

CONSENT AGENDA
Faculty Senate Meeting
3 Mar 2003

Instruction and Curriculum Policy Committee

- Description:** The Epidemiology Graduate Interdisciplinary program will be transferred to the Arizona College of Public Health (AzCOPH) with a name change to the Epidemiology Graduate Program.

Projected effective date: Fall, 2003

Justification: To meet American Schools of Public Health accreditation requirements, the College of Public Health must be able to sustain an independent doctoral program. The transfer will allow all educational programs (Health Education Undergraduate, Graduate Program in Public Health, Epidemiology Graduate Program) to be housed within the college. The transfer also facilitates better management of curricular offerings and use of AzCOPH support staff.

Approvals:

Undergraduate Council: NA

Graduate Council: 11/15/2002

Administrative Review: 01/28/03

ICPC: 02/11/03

2/19/03

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FINAL DRAFT
Paying For Focused Excellence:
A New Paradigm for Funding Salaries

Focused Excellence calls for greater excellence throughout the UA. It seeks to emphasize those areas in which we are leaders, or have the potential to become so, while eliminating or restructuring others in order to redirect resources more efficiently. The programs and emphases that emerge from the current period of reorganization all rely upon people – upon the best and brightest faculty, and the most dedicated and skillful staff. Our rhetoric consistently declares that people are the most precious resource in the UA. Yet, ever diminishing state support for higher education has undermined our ability to compete in the market place for that resource. How can we accomplish the goals of Focused Excellence without assuring that we can offer and maintain competitive salaries for faculty and for all our employees? Without investment in our human capital, all our efforts to reorganize and eliminate will fail to enable us to reach our ultimate goals.

We must give up the old, passive mode of funding salaries, in which we wait each year for the state of Arizona to serve up salary increases and then react in disappointment when the raises are inadequate, rescinded at some later date, or altogether absent. This passive approach to the funding of salaries derives from better times, when the state actually did adequately fund salaries.

- In the 1970s faculty salaries at UA were more than 10% above its peer averages, while today they have fallen to -9.4% below peers for all ranks, and -11.1% below for full professors¹.
- Salary increases between 1988 and 1991 averaged 5.2%. Between 1992 and 2001, salary increases averaged less than 2.5%.
- Our peers have seen average faculty salary increases of from 4-5%, in recent years.²

The UA has now accumulated over \$57 million in unmet salary needs for all its employees.³ Clearly the state is both currently unable and historically unwilling to fund university salaries adequately, and the longer we delay in doing something about this truth, the worse things will become.

Continuing problems confound the adequate funding of salaries in Arizona's universities.

- Arizona is one of few remaining states to tie university salaries to other state agencies. This has historically caused difficulty in obtaining sufficient funding for university salaries, since competitive faculty salaries are so much higher than those in the other agencies (i.e., corrections, transportation, health and welfare). The universities publicly present their requests in annual meetings where the spectacle of professors earning over \$100,000 is contrasted with the image of other public employees earning a mere fraction of that amount, leaving many with the impression that the university requests are unjustified if not downright obscene.

Personnel turnover is much higher for the other agencies, which do not have employment models like the tenure and continuing status found in the universities.

¹ AAUP data, FY 2002

² AAUP data, FY 1999 through FY 2002

³ Arizona Board of Regents Annual Personnel Report, October 2002

Most other states recognize that the markets and circumstances for the other state agencies are markedly different than those of the universities, and treat them separately in the salary funding process. The state of Arizona views the funding of university salaries like most public agencies, as the purchasing and provision of public services. However, at most other major universities it has been recognized nationwide that faculty are institutional and state assets requiring long-term investment.⁴ Arizona needs to consider a paradigm shift for its universities from one of funding salaries merely as a means of providing services to one of investing in state and institutional capacity.

- Unlike many other states, Arizona failed to stabilize funding to education during the boom years of the 1990s, and is now unable to do anything but continue to erode support for the state universities in a time of enormous financial distress. The state has fallen to the rock bottom of national rankings in its support for education, and can do nothing in the near future to reverse that trend. Viewed by the state as the major discretionary area of a state budget, the universities have been the largest cash contributors to the recent rescission process.
- Arizona's Board of Regents and Arizona's past lawmakers have long been seduced into a distorted interpretation of the words in the Constitution used to establish the state's first university: "as nearly free as possible." The original language read:

Article 11, 6. Admission of students of both sexes to state educational institutions; tuition; common school system

Section 6. The university and all other state educational institutions shall be open to students of both sexes, and the instruction furnished shall be as nearly free as possible. The legislature shall provide for a system of common schools by which a free school shall be established and maintained in every school district for at least six months in each year, which school shall be open to all pupils between the ages of six and twenty-one years.⁵

Clearly, the original intent was that "instruction furnished shall be as nearly free as possible," and that the Legislature should provide for it. It is ironic that the modern interpretation has turned that intent around 180 degrees, and is now used as a club to prevent the universities from gaining the tuition increases they so desperately need to help offset the Legislature's failure to adequately fund instruction.

We can not afford to remain passive casualties of insufficient funding for salaries in the universities. We must assume that the state's treatment of higher education will not improve to the extent needed to turn the university's problem around. We must adopt a new paradigm that allows us to take control, at least in part, for creating and maintaining a stable funding source for university salaries. Faculty salaries must always remain the first priority, because the reputation and indeed the very existence of the University of Arizona rest upon their shoulders. However, the needs of all the other employees who make the faculty's work possible must also be met.

⁴ Layzell, Lovell, Gill, p. 330

⁵ Arizona Constitution, Article 11, Section 6

The new paradigm requires that we figure out how to fund salaries ourselves using an entrepreneurial and proactive model versus the old, passive one. Controlling our own destiny in this area is crucial to our success in Focused Excellence, and must be included as a critical piece of the "Financial Strategies" component of Focused Excellence. It would be nothing short of cynical to go through the agony of program elimination, merger, and restructuring without paying equal attention to the transformation of the dysfunctional way in which the salaries of our most important resource are managed.

Proposal for a New Paradigm in the Permanent Funding of UA Salaries:

- The UA will produce funds equal to at least 2% of its state-funded personnel salary base each year to increase the salaries of its faculty, appointed personnel, and staff.
- A plan will be developed by UCAT, charged by the President's Cabinet, and with input from the Finance Committee to allocate funds to the colleges and vice-presidential units. The plan will be founded upon merit. Equity and other components will also guide in the distribution of the funds. UCAT's plan will also benefit from the input of SPBAC, the Faculty Senate, APOC, and SAC.
- The UA will continue to allocate at least \$250,000 to be used by the Provost for the preemptive and reactive retention of outstanding faculty.
- The UA will provide approximately \$250,000 on a one-time basis to address any equity cases resulting from the ongoing DAPS analysis of salaries for all employees.
- The funds identified above will be derived from tuition revenues, indirect cost recovery, vacancy savings, and all funds sources.

This internally generated salary pool will become a permanent budget fixture, and will be augmented by whatever state funds happen to occur, whenever they do occur. The internal pool will be the *constant* component of our salary plan, with the state funds regarded as the *supplemental* variable.

Example:

Using the salary bases of July 1, 2002, here are approximate figures for the establishment of the pool for all UA state-funded employees:

Main Campus	\$259,613,136 (all fund types)
Arizona Health Sciences Center	\$ 42,288,605
Salary Base	\$301,901,741
<hr/>	
2 % of total salary base	\$ 6,038,035
Retention pool	\$ 250,000
Equity pool	\$ 250,000 (one-time)
Total needed for UA salary pool	\$ 6,538,035

Conclusions:

The time has surely come to reconstruct the way we manage the salaries of our employees, and this will require a paradigm shift in our thinking. It is no makes sense to cling to the nostalgic expectation that the state should fully fund salary increases, nor the concomitant distress that accompanies each year of disappointment. The demands upon the state today are far more complex than in the 1890s, and the needs of the universities have far outstripped the state's ability to accommodate them entirely, even in the best of times. We may hope that under new leadership the state will begin to recognize its

universities as enormous strategic assets, and will begin to reinvest in them accordingly. But we must give up forever the notion that our salary increases will come exclusively from the state; this simply is no longer possible.

What better time to make a major paradigm shift in our thinking on the funding of salaries than during the widespread revisions accompanying Focused Excellence? As we seek to make extensive changes in the campus aimed at strengthening and renewing the institution, and as we constantly return to the theme that our excellence rests upon the quality of the people in our institution, then it follows that we must find a way to control our competitiveness in the funding of salaries.

A permanent 2% pool to augment salaries will not be adequate to reverse the serious deficits that now exist in our employee salary base. An ongoing salary increase of just 2% would never allow us to catch up or even keep up with the average increases of around 4.5% of our peers. The implementation of this pool for the first time will be painful and controversial as funds are taken from areas already stressed. If the upcoming tuition increases are as high as hoped for, they can provide a large part of the needed dollars, but the remainder will need to come from other areas that have been severely affected by the current budget conditions. And yet, to do nothing at all is unthinkable. If we accept the premises that

- people are our most important resource
- competitive salaries are essential for success in carrying out Focused Excellence
- past lawmakers have been historically unwilling and current lawmakers are now unable to adequately fund university salaries,

then we have no other choice but to take on the responsibility ourselves. As the state recovers and, hopefully, will begin to augment our permanent salary increase base of 2%, the combination will allow us to become truly competitive. In the meantime, careful and strategic allocation of the 2% to all UA employees will enable us to ride out the current crisis, and, most important, rekindle the confidence and hope that the campus must have in order to carry out Focused Excellence.

E. Ervin, January 2003

Layzell, D. T., Lovell, C. D., Gill, J. I. (1997). Developing and viewing faculty as an asset for institutions and states in L. F. Goodchile, C. D. Lovell, E. R. Hines & J. I. Gill (eds.), Public Policy and Higher Education. (pp. 325-337). Needham Heights, MA: Pearson Custom Publishing.

Email clarification from Libbie Ervin to UCAT about the source(s) of funding and intent of the proposal

Clarification: in the 2% paper we gave you, ONE of the sources listed as possibly contributing to the 2% pool is, indeed, salary savings. The hope is that most of the money for a 2% pool would come from the new increased tuition revenues - but in order to reach the target of 2% there may need to be smaller contributions from other sources.

We have talked of many different models re salary savings, from sweeping and giving back part, to the old system of sweeping all but a base amount, to a small % sweep, to no sweep at all. We are truly aware of how important those \$ are to deans and heads these days just to keep their doors open. We will not do anything without full discussion.

So please don't hit the panic button just yet; you are being asked to respond to the whole concept of taking control of some portion of salary management rather than leaving it entirely to the State.

Best, Libbie

FINAL DRAFT
2/20/03

**Model for Implementation of
Streamlined P&T/CS Review Process**

Old model:

- P&T/CS Reviews occur at 2nd, 4th, and 6th (mandatory) years.
- 2nd and 4th year reviews are local, go no further than department (or college) unless there is a negative finding. In a negative finding, the file proceeds to the Provost's Office through the normal P&T/CS channels.
- Annual performance reviews are inconsistent in how they address candidate's progress toward P&T/CS. In general the annual performance reviews tend to focus on more short-term, departmental performance, and the ratings in the APRs *may not* reflect progress toward successful P&T/CS status.

New model

- P&T/CS Reviews occur during the 3rd, and 6th (mandatory) years. In the first year of implementation, faculty who are already hired shall follow these paths:
 - Faculty who have already undergone the 2nd year review shall stay on the 2/4/6 year cycle;
 - Faculty who would be due for the 2nd year review may choose either cycle.
- 3rd year review goes through normal department level process, and is seen at the dean's level – either by the college committee, or by other decanal authority. The dossier must include all the elements of the 6th year review, except for the outside letters. The 3rd year review becomes, in effect, a dress rehearsal for the 6th year review. It is now the only review opportunity to terminate a candidate prior to the 6th year review (although a person could be terminated at any time for cause). In the event of a negative finding, the file proceeds to Provost's Office through normal P&T/CS channels.
- Annual performance reviews of all probationary faculty include some formal feedback to the candidate on progress toward P&T/CS. The feedback must include peer review and must be communicated in writing (it may also be discussed in meetings with the head and committee). Colleges and departments will decide what supporting materials need to be included with the Annual Review in order to evaluate progress toward P&T/CS.
- Results of the progress toward P&T/CS for each candidate will be forwarded to the Vice Provost for Academic Affairs each year.
- For candidates with deficiencies in any area, a written plan must be developed with guidelines for improvement and for follow-up in subsequent annual reviews until the plan is completed. This plan must be submitted with the results of the progress toward P&T/CS.
- The department or decanal level may request a 4- or 5- year review if the results of the 3-year review warrant the need for an interim review prior to the mandatory year.
- If the results of the 3-year or any subsequent review are negative, the file must proceed through the regular P&T/CS process to the Provost's Office.

FINAL DRAFT

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Prior to implementation

Prior to implementation, each college will determine its common elements on how departmental annual reviews will address the feedback on progress toward P&T/CS for probationary faculty. Deans will require each department to provide written plans describing the format and process for including feedback on progress toward P&T/CS in the annual review. **Common elements in all plans must include:**

- A clear description of the differentiation of roles of the departmental annual performance review and the subsection on P&T/CS feedback;
- A format and process for feedback on Teaching, Research/Scholarship, Service, as measured against the departmental and college written criteria for P&T/CS;
- A format for the overall assessment of progress toward P&T/CS, as measured against the written criteria;
- In the case of deficiencies in any area, a format for a written plan for improvement and guidelines for followup in subsequent annual reviews until the plan is completed.

Deans will review, approve, and forward the final departmental plans to the Vice Provost for Academic Affairs for approval, prior to implementation of the 3/6 year review model.

Timeline for implementation

Already completed

- *Introduction of issue in Program for Academic Leadership - Spring, 2001*
- *Debate of pros and cons of changing schedule in HeadsUp, using live discussion and electronic brainstorming - Spring, 2001*
- *Analysis of electronic results - Summer, 2001*
- *Research into practices at other institutions - Fall, 2001*
- *Survey of all faculty Fall, 2001*
- *Analysis of results - Spring, 2002*
- *Discussion of survey results and issue at annual Heads Retreat - Fall, 2002*
- *Vetting of proposed plan with department heads, through HeadsUp - Nov. 2002*
- *Vetting of the proposed plan with PMG, Academic Council, all department heads through deans - Nov, Dec, 2002*
- *Presentation of final proposal to HeadsUp and deans - Jan, 2003*

- **Presentation to Faculty Senate - Feb/March, 2003**
- **Approval process for departmental annual review revisions – Spring, 2003**
- **Implementation of new review schedule - Fall, 2003**

FALL BREAK PROPOSAL

PROPOSED CHANGE: To install a 7-9 day closing during the week of Thanksgiving. This would give students and faculty three more days of vacation than they currently receive. Students have been overwhelmingly supportive of this plan, even if such a proposal would extend the semester into summer vacation in order to maintain the current number of contact hours.

WHY? This proposal would give the student population more time to travel home for the holidays given that many students, both in-state and out-of-state, have expressed the need for more time to travel to destinations around and outside of Arizona. This would additionally give graduates and undergraduates extra time to work on academic projects and research. The proposed change would also alleviate the drop in class attendance that has been evidenced to occur the Monday, Tuesday, and Wednesday before Thanksgiving.

FINANCIAL SAVINGS: To close the university for one day would result in a savings of \$88,000-\$94,000. Thus, for a 7-day university closing, the possible savings would be \$616,000-\$658,000. For a 9-day university closing, possible savings would be \$792,000-\$846,000.

STATISTICAL SUPPORT: During the Monday, Tuesday, and Wednesday before Thanksgiving in 2002, a classroom survey was taken to find the overall drop in attendance during this week. The average attendance in classes was found to be 56.5%. The percentage of teachers who cancelled their classes was 29% (26 classes surveyed were cancelled). This may be due to the fact that 31.4% of the University of Arizona's student population is comprised of out-of-state students who may need to leave early in order to go home for Thanksgiving.

CONCLUSION: A Fall Break would benefit students and faculty by allowing them more time to travel, focus on academics, and finalize work for the semester. The university could also benefit monetarily, with possible savings of close to \$1 million if it was closed for several days over the fall break.

CONTACT: Christopher Farney and Marci Holmes, ASUA Academic Affairs Co-Directors, at 621-6021 if you have any additional questions or comments.

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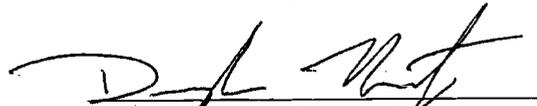
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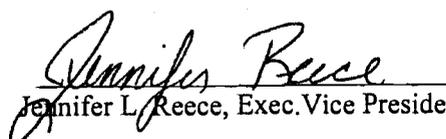
S.R. 02169
Introduced February 12, 2003

RESOLUTION

Written by Douglas Hartz, ASUA President

1 Whereas, The University of Arizona has identified itself as a student-centered
2 research institution whose mission is to discover, educate, serve and
3 inspire its students and the community; and
4 Whereas, The University is in a financial crisis and opportunities for financial
5 savings should be pursued rigorously; and
6 Whereas, The fall semester of The University of Arizona's academic calendar
7 currently contains more student-faculty contact hours per class than
8 are required by policy set by The Arizona Board of Regents; and
9 Whereas, The fall semester of The University of Arizona's academic calendar
10 currently contains fewer days of recess than the spring semester; and
11 Whereas, The fall semester of The University of Arizona's academic calendar
12 currently provides few opportunities for student travel, and over one
13 third of the student population hails from other states or nations; and
14 Whereas, The University of Arizona imposes on students ability to celebrate
15 the Thanksgiving holiday by holding classes the Wednesday before the
16 holiday, forcing many students to travel on or after the holiday at
17 significant expense, or miss class the week of the holiday; and
18 Whereas, over the past two years 30-40% of classes held at The University
19 of Arizona have been cancelled and attendance has been approximately
20 56.5% for the week; and
21 Whereas, four of The University of Arizona's 15 peer institutions and over 25
22 institutions across the nation have addressed similar issues on campus
23 by establishing an additional fall recess or extending the Thanksgiving
24 recess.
25 Therefore, be it resolved that the Students of The University of Arizona support
26 the creation of an extended Thanksgiving recess in the fall semester.
27 This extended recess would be a tremendous service to the student body
28 and is consistent with the mission of the institution. The recess would
29 reduce absenteeism during the fall semester, return 600,000 - \$800,000
30 dollars to the institution in utility savings, provide students an
31 opportunity to travel and better celebrate the Thanksgiving holiday,
32 better balance the recess time between the fall and spring semesters,
33 provide faculty and students an opportunity to prepare for final exams,
34 and provide faculty and students an opportunity to finish research endeavors
35 prior to the close of the semester.


Douglas J. Hartz, Student Body President


Jennifer L. Reece, Exec. Vice President



Fall Break

Proposed week-long shut down
of the University in late
November

Proposed Change

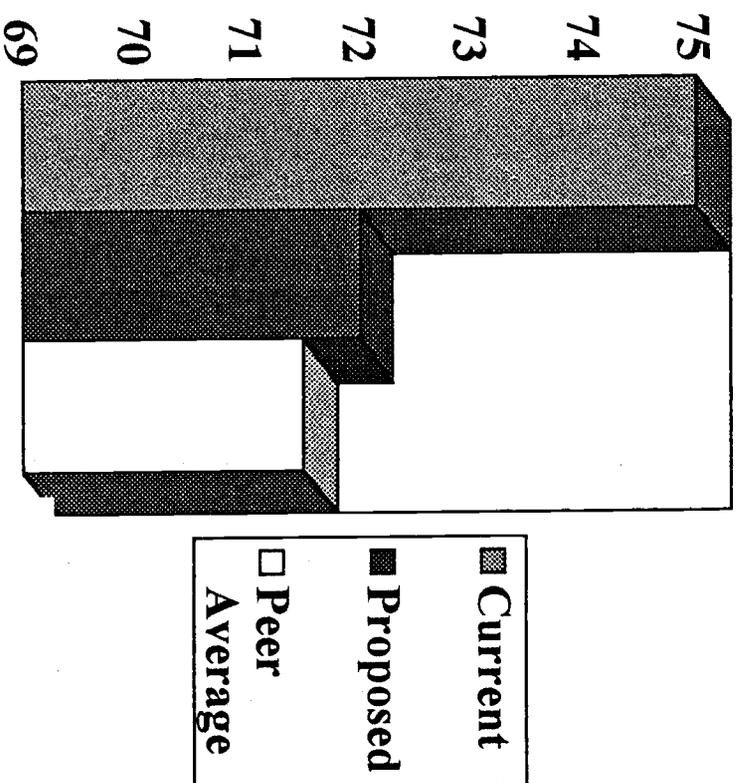
- Installation of a seven day, university-wide closing during the week of Thanksgiving
- University shut-down would begin the Sunday previous to the Thanksgiving holiday and would conclude the Saturday afterwards
- Students, faculty and staff would receive an additional three days of vacation as opposed to the current calendar

Reasons

- Travel circumstances are especially difficult during this time of the year, particularly for students traveling out-of-state
- Need for undergraduates to complete final projects and graduates to work on research

Calendar Changes

- Current number of days of school in fall semester at U of A: 75
- Proposed number of days: 72
- Current average number of days of school at peer institutions: 71.5



Student Support

- **Petitions/Resolutions**

Current Attendance

- Average percentage of students attending surveyed classes the Monday, Tuesday and Wednesday before Thanksgiving: 56%
- Percentage of surveyed courses cancelled by faculty members during this time: 29%
- Percentage of out-of-state students (who may need more time to travel): 31.4%

Financial Savings

A seven day, university-wide closure would result in financial savings of approximately \$88,000--\$94,000 per day, accumulating to \$616,000--\$658,000 for the week

University-Wide Effects

- Residence Life accepts proposal—residence halls would remain open to accommodate students who choose to stay
- Human Resources would be affected in terms of compensatory pay time and salary changes resulting from closure of the university
- SAC info

Conclusion

- **Benefit to community**
- **Cost savings**
- **Improved academic environment**