development of athletes, connects schools to their alumni and communities, and enhances life on campus and off.

I. Issues of Academic Integrity

1. Initial eligibility and admissions. In football and men's basketball especially, many athletes are academically under-prepared, and have such heavy commitments to sports that they have little or no prospect of graduation. Students should not be enrolled if they do not have reasonable prospects of graduation. The Coalition supports the NCAA's initiative to raise initial eligibility standards through strengthening core course requirements, and supports the proposal to increase this requirement to 16 courses within five years. The NCAA's sliding scale of GPA and SAT/ACT scores has significantly increased reliance on high school grades. Universities should be required to inform high schools of the academic success rates of their graduates by sport, so that they can assess whether graduating athletes are really prepared to succeed academically. Admissions decisions regarding athletes with scores below institutional standards should involve academic review procedures no less rigorous than apply to other types of students; faculty review is recommended.

2. Continuing eligibility. The COIA supports the NCAA's recent strengthening of continuing eligibility standards, and its incentives/disincentives proposal. Exceptional cases may occur with regard to both GPA and progress-towards-degree requirements; appeals in such cases

evaluation of coaches and other athletics staff, to reward excellence that conforms with the best amateur ideals, rather than the standards of professional sports.

III. Governance Issues

The ultimate authority for athletics governance must lie with university presidents. Athletics programs must enhance the academic mission. For presidents to be effective in aligning athletics with the academic mission, they must have the backing of governing boards and effective input from faculty. Our focus here is on the faculty role.

1. Faculty Athletics Representatives. The effectiveness of the FAR is central to athletics governance. The appointment and evaluation of the FAR must be credible to administration and faculty, and the FAR must be supported with funds, release time, and authority.

Guidelines designed to assess FAR offices have been developed at PennState University. The Coalition proposes these be used to develop a 'best-practice' model for other schools during 2003-04. Individual schools must be responsible for the effectiveness of the FAR office, but NCAA review should be part of a best-practices model.

2. Athletics Governance Committee. An Athletics Governance Committee should exist on every campus, bringing faculty (including the FAR), administrators, and students together to oversee intercollegiate athletics. It should be the chief policy-setting organ for athletics programs, and should review special admissions, major personnel decisions and reviews, and assessment of budgets and financial performance. The constitution, appointment and authority of the committee must ensure credibility. The Coalition proposes that Penn State **Guidelines** be used in this case too, as the basis for a best-practices model.

3. Faculty senates. Faculty senates or their executive committees should receive detailed reports on campus sports programs at least annually from the FAR and Athletics Governance Committee, including academic performance of athletes, program budgets, and NCAA infractions. Faculty senates should be involved in the appointment of both the FAR and faculty members of the Athletics Governance Committee. A best-practices model should be developed for faculty senates in these regards.

4. Financial reporting principles. Uniform reporting standards for athletics budgets should be established, to allow the development of common guidelines and practices, and to provide more transparency in how colleges and universities account for revenues and expenses. At most schools, athletics program expenses exceed revenues and require funds from the academic side or the assessment of student fees. These should be determined through an open governance process, in which governing boards, administration, and faculty participate.

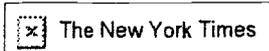
5. The role of conferences. Conferences enhance the role of athletics by creating traditions of rivalry central to school identity, and alumni and community loyalty. As a level of athletics governance, the conference can create or influence policies concerning academic standards, athlete welfare, limits of program scale, and so forth. The conference has its fullest effect when its members share regional identity, academic standards and goals, or longstanding common traditions. Lasting reform of college sports requires stable conference structures that represent academic rather than simply financial relationships. Conferences that also serve as academic consortia, such as the Big Ten, and recent initiatives by faculty leaders in the SEC to create structures of conference-wide faculty governance to complement and monitor athletics relationships, are models of the direction the Coalition believes conferences should take. Coalition partners such as the AGB and the AAUP can play a role in promoting models for intercollegiate relationships, but ultimately, university presidents and conference commissioners must set long-term conference goals beyond athletic revenues.

IV. Financial Issues

The rising costs of athletics programs place a strain on schools at a time of budget scarcity, and attempts to solve this problem through increased commercialization can lead to an impairment of institutional control over athletics, increased financial commitments (e.g., facilities), and violations of taste that can alienate donors. Reform in this area is likely to take longer than in the others, because of the complexity of the issues. However, so many problems can be traced to issues of cost

and the articulation by presidents and conferences of firm standards of presentation and control.

Executive Summary



February 9, 2004

Athletic Directors and Professors Find More to Agree on Than Expected

By **BILL PENNINGTON**

year ago, a surprising and unusual alliance of university trustees and professors was formed, a partnership aimed at finding ways to restrain the growth and excesses of big-time college sports. At the time, it was likened to the Hatfields joining forces with the McCoys.

Twelve months later, the faculty group, known as the Coalition on Intercollegiate Athletics, is still looking for new allies and still turning to the list of long-established adversaries for help. Late last month, the coalition of professors met privately with a group of college athletic directors, those hands-on managers of the modern monolith of intercollegiate athletics.

"On the face of it, it was the cobra sitting down with the mongoose," said James Earl, an English professor at the University of Oregon and the co-chairman of the faculty coalition. He attended the meeting of five prominent leaders of faculty senates and five athletic directors representing some of the foremost college athletic powers.

"You would think on the subject of college athletics reform there would be discord, or certainly no common ground," he said. "But in fact, we got along well. There was no strong disagreement."

Andy Geiger, the director of athletics at Ohio State, attended the meeting, which was convened Jan. 23 by Myles Brand, president of the National Collegiate Athletic Association, at the association's headquarters in Indianapolis.

"There's no question, everyone came into the room pretty defensive," Geiger said. "But the athletic directors discovered we weren't being called into the woodshed. That calmed me down right away. I left the meeting feeling that this group can go farther toward making real, genuine change than any other group I know of."

Brand had a similar reaction. "These were two groups that weren't talking," he said. "There was a lot of suspicion. True, they still won't agree on everything. But now there is trust building and that is an incredibly important outcome. For there to be real change, everyone must be heading in the same direction."

Just where they are heading is another matter. The goals of the alliance of faculty and trustees, which has also enlisted the guidance and endorsement of the N.C.A.A. leadership, are sweeping. It is seeking a series of revisions in how an athletic department interacts with the rest of a university — dealing with everything from athletic abuses that have led to scandal, to curbing the continuing race to build newer, more lavish athletic facilities. The timetable for any change could be as long as a decade.

These broad goals, which deal with many topics, may not be controversial by themselves. But how they would be implemented and what kind of N.C.A.A. rulings they would require is controversial. Faculty members and athletic directors at the meeting last month agreed that the manner in which individual institutions put policy into practice varies so greatly from campus to campus that a single new reform measure could probably be applied in dozens of different ways. The logistics of that process are thorny.

Still, several of the professors and athletic directors said it was revealing that there was uniform agreement on many short-term goals, like the N.C.A.A.'s academic initiative that would tie the classroom performance of athletes to the number of athletic scholarships a college is permitted to award.

"Not only was there no disagreement on new academic standards, there was no disagreement as to whether these changes were a good idea," said Geiger, who is on the board of the association of Division I-A athletic directors and who oversees one of the largest college athletic budgets. "I think the faculty members were more surprised at our stand than we were at theirs."

Robert Eno, an associate professor of East Asian studies at Indiana and a co-chairman of the faculty coalition, said he thought the athletic directors were comforted by better understanding his group, too. "They learned that we weren't a bunch of radical, inflexible faculty addicted to yelling about athletics," he said.

Also attending was Virginia Shepherd, a pathology professor and a past president of the faculty senate at Vanderbilt, who will soon take over Earl's position on the coalition. The athletic directors at the meeting were Geiger, Kevin White of Notre Dame, Rick Dickson of Tulane, Jim Copeland of Southern Methodist and Larry Templeton of Mississippi State.

The day after the meeting, the coalition of faculty leaders met with John D. Walda, chairman of the board of the Association of Governing Boards of Universities and Colleges, an organization that represents 34,500 trustees, regents, presidents, chancellors and administrators. In that meeting, according to Eno and Earl, Walda detailed plans to present new guidelines for how involved trustees should be in the governing of athletics on campuses nationwide.

"That presentation, to me, was breathtaking," Earl said. "All of us, in many quarters, are much more on the same page with this than anyone would have ever thought."

The faculty coalition's origins can be traced to Earl and the Oregon campus in Eugene. Professors protested when the university, in the midst of budget cuts in other departments, announced that it would break ground on an \$80 million expansion of the football stadium. Dissent on the Oregon campus bred a movement to re-examine the role of athletics at the university. Then, taking Oregon's lead, faculty senates across the West Coast joined together in a similar effort. This movement spread eastward, and now more than 60 major universities, most of them in conferences that are part of college football's Bowl Championship Series, have participated in the Coalition on Intercollegiate Athletics.

Last year, the coalition spawned another new association — among the coalition, the governing boards group and the N.C.A.A. — called the Alliance for Athletic Reform. This group has also proposed an initial set of goals. And in the last six months, there have been conventions and meetings on college athletic reform involving a host of other groups, including the American Association of University Professors and an association of college academic advisers for athletes.

"We are looking for ways to do more than talk," Eno said. "But as the endorsements build between

college administrators, faculty, athletic directors, coaches, trustees and faculty advisers, our hope is that the volume of support will exert continued constructive pressure on all groups connected with athletics and with reform.

"We have to wait for the payoff, but we have every intention of moving comprehensive reform from rhetoric to a real possibility."

Among the most promising accomplishments of the recent meeting between athletic directors and faculty members, both sides agreed, was what the professors learned about how athletic directors do their jobs.

"It was a productive dialogue because it laid out the crux of the dilemma," Dickson of Tulane said. "On the one hand, we have athletic programs operating in a completely balanced setting, being told they must maximize revenue to pay for themselves independent of the institution. And on the other hand, the athletic programs are told that philosophically they must be integrated with the campus."

Brand, who sounded the most enthusiastic about what the meeting had accomplished, said he thought the reform movement would continue to flourish precisely because it had begun to break down barriers.

"The problem with college athletics is the growing separation of athletic departments, in fact and in attitude, from the rest of the campus," Brand said. "We've got to bring athletics back into a single college experience."

While some skeptics may dismiss this kind of coalition building as merely chatter, the participants think otherwise. "People might say this is just talk," Geiger said. "They're right; it is just talk. And we're not going to get anywhere without talk. Not everybody agrees what kind of change there will be. But there will be change. And it can start with the help of the folks who were in that room in Indianapolis."

There was a final outcome of the meeting between faculty leaders and athletic directors: they agreed to meet again this spring.

Classified Staff Re-Grade - Salary Structure Change Analysis

	Number of UA Job Titles Re-Graded ¹	Average Change to UA Salary Structure	Average Change to Market Salary Structures ²	UA Minimum Hiring Standard	Average Classified Staff Salary ³
2000	62	.9%	2.9%	\$7.50/\$15,600	\$28,016
2001	37	1.3%	3.1%	\$7.50/\$15,600	\$29,218
2002	416	6.1%	2.4%	\$8.20/\$17,056	\$30,786
2003	375	7.3%	2.2%	\$8.50/\$17,680	\$31,258
Average annual change		3.9%	2.7%		3.5%

¹ Average of 555 active Classified Staff job titles

² Source: WorldatWork (formerly the American Compensation Association)

³ Effective as of annual October census

Merit and Market Competitiveness Fund Salary Adjustment Program

ALLOCATION

9401 Eligible Employees: - Benefits Eligible
 - Employed Jan 1, 2003

\$4,179,000 Allocated for State & Local Budgeted Funding = 1.55% of eligible salaries
 \$2,989,000 Extension to Auxiliary/Sponsored Funding based on 1.55% of eligible salaries
\$7,168,000 Total Merit Market Amount (if all funding at 100%)

Allocation based on actual salaries, using DAPS data snapshot of Oct 10, 2003

ACTUAL

5210 Employees Received Increase
 \$6,344,000 Total Increases
 Note--includes Allocated State & Local Budgeted & Aux/Spon & Supplements

55% Participation (Percentage of all Eligible Employees who received increase)
 22% Lowest Participation for a College/Division
 97% Highest Participation for a College/Division

2.7% Average Increase (among those employees who received an increase)
 1.2% Lowest Average Increase for a College/Division
 7.4% Highest Average Increase for a College/Division

	Participation by Gender			
	Female		Male	
	Eligible	Received	Eligible	Received
Staff	62.6%	60.8%	37.4%	39.2%
Voting Faculty	32.6%	35.9%	67.4%	64.1%
Appointed	46.9%	52.1%	53.1%	47.9%

	Participation by Ethnicity									
	American Indian or Alaskan Native		African American/Black (not Hispanic)		Hispanic		Asian American/South Pacific		White (not Hispanic)	
	Eligible	Received	Eligible	Received	Eligible	Received	Eligible	Received	Eligible	Received
Staff	2.0%	2.0%	2.2%	2.0%	24.1%	26.3%	3.2%	2.2%	65.6%	64.8%
Voting Faculty	1.4%	1.9%	1.6%	1.1%	5.4%	5.4%	5.4%	5.8%	84.2%	83.9%
Appointed	1.2%	1.5%	2.8%	2.5%	7.6%	6.3%	9.6%	7.7%	74.6%	78.7%

Note--Actual data based on PSOS Compensation History entries:

- Effective Jan 5, 2004
- Reason codes 12 (Market) & 73 (Internal Merit)

Market/Merit Adjustment Results												Plan Approved
Colleges/Units	%age of Employees Receiving Increase			#s of Employees Receiving Increase			%age Range of Increase			Class Staff		
	V Faculty	Appt Person	Class Staff	V Faculty	Appt Person	Class Staff	V Faculty	Appt Person	Class Staff			
CALS	94%	90%	88%	243	136	488	3.94% - .42%	4.0% - .8%	4.0% - 1.0%	◆		
CALA	88%	100%	67%	23	2	8	6.0% - 0.75%	1.50%	4.76% - 1.0%	◆		
BPA	45%	38%	39%	43	19	24	10.71% - 1.65%	11.42% - .72%	3.8% - 0.91%	◆		
COE	54%	24%	40%	34	7	16	15.6% - 1%	7.42% - 2.98%	6.75% - 1.03%	◆		
COEM	43%	22%	51%	60	11	71	8.4% - .30%	2.84% - 1.13%	6.09% - 0.57%	◆		
CFA	34%	19%	36%	37	8	20	7.0% - 2.86%	3.5% - 2.5%	5.3% - 2.1%	◆		
COH	63%	2%	73%	97	1	43	17.73% - .56%	3.33%	6.90% - 1.18%	◆		
Law	88%	71%	69%	35	10	20	4.19% - .90%	1.96% - 1.17%	2.87% - 1.15%	◆		
Library	49%	27%	42%	27	3	44	17% - 1%	1% - 1%	15% - 1%	◆		
COS	32%	45%	62%	105	165	313	45.86% - 1.39%	5.0% - 1.55%	15.88% - 0.77%	◆		
SBS	28%	13%	28%	64	3	22	24% - 1.2%	9% - 5%	33% - 1.2%	◆		
Optical Science	17%	11%	61%	5	4	23	5.56%	3.89% - 1.55%	1.70% - 1.55%	◆		
UASouth	93%	100%	100%	13	10	21	4% - 3.5%	4% - 3.5%	4%	◆		
VP Research	58%	30%	32%	43	44	123	18.19% - 0.58%	12.06% - 0.7%	13.75% - 0.7%	◆		
VP Information		53%	21%		12	44		10% - 1%	32.2% - 1%	◆		
AHSC	100%	50%	100%	1	5	1	5%	5.0% - 1.25%	3.0% - 1.0%	◆		
COM	44% - 100%	23% - 100%	67% - 100%	156	181	204	2.75% - 1.0%	2.75% - 1.0%	10.0% - 1.0%	◆		
CON	40%	100%	56%	38	7	18	2.1% - 1.0%	6.54% - 1.2%	4.20% - 1.0%	◆		
COP	60%	83%	69%	21	18	11	2.0% - 1.0%	1.5% - 1.3%	2.6% - 1.7%	◆		
COPh	73%	52%	54%	8	17	14	3.0% - 1.3%	6.9% - 1.4%	4.2% - 1.0%	◆		
Health Prof.	60%	75%	100%	16	6	7	1.55% - 1.0%	1.55% - 1.0%	1.55% - 1.0%	◆		
Provost	28%	62%	50%	4	5	10	6.3% - 2.3%	3.5% - 1.7%	5.1% - 1.7%	◆		
EU and Assessment		100%	42.00%		1	5		1.50%	4.6% - 2.2%	◆		
Int'l Programs		9%	12.5%		1	1		6.98%	5.38%	◆		
Honors		100%	87%		4	4		5.36% - .92%	2.9% - 1.25%	◆		
VP Instruction		100%	100%		2	1		6.34% - 1%	1.46%	◆		
VP Retention		35%	37%		6	4		10% - 1.56%	4.08% - 1.72%	◆		
Writing Skills	100%		33%	1		2	1.55%		4.26% - 4.09%	◆		

Merit and Market Average Increase vs. Participation by College/Division

