Presentation to Faculty Senate
November 2, 2009

THE UNIVERSITY OF ARIZONA.
University Libraries

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The Good News

- Association of Research Libraries rankings
  - University of Arizona still in Top 20 among publics
- Usage strong
  - 5.3 million visits to Libraries' web pages in FY2009
  - 335,700 uses of digital items in UAiR institutional repository
  - Over 2 million visitors to library buildings
- Size of collection in 2008/09
  - Held 5,339,000 volumes (13% electronic)
  - Received 64,500 serials (91% electronic)
  - Spent $10,465,000 on collections

Projects in 2008-09

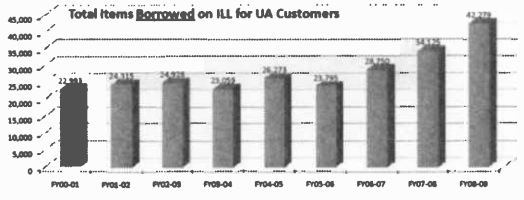
- Redesigned website
- Added campus collections to catalog
  - UA Poetry Center
  - School of Media Arts
- Installed WorldCat Local (database of 145M items)
- Created 1-credit Research Lab course for ENGL 102
- Library Resource Organizer
- Published eBook and new digital-only journal
  - *Latino Politics*
  - *Journal of Ancient Egyptian Interconnections*
- TRAIL Project

Libraries' Services (FY09 stats)

- Document Delivery
  - 17,800 articles & book chapters sent to users' desktops from our collections
- Express Retrieval
  - 23,200 items paged for users from our collections
- Streaming video/DVDs
  - Received 1,828 requests
  - Streamed video for 458 courses
- Phoenix Art Museum/
  Center for Creative Photography gallery
  - 188,600 visitors

Interlibrary Loan

- "Just in case" → "just in time"
- Delivery times
  - Articles & book chapters: often in 24 hours
  - Books: 4 days or less



The Bad News: State Budget Cuts & Unfunded Mandates 2008/10

Libraries' Salaries, Wages, & Operations

	State Cuts		Min. Wage & Promotions		Staff Cuts
	Percent	Amount	Percent	Amount	FTE
2007/08	2.30%	$230,856	1.20%	$124,429	2.0
	0.50%	$50,400			1.0
2008/09	4.38%	$449,000	0.016%	$16,835	5.5
	5.00%	$493,000			9.2
2009/10	7.00%	$660,700	0.80%	$81,765	14.5
TOTALS	19.18%	$1,883,956	2.016%	$223,029	32.2

Combined 2008/10 Totals (State Cuts + Minimum Wage + Promotion Increases)		
21.196%	$2,106,985	32.2 FTE (16% reduction)

What We Cut

- Unit cuts ranged from 0-13% for FY10
- Print reserves eliminated; eReserves → D2L
- Less face-to-face instruction
- Moved librarians off reference desks
- Eliminated support services in HR, business operations, & shipping/facilities
- Reduced book processing staff
- Reorganized CCP
- Reduced Admin Assistant support, operations, & student staffing

Spending Reductions for Information Resources

Why?

- Despite Information Access Budget (IAB) being held harmless, there's been no increase in state-funded portion of our IAB for past 8 years
- Costs of library materials rise 6-8% per year

2008/09 Plan

Spending Reductions Needed		
2008/09	$230,000	drop in $ value
2009/10	$385,000	7% serials / 8% electronics
2010/11	$450,000	7% serials / 8% electronics
	$200,000	buffer/reallocation
TOTAL	**$1,265,000**	

Current Plan

Spending Reductions Needed	
2009/10	$475,000
2010/11	$501,000
TOTAL	**$976,000**

Summary of Cuts – 2009/11

	$ to be Cancelled	# Items to be Cancelled
Print journals	$75,854	545
Electronic journals *	$20,945	68
Dual-format (print and online) journals	$27,807	37
Databases	$193,535	36
Memberships	$969	12
Other serials	$65,607	305
Newspapers	$13,342	25
Microforms	$11,791	10
Book budget	$466,150	
Duplicates, ceased publications, other savings	$100,000	
Total:	$976,000	

* Excludes e-journal packages with contracts

See http://www.library.arizona.edu/spendingReduction for list of titles to be cut

What We're Doing to Mitigate Cuts

- Joined with other libraries to pressure publishers to hold/reduce costs
- Consortial agreements
  - $6.5 million in cost avoidance in FY09
  - $1.6 million in savings from consortial purchases in FY09
- Seeking more gifts, grants, & endowments
- Requesting student fee increase

Without New Money

Here's what it could look like a year from now:

Spending Reductions Needed	
2010/11	$596,000
2011/12	$525,000
TOTAL	**$1,121,000**

Where Our Money Comes from Vs. Peers

UA Peer Libraries' Expenditures by Source						
Peer Universities	Institutional Allocation	Gifts & Endowments	Grants & Contracts	Auxiliary[1]	Student Fees[2]	Other[3]
Michigan State University	98.00%					2.00%
Ohio State University	87.90%	3.21%	4.96%			3.95%
Pennsylvania State University[4]	81.05%	5.11%	2.48%		11.18%	0.19%
Texas A&M	8.00%	3.00%			89.00%	
University of California-Davis						
University of California-Los Angeles[4]	87.00%	5.40%	3.10%	4.30%	2.00%	
University of Florida	89.60%					10.40%
University of Illinois at Urbana-Champaign	86.90%	5.48%	4.89%	1.47%		1.26%
University of Iowa	93.00%	2.00%	1.00%	2.00%		1.00%
University of Maryland, College Park	86.91%	3.81%	5.89%	3.39%		
University of Minnesota	91.60%	3.80%	0.80%	3.90%		
University of North Carolina-Chapel Hill	79.49%	12.80%	2.11%	0.80%		4.80%
University of Texas at Austin	95.00%					5.00%
University of Washington	83.00%	4.00%	9.00%	4.00%		
University of Wisconsin-Madison	93.65%	3.35%		3.00%		
AVERAGE	82.94%	4.72%	3.80%	2.86%	34.06%	3.58%
University of Arizona	82.00%	7.00%	1.00%	7.00%	3.00%	0.00%

[1]Includes revenue and income (e.g. sales, services)

[2]Includes library use fee, student and other fees

[3]Includes combination of gifts, grants, endowments, agency funds, misc.

[4]For 2007-08; all others were 2008-09 or unspecified

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Pennsylvania State University[4]	81.05%	5.11%	2.48%		11.18%	0.19%
University of California-Davis						
University of California-Los Angeles[4]	87.00%	5.40%	3.10%	4.30%	2.00%	
University of Florida	89.60%					10.40%
University of Illinois at Urbana-Champaign	86.90%	5.48%	4.89%	1.47%		1.26%
University of Iowa	93.00%	2.00%	1.00%	2.00%		1.00%
University of Maryland, College Park	86.91%	3.81%	5.89%	3.39%		
University of Minnesota	91.60%	3.80%	0.80%	3.90%		
University of North Carolina-Chapel Hill	79.49%	12.80%	2.11%	0.80%		4.80%
University of Texas at Austin	95.00%					5.00%
University of Washington	83.00%	4.00%	9.00%	4.00%		
University of Wisconsin-Madison	93.65%	3.35%		3.00%		
AVERAGE	88.70%	4.90%	3.80%	2.86%	6.59%	3.58%
University of Arizona	82.00%	7.00%	1.00%	7.00%	3.00%	0.00%

[1]Includes revenue and income (e.g. sales, services)

[2]Includes library use fee, student and other fees

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[4]For 2007-08; all others were 2008-09 or unspecified

Legislative Issues

- Net Neutrality
  - whether to regulate the Internet
- Federal Research Public Access Act
  - would improve taxpayer access to federally funded research
- USA PATRIOT Act
  - up for reauthorization
  - H.R. 3845 would provide greater protection of library and bookstore records

Questions
?

Library-Related Legislation

Net Neutrality

Net Neutrality is the concept that everyone should have equal access to the Internet. According to *PC World*, "the discussion at this point is whether the government should step in and regulate net neutrality or if industry should self-regulate." [1] In September 2009, Federal Communications Commission Chairman Julius Genachowski proposed new rules that would prohibit Internet providers from selectively blocking Web content and applications, or slowing Internet traffic. The FCC is seeking public feedback on the Commission's "draft rules [for an] open Internet" (http://hraunfoss.fcc.gov/edocs_public/attachmatch/FCC-09-93A1.pdf) through Jan. 14, 2010. On Oct. 22, 2009, Sen. John McCain (R-AZ) introduced legislation ("The Internet Freedom Act of 2009") that would prohibit the FCC from enacting rules to regulate the Internet.

Federal Research Public Access Act of 2009

Senators John Cornyn (R-TX) and Joseph Lieberman (D-CT) reintroduced this bill (S. 1373) in June 2009. The bill asserts that the results of federally funded research should be promptly shared with the public – online for free – in order to advance science and improve people's lives and welfare.

According to *The Scientist*[2], the bill: "directs 11 federal agencies with extramural research budgets greater than $100 million per year – including the National Science Foundation, the Environmental Protection Agency, the Department of Health and Human Services, the Department of Agriculture, and NASA – to deposit published manuscripts resulting from tax-payer funding in a digital repository that is accessible by the general public no later than six months after the article has been published in a peer-reviewed journal."

See details of the bill on the Library of Congress' THOMAS website (http://thomas.loc.gov/cgi-bin/query/z?c111:s1373:).

USA PATRIOT Act

The USA PATRIOT Act, initially signed into law by President George W. Bush in 2001 (shortly after 9/11), is up for reauthorization. Three PATRIOT Act provisions are set to expire on Dec. 31, 2009. A number of bills have been introduced, each with their own version of fixing what are seen as flaws. The American Library Association supports the USA PATRIOT Act Extension Act of 2009[3], recently introduced by Rep. John Conyers (D-MI) and other lawmakers. A mark-up of the bill (H.R. 3845, http://thomas.loc.gov/cgi-bin/query/z?c111:H.R.3845:) is currently scheduled for Nov. 4, 2009, in the House Judiciary Committee. H.R. 3845 would require judicial review of gag orders and provide greater protection of library and bookstore records.

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[1] Albanesius, C. (2009, October 30). House bill would ban FCC Net Neutrality rules. *PC World*. Accessed from http://www.pcmag.com/article2/0,2817,2355059,00.asp

[2] Grant, B. (2009, October 8). Open access bill stalls in Congress. *The Scientist*. Accessed from http://www.the-scientist.com/blog/display/56046

[3] American Library Association. (2009). Action Alert. Accessed from http://capwiz.com/ala/callalert/index.tt?alertid=14256181

The University of Arizona - Strategic Plan Scorecard

Measure (Benchmark Fiscal Year)		UA	Peers' Median	1 Year Change UA	1 Year Change Peers'	Targets 2015	Targets 2020	Source
1. Expanding Access and Enhancing Educational Excellence								
Student Enrollment Head Count (2009)		38,057	43,246	2%	2%	45,200	51,500	IPEDS
Annual UG Tuition & Fees (2010)		$6,855	$8,314	24%	4%	$10,500	$13,300	IPEDS
Median Student Indebtedness Total (2008)		$18,025	$19,714	-1%	4%	$22,700	$26,000	CDS
# of AZ Assurance New Freshman (2010)		772	n/a	29%	n/a	810	850	UA-OIRPS
Student Diversity (2009)	% Minority	29%	22%	4%	4%	35%	40%	IPEDS
# of Degrees Awarded (2008)	Bachelors	5,612	7,089	1%	1%	7,100	8,100	IPEDS
	Masters & Specialist	1,418	2,059	1%	5%	1,680	1,800	IPEDS
	First Prof.	326	513	-8%	-7%	520	620	IPEDS
	Doctoral	451	655	-2%	0%	520	550	IPEDS
	Total	7,807	10,805	0%	2%	9,820	11,070	IPEDS
2. Increasing Achievements in Research, Scholarship, and Creative Expression								
Faculty Diversity (T/TE) (2009)	% Female	31%	30%	0%	-1%	34%	36%	IPEDS
	% Minority	17%	17%	6%	7%	20%	22%	IPEDS
UA Faculty Salary Market Comparisons, Weighted Average Salaries (2009)	Full	$114,485	$126,896	2%	4%	96%	100%	AAUP
	Associate	$79,512	$85,560	1%	3%	97%	100%	AAUP
	Assistant	$66,642	$74,486	-1%	4%	95%	100%	AAUP
Grad. & First Prof. Total Enrollment (2009)		8,338	10,672	2%	2%	9,220	10,000	IPEDS
Total R&D Expenditures, in $1,000s (2008)		$545,869	$584,170	3%	-1%	$773,000	$998,000	NSF
lty Awards (2007)		22	23	22%	-4%	27	30	Center
# of Nat'l Academy Members (2007)		30	32	-3%	-6%	36	40	Center
# of Post Docs. (2006)		384	416	12%	0%	470	500	Center
3. Expanding Community Engagement and Workforce Impact								
# of Invention Disclosures (2007)		104	165	16%	6%	165	170	UA-VPR
Public Service Expenditures, in $1,000s (2008)		$71,512	$107,882	10%	5%	$88,000	$102,000	IPEDS
# of Major Agreements for Licenses & Options (2007)		28	43	8%	-14%	58	64	UA-VPR
# of People Served by Coop. Ext. (2008)		309,619	n/a	22%	n/a	325,000	325,000	UA-Ag.
Endowment Assets, in $1,000s (2007)		$532,351	$1,582,207	14%	18%	$714,534	$1,048,336	Center
Annual Giving, in $1,000s (2008)		$153,960	$206,835	7%	13%	$170,000	$196,000	Center
4. Improving Productivity and Increasing Efficiency								
Bach. Degrees per 100 FTE Students (2008)		20	24	-1%	2%	21	22	IPEDS
Full Educational Cost per Degree (2008)		$63,300	$65,500	6%	2%	$77,900	$90,300	IPEDS
Undergraduate Graduation % Rates (2009)	4-Year Cohort Entering	**Fall '04**	**Fall '04**	6%	7%	**Fall '10**	**Fall '15**	IPEDS
	Total	34%	51%			36%	38%	
	6-Year Cohort Entering	**Fall '02**	**Fall '02**	2%	3%	**Fall '08**	**Fall '13**	IPEDS
	Total	57%	81%			60%	63%	
Freshman Retention % Rate (2010)	Actual Cohort Entering	**Fall '08**	**Fall '08**			**Fall '13**	**Fall '18**	IPEDS
	Resident	81%	n/a	1%	n/a	84%	86%	
	Non-resident	73%	n/a	-5%	n/a	78%	83%	
	Total	78%	92% estimated	-1%	0%	82%	85%	

THE UNIVERSITY OF ARIZONA.

Expanding Our Vision, Deepening Our Roots

This Progress Report assesses efforts to achieve the goals set out in the University's Strategic Plan.

To help guide decision making in the dynamic financial environment facing the University, we have chosen benchmarks to assess progress on four strategic priorities against our peers and our own goals. We also take into account ABOR's system redesign targets and 2020 Plan. These ambitious targets will require more resources than currently provided by the state, so strategic planning is both essential and difficult.

Strategic Priorities

1. Expanding Access and Enhancing Educational Excellence
2. Increasing Achievements in Research, Scholarship and Creative Expression
3. Expanding Community Engagement and Workforce Impact
4. Improving Productivity and Increasing Efficiency

1. Expanding Access and Enhancing Educational Excellence

Benchmark 1: Student Enrollment

Enrollments have increased by 2% annually. To meet the ambitious goals of the ABOR 2020 plan, substantial increases must come from off-campus enrollments. Though these programs have lower costs per student, projected increases require state investments that are not currently envisioned.

Benchmark 1	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
Student Enrollment (2009)	38,057	43,246	2%	2%	45,200	51,500

Benchmark 2: Annual Undergraduate Tuition and Fees

Even with an increase of 24% this year, student costs remain well below our peers. Given constraints on state funding, substantial increases in tuition will be required in the coming years to meet our goals.

Benchmark 2	UA	Peers Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
UG Tuition & Fees (2010)	$6,855	$8,314	24%	4%	$10,500	$13,300

Benchmark 3: Student Indebtedness

Compared to national norms, our students have limited state support, but their indebtedness matches, or is slightly lower than our peers. As tuition increases, we must make certain that adequate financial aid is available. Such aid is essential if we are to meet our goals of increasing access and diversity.

Benchmark 3	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
Median Student Indebtedness (2008)	$18,025	$19,714	-1%	4%	$22,700	$26,000

Benchmark 4: The Arizona Assurance Program

This scholarship program exemplifies the University's commitment to excellence and diversity. It is designed to assure that the University will be accessible to Arizona's lowest income families. To build on the achievements of this signature UA program, an 8% increase in annual funding is planned.

Benchmark 4	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
AZ Assurance Enrollments (2010)	772	n/a	29%	n/a	810	850

Benchmark 5: Student Diversity

The AZ Assurance Program is central to our continuing efforts to expand the diversity of our student population to provide opportunities to the diverse population of our state and region. These efforts continue to yield significant advances.

Benchmark 5		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
Student Diversity 2009	% Minority	29%	22%	4%	4%	35%	40%

Benchmark 6: Degrees Awarded

Professional and doctorate degrees declined slightly in the past year, while bachelor's and master's degrees increased slightly. To meet our ambitious targets, we must continue to improve retention, increase recruitment of better-prepared students, and expand our transfer pipeline.

Benchmark 6		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
Number of Degrees Awarded (2008)	Bachelors	5,612	7,089	1%	1%	7,100	8,100
	Masters & Specialist	1,418	2,059	1%	5%	1,680	1,800
	First Prof.	326	513	-8%	-7%	520	620
	Doctoral	451	655	-2%	0%	520	550
	Total	7,807	10,805	0%	2%	9,820	11,070

2. Increasing Achievements in Research, Scholarship and Creative Expression

Benchmark 1: Faculty Diversity (T/TE)

Little progress has been made in hiring and retaining outstanding faculty from underrepresented backgrounds. We must do better to compete for top candidates and retain outstanding performers.

Benchmark 1		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 | 2020 Targets	
Faculty Diversity (T/TE) (2009)	% Female	31%	30%	0%	-1%	34%	36%
	% Minority	17%	17%	6%	7%	20%	22%

Benchmark 2: Faculty Salary Market Comparisons

Although salaries rose slightly in the past year, we continue to lose ground to our peers. As a result, we lose some our best faculty, and are less competitive in hiring top candidates. Given limited state resources, we must seek to increase salaries with internal funding.

Benchmark 2		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
UA Faculty Salary (2009) Comparisons	Full	$114,485	$126,896	2%	4%	96%	100%
	Associate	$79,512	$85,560	1%	3%	97%	100%
	Assistant	$66,642	$74,486	-1%	4%	95%	100%

Benchmark 3: Graduate and First Professional Enrollments

Enrollments increased by 2% in the past year, but this rate of growth will not achieve our stated goal of enrolling 8,600 graduate and first professional students by 2020. A major impediment is the lack of resources available to fund graduate students and program development.

Benchmark 3	UA	Peers' Median	Peers' 1 Year Change		2015 |2020 Targets	
Grad. & First Prof. Enrollment (2009)	8,338	10,672	2%	2%	9,220	10,000

Benchmark 4: Total Research and Development Expenditures

We registered a modest gain in this area, though we are still behind our peers. The loss of key faculty remains a major threat for long-term growth in research funding.

Benchmark 4	UA	Peers' Median	1 Year Change		2015 |2020 Targets	
			UA	Peers		
Total R&D Expenditures (2008)	$545,869	$584,170	3%	-1%	$773,000	$998,000

Benchmark 5: Faculty Awards and National Academy Members

Complete records of faculty awards are not currently compiled. We appear to lag a bit behind our peers, though there is little we can do in the short run to change this trend given faculty salary issues.

Benchmark 5	UA	Peers' Median	1 Year Change		2015 |2020 Targets	
			UA	Peers		
Faculty Awards (2007)	22	23	22%	-4%	27	30
National Academy Members (2007)	30	32	-3%	-6%	36	40

Benchmark 6: Number of Postdoctoral Fellows

We improved on this benchmark, which is closely related to fields that generate external research funding. As with such funding, our progress in this area depends on retaining highly productive researchers, who attract and support excellent postdocs.

Benchmark 6	UA	Peers' Median	1 Year Change		2015 |2020 Targets	
			UA	Peers		
Post Doctorates (2006)	384	416	12%	0%	470	500

3. Expanding Community Engagement and Workforce Impact

Benchmark 1: Number of Invention Disclosures

In 2007 disclosures increased 16%, from 90 to 104. This year, the number of disclosures of inventions rose another 26% as a result of increased personnel charged with assisting faculty with technology transfers. These increases are on track to achieve the goal of meeting the peer median by FY2012.

Benchmark 1	UA	Peers' Median	1 Year Change		2015 |2020 Targets	
			UA	Peers		
Invention Disclosures (2007)	104	165	16%	6%	165	170

Benchmark 2: Public Service Expenditures

We gained ground in this area over the past year, but remain well behind our peers. As with other benchmarks, investments from the state are essential if we are to expand our services to the state.

Benchmark 2	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Public Service Expenditures (2008)	$71,512	$107,882	10%	5%	$88,000	$102,000

Benchmark 3: Major Agreements for Licenses and Options

The number of agreements between university researchers and external partners increased by 34%. Licenses and options on technologies increased 13%. These innovations involved varied business and community partners, including seven new start-ups based on technological advances at the University.

Benchmark 3	UA	Peers' Median	Year Change UA	Year Change Peers	2015 |2020 Targets	
Major Agreements for Licenses & Options (2007)	**28**	**43**	**8%**	**-14%**	**58**	**64**

Benchmark 4: Number of People Served by Cooperative Extension

Cooperative Extension programs reflect the range of services provided by the University to industries, communities, and families. Cooperative Extension helps people apply research to their everyday needs. These programs leverage over one dollar of outside funding for every state dollar invested.

Benchmark 4	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
People Served by Cooperative. Ext. (2008)	**309,619**	**n/a**	**22%**	**n/a**	**325,000**	**325,000**

Benchmark 5: Endowment Assets

As more recent data become available, market trends will show a decrease in this area for the University, as for our peers. Even more critical, our endowment is less than 34% of that of our peers. To build our endowment, we must build on the reforms implemented over the past two years.

Benchmark 5	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Endowment Assets, in $1,000s (2007)	$532,351	$1,582,207	14%	18%	$714,534	$1,048,336

Benchmark 6: Annual Giving

Fiscal 2008 was a record year for private donations to the University, with almost $154 million raised, representing a 7% increase over fiscal 2007. Gift revenue increased steadily over the last two years, with a 42% increase from 2004 to 2007 and a 27% increase from 2005 to 2008. More resources need to be invested in working from our database of over 640,000 donors.

Benchmark 6	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Annual Giving, in $1,000s (2008)	**$153, 960**	**$206,835**	**7%**	**13%**	**$170,000**	**$196,000**

4. Improving Productivity and Increasing Efficiency

Benchmark 1: Bachelor Degrees per 100 FTE Students

Planned increases in our four and six year graduation rates will result in improvements in this measure.

Benchmark 1	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Bachelors per 100 FTE Students (2008)	20	24	-1%	2%	21	22

Benchmark 2: Cost per Degree

The Transformation Plan and other reforms are helping us to improve our efficiency and should lower our cost per degree. Reorganizations and realignments of program are one way we are working to improve educational quality and increase research productivity while reducing costs.

Benchmark 2	UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Full Educational Cost per Degree (2008)	$63,300	$65,500	6%	2%	$77,900	$90,300

Benchmark 3: Undergraduate Graduation Rates

Four-year graduation rates have improved but still lag behind some of our peers, largely because we educate a broader range of students. To meet our goals, we must continue to devote substantial resources to recruiting highly qualified students and to improving support for all our students.

Benchmark 3		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Undergraduate Graduation % Rates (2009)	4 YR Cohort Entering	Fall '04	Fall '04	6%	7%	Fall '10	Fall '15
	Graduation Rate	34%	51%			36%	38%
	6 YR Cohort Entering	Fall '02	Fall '02	2%	3%	Fall '08	Fall '13
	Graduation Rate	57%	81%			60%	63%

Benchmark 4: Freshman Retention Rate

Our resident student retention rate rose slightly to 81%. Our overall retention rate dipped from 79% to 78% as a result of a drop in the non-resident rate from 78% to 73%. In Arizona as in other states, students are returning to their home states as a result of continuing financial problems.

Benchmark 4		UA	Peers' Median	1 Year Change UA	1 Year Change Peers	2015 |2020 Targets	
Freshman Retention % Rate (2010)	Actual Cohort Entering	Fall '08	Fall '08			Fall '13	Fall '18
	Resident	81%	n/a	1%	n/a	84%	86%
	Non-resident	73%	n/a	-5%	n/a	78%	83%
	Total	78%	92% (estimated)	-1%	0%	82%	85%

Budget Redesign Glossary

Responsibility Centered Management

- Budget redesign is based on a responsibility centered management (RCM) model.
- RCM is a financial philosophy that:
  - Focuses on increased operational decentralization
  - Allows the budget to more clearly follow priorities
  - More closely aligns decision-making authority with responsibility
  - Distributes both revenues and costs to the responsibility center

Responsibility Centers: Units that generate revenues, often times colleges. Our budget redesign system will distribute both tuition and costs to colleges.

Tuition: The amount of tuition dollars after reductions for financial aid, including set-asides, waivers, and QTRs (waivers for employees and dependents).

Cost allocation: Responsibility centers (colleges) are charged for a portion of the costs of services and common goods provided by the university (*for example: a charge for library services based on the library's budget from state funds*).

Cost pools and allocation bases: The aggregate costs for specific services or goods and the basis for their allocation (*for example: library services total cost could be allocated to colleges based on student headcount, and housekeeping total cost could be allocated based on the total square feet of building for a college*).

State appropriations: Funds allocated by the Arizona legislature from the legislature's general funds.

Central development pool: Most RCM systems include a pool of funds that the President and Provost use to make strategic investments.

Budget neutral: RCM models include tuition flows and cost allocations. The first year of implementation, each college's budget will be based on its size in prior periods, but it will be augmented by an amount for cost allocations. The first year, the cost allocation charges will equal the amount added to the budget. This budget will also provide new information about the proportion that is supported by tuition. In future years, the tuition portion of the budget will increase and decrease in a formulaic manner based on increases or decreases in student credit hours and number of majors. The cost allocations will also change in a formulaic manner based on the cost pools and the allocation bases.

Examples of cost allocation pools and bases from other universities

University of Minnesota

Cost Pools	Allocation Base
Utilities	Actual consumption
Custodial/Operations	Assignable square feet
Debt and leases	Actual cost
Libraries	Weighted student/faculty headcount
Research	3 year sponsored expenditures
Information technology	Headcount
Student Services	Student headcount
Central Administration	Expenditures
General purpose classrooms	Course registrations

Iowa State

Cost Pools	Allocation Base
Administration	Faculty FTE
Libraries	Weighted average headcount
Research	3 year sponsored expenditures
Student Services	Student headcount
Business Services	Faculty/staff FTE
Facility services	Assignable square feet

University of Michigan

Cost Pools	Allocation Base
Utilities	Actual consumption
Plant operations (landscape, custodial, etc.)	Assignable square feet
Rent expense	Charged to unit
Research	9% of externally sponsored research expenditures
Administration	Colleges pay 24% of general expenditures, research units pay 21% (excluding sponsored research)

Developing a Comprehensive Faculty Evaluation System

Lawrence M. Aleamoni, Ph.D.

Introduction

The development of a comprehensive faculty evaluation system is a challenging and time-consuming process. There is no shortcut that will lead to a valid, fair, and useful system although some procedures have been successful in accelerating the process somewhat. However, the process of developing a fair and valid faculty evaluation system requires that the administration be committed to the project and be willing to provide the necessary support for the work that needs to be done. Experience has shown that following the steps described below for *developing* a faculty evaluation system greatly facilitates the process. The faculty evaluation system, developed using the steps herein, will have the greatest probability of acceptance and successful use by the faculty and administrators, because both constituencies will have had early and ample input to its design and construction.

The reason for this is that the design of any successful faculty evaluation system must be predicated upon and reflect the values, priorities, traditions, culture, and mission of the institution. Unless the faculty evaluation system adequately reflects and includes these issues in its design, it is unlikely to be accepted by the faculty or function appropriately from an administrative perspective. Simply adapting or adopting the forms and procedures developed by one institution does not guarantee those forms and procedures will work at another institution.

The *process* for developing a faculty evaluation system described herein assumes that there is no one best faculty evaluation system that could be successfully applied to any and all colleges and universities. To that extent, then, the steps for developing a comprehensive faculty evaluation system described herein may be considered a *proven process* for developing a customized faculty evaluation system rather than a best practice.

Experience has shown that a necessary part of the process of developing a successful faculty evaluation system is the planned and systematic inclusion of faculty input. In this regard the best approach to developing a faculty evaluation system is to appoint a committee composed primarily of faculty, a few key administrators, and perhaps even a student or two (depending on the institution's culture and traditions), which is responsible for gathering the information and following the steps outlined herein. Thus, the various steps in the process described herein refer to the *Committee* as the operational entity carrying out the process. If the process is carried out primarily, or exclusively, by a single administrator or by an administrative group, the probability of a successful outcome is greatly reduced.

The process of developing a faculty evaluation system involves attending to the technical requirements of good measurement and the political process of gaining the

confidence of the faculty. Thus, a well-designed comprehensive faculty evaluation system may be defined as one which involves the

> systematic observation (measurement) of relevant faculty performance to determine the degree to which that performance is consonant with the values of the academic unit.

By design, any faculty evaluation system developed using the model described herein interprets all measurement data by means of a predetermined, consensus-based value system to produce consistent evaluative outcomes.

It should be noted that faculty evaluation and professional enrichment are really two sides of the same coin. Ideally, faculty evaluation programs and professional enrichment programs should work hand-in-hand. If some aspect of faculty performance is to be evaluated, then there should exist resources or opportunities that enable faculty to gain or enhance their skills necessary for that performance. For maximal self-improvement effect, faculty evaluation systems must be linked to professional enrichment programs.

A successful faculty evaluation system must provide 1) meaningful feedback information to guide professional growth and enrichment and 2) evaluative information on which to base personnel decisions. These two purposes can be well served by one system. The key to constructing a system that serves these differing purposes is in the policies determining the distribution of the information gathered. The general principle to be followed is that detailed information from questionnaires or other forms should be given exclusively to the faculty member for use in professional enrichment and growth efforts. However, aggregate data that summarize and reflect the overall pattern of performance over time of an individual can and should be used for such personnel decisions as promotion, tenure, continuation, and merit raise determination.

Steps to Follow

Step 1: Determining the Faculty Role Model

The objective of Step 1 is to have each department identify and define the roles faculty play in the department. This is determined by taking an inventory of the actual activities in which the faculty engage in pursuing their professional responsibilities. In this step faculty can generally easily identify the activities that, for them, define the traditional roles of teaching, scholarly and creative activities, service, and administration or management. Experience has shown that faculty may also identify other important roles that must be included in the design of the faculty evaluation system. (Figures 1, 2, and 3 contain some examples).

In carrying out Step 1 department faculty meetings, coordinated by the Committee, should be held so that faculty can complete FORM 1A and FORM 1B. These forms ask the faculty to 1) list all the activities in which they engage in carrying out their daily professional responsibilities, and 2) group these activities so that the activities associated with specific roles (e.g., teaching) are clearly identified. This procedure is critical for two reasons. First, it serves to fully engage the faculty in the

development of the faculty evaluation system from the outset, which begins the process of building confidence in and faculty acceptance of the final product. Second, it provides an organized method for reflecting disciplinary differences in the design of the faculty evaluation system. For example, faculty in a physics department may define teaching as including such activities as "demonstrating the proper calibration procedure for a mass spectrometer" or "giving a lecture," while faculty in an agriculture outreach department may define teaching as including such activities as "consulting with the farmer on proper irrigation techniques during breaks in planting." Thus, although the faculty within an institution may all be responsible for carrying out the roles of teaching, scholarly and creative activities, and service, the specific activities that constitute the performance of those roles will vary significantly according to the faculty member's discipline. In order to ensure that the final faculty evaluation system is seen as fair, it must be recognized at the outset that the specific faculty performances that will be measured and evaluated may differ significantly from department to department, discipline to discipline. Step 1 provides us with the fundamental information that will later be required in the design of the various forms or other measurement tools and procedures that will be used in the evaluation system. Since the development of these forms will be based on activity descriptions the faculty themselves provide, they will have a more immediately recognizable validity.

By starting with the listing of activities in which faculty actually engage in pursuit of their professional assignments, the institution's true operational faculty role model may be determined. The operational institutional faculty role model becomes the foundation upon which the entire faculty evaluation system will be built. That is, instead of simply defaulting to the traditional teaching, research, and service faculty role model, beginning with the actual faculty performances provides us with a more accurate and complete definition of the roles faculty play as they pursue their various professional responsibilities within the institution. In addition, faculty are able to see their input being considered in the development of the evaluation system from the very beginning. Constructing this foundation with the detailed input of the faculty begins the political process of gaining faculty acceptance of the final design of faculty evaluation system and the technical process of designing the measurement tools to be used.

Figure 1: Partial List of Possible Faculty Roles With Examples of Defining Activities

TEACHING

Instructional Design

1. Developing course materials (e.g., handouts, slide presentations)
2. Developing computer simulations or exercises
3. Designing strategies for experiential learning events

Instructional Delivery

1. Delivering lectures
2. Operating chat room for online course
3. Facilitating small-group experiential learning events

Instructional Assessment

1. Developing written examinations
2. Grading examinations
3. Judging music recitals

SCHOLARLY & CREATIVE ACTIVITIES

Proficiency

1. Attending advanced workshops in your discipline
2. Acquiring advanced certification in your discipline
3. Pursuing postdoctoral work
4. Continuing Education credits in your field

Discovery/Creative Activities

1. Conducting basic research in your field
2. Writing a play, opera, or novel (if your field is theater, music, or English Literature, respectively)

Dissemination (of information in your discipline)

1. Books, monographs, etc.
2. Journal and magazine articles
3. Presenting recitals and exhibitions
4. Staging, directing, or acting in musical, theatrical, and dance productions
5. Exhibiting paintings, sculptures, and other creative arts
6. Writing Reviews, critiques
7. Popular press/media presentations (television, audio broadcasts, etc.)
8. Professional/keynote addresses, delivery of papers, poster sessions

Translation

1. Conducting applied research to produce a practical, useable, product, procedure, or service
2. Inventing and patenting a new product based on previous research (either your own or others')
3. Developing a clinic protocol for treatment of a specific disease based on the use of newly developed drugs or medical technology

PROFESSIONAL RECOGNITION

1. Awards, honors
2. Invited presentations/keynote addresses
3. Consulting activities

SERVICE

To the Institution

1. Serving on department, college, or university committees
2. Serving on the faculty senate
3. Chairing any committee (student, faculty, etc.)
4. Serving as a sponsor for student activities/groups
5. Advising students on programs of study
6. Sponsoring or advising student groups
7. Chairing master's or doctoral supervisory committees
8. Serving on master's or doctoral supervisory committees

To the Profession

1. Holding office in professional organization (president, secretary, treasurer, etc.)
2. Serving as journal reviewer, editor
3. Coordinating national conferences or meetings of the organization

To the General Community

Applying academic expertise in the local, state, or national community without pay or profit

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Figure 2: Copies of this form (FORM 1A) are used to gather preliminary information from individual faculty to begin the process of defining specific roles in terms of the actual activities in which faculty engage.

FORM 1A: Individual Activities List

Use this form to list the activities in which you engage in your various roles as a faculty member. Do not write narratives but, rather, write two-, three-, or four-word short descriptions of your activities. For example:

1. *Grade exams*
2. *Serve on admissions committee*
3. *Develop PowerPoint presentations*
4. *Advise student chess club*

1.	26.
2.	27.
3.	28.
4.	29.
5.	30.
6.	31.
7.	32.
8.	33.
9.	34.
10.	35.
11.	36.
12.	37.
13.	38.
14.	39.
15.	40.
16.	41.
17.	42.
18.	43.
19.	44.
20.	45.
21.	46.
22.	47.
23.	48.
24.	49.
25.	50.

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Figure 3: Copies of this form (FORM 1B) are used to consolidate the listings of the activities (provided by faculty on FORM 1A) into discrete sets of activities that define the performances within the various professional faculty roles (e.g., teaching, scholarly and creative activities, service, etc.) for the department.

FORM 1B: Role Names With Brief Definitions and Defining Activities

Department:_____

Directions: In the spaces below indicate the name(s) of the role(s) the department has identified based on the lists provided by individual faculty on FORM 1A. Provide a short definition/description of the role in the space provided below the role name. Below each role name list the activities and/or professional performances that further define and specify the role. Each department must submit a final FORM 1B that represents the faculty's consensus.

Role Name	Role Name
*Brief definition:*_____	*Brief definition:*_____
Activities Defining this Role	*Activities Defining this Role*
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.
11.	11.
12.	12.
13.	13.
14.	14.
15.	15.
16.	16.
17.	17.
18.	18.
19.	19.
20.	20.

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Step 2: Determining Faculty Role Model Parameter Values

At the completion of Step 1, each department will have recommended which faculty roles they believe ought to be evaluated. In addition, by completing FORM 1B (Figure 3), each department will have also provided a brief definition of each role and an indication of the specific activities that operationally define it. The objective of Step 2 is to begin the process of defining the value structure on which the evaluation system will ultimately be based. In this step the department begins to establish and specify the relative importance of each role to the department/institution. Here faculty are asked to determine how much value or weight they believe should be placed on each role in the faculty role model that resulted from their work in Step 1. For example, assume that teaching, scholarly and creative activities, and service are the three roles of the faculty role model for a given institution. Which of these roles is valued the most? Which the least? What is the priority order of this set of roles for the institution? Generally, teaching is said to be the most valued role. However, in reality, when it comes time for promotion, tenure, and other personnel decisions, we often find that research (just one expression of scholarly and creative activities) is valued more than teaching – or at least more than was originally thought or intended. Therefore, it is important to establish, in some more rigorous and specific fashion, the relative values of these different roles.

Faculty role models can take one of two forms relative to their use in a faculty evaluation system – static or dynamic. Figure 4 is an example of a traditional static faculty role model.

Figure 4: Sample Static Faculty Role Model

Teaching	40%
Research	40%
Service	20%

In a traditional static faculty role model not only is the scholarly and creative activities role expressed as only one specific activity (research), performance in each role carries the same specified proportion of weight or impact on the total evaluation for every faculty member. That is, in the example above, 40% of every faculty member's overall evaluation will be based on their teaching performance, 40% on their research, and 20% on their service performance.

Colleges and universities have tended to use traditional static faculty role models such as the one in Figure 4. However, static faculty role models are inherently unfair when used in defining a faculty evaluation system. Static faculty role models have as their underlying premise that all faculty will be held accountable in the same degree for performance in all three major faculty roles. This assumption would be appropriate if all faculty had precisely the same set of professional responsibilities, duties, and resources. Realistically, however, we know that some faculty have professional responsibilities that concentrate heavily on teaching, while others may have substantial assignments and commitments to various service activities. Still others may have

substantial amounts of their time, energy, and resources tied up in various scholarly and creative activities, including research. In addition, within any institution, a wide variety of opinions concerning the relative value of the roles which faculty play exists among the faculty and administration. Some hold teaching to be of primary importance, some hold research to be of greatest importance, and others (especially faculty with large advising or committee responsibilities) maintain that service is the most important faculty role.

Static faculty role models derive from a desire by every academic institution to achieve excellence in their primary missions of teaching, scholarship, and service. This desire has generally been translated into faculty evaluation systems that require every faculty member to achieve excellence in all (or at least two of the three) roles. As noted earlier, however, this expectation is unreasonable at best and grossly unfair at worst. This expectation is analogous to expecting that every class admitted to the institution will be made up of students who were valedictorians, captains of their (basketball, swimming, soccer, etc.) team, and achieved prominence in their community as model charitable citizens. Although we might be able to make up a couple of classes like that, we couldn't hold that expectation for every class admitted.

Obviously, a static faculty role model cannot adequately represent the reality of the diversity of responsibilities and values of the faculty in a faculty evaluation system. In order to develop a fair faculty evaluation system a better approach is to define a dynamic faculty role model that establishes parameter values for each role. That is, determine the minimum and maximum weights that could be assigned to a role within the institution's faculty evaluation system to adequately represent the full scope of configurations of professional responsibilities and assignments. Thus, in developing a comprehensive faculty evaluation system that furthers the institutional goal of achieving excellence in teaching, scholarship, etc., the evaluation system must be designed to permit a *differentiated staffing model* for faculty: It must enable faculty to play to their strengths and be recognized and rewarded appropriately. A differentiated staffing model permits faculty who are excellent teachers to engage primarily in teaching, permits faculty who are excellent in scholarly and creative activities to engage primarily in pursuing various expressions of scholarship or creation, and so on. A faculty evaluation system based on a dynamic faculty role model enables faculty to play to their strengths and be appropriately recognized. In reality, then, a differentiated staffing model can facilitate an institution's goal of achieving excellence in its major missions of teaching, scholarship, and service by focusing the talents of faculty.

Figure 5 shows a dynamic faculty role model developed by one institution using the process described here. Note that values or weights for the teaching role range from a minimum of 50% to a maximum of 85%. This is interpreted to mean that teaching performance can count *no less* than 50% and *no more* than 85% of the final evaluation of a faculty member's overall performance. This does *not* necessarily mean that a faculty member may have a 50% to 85% teaching load or that they spend 50% to 85% of their time teaching. Rather, these numbers are an expression of how much impact or weight performance in the role of teaching can have on the faculty member's overall evaluation. Although there should be some correspondence between the configuration of professional duties a faculty member may have and the value selected for each role in the final evaluation, it is generally *not* recommended that such values be directly associated with the number of hours spent by the faculty member engaged in any one

role or activity within a role. To define the faculty evaluation system in that way would tend to reduce faculty to hourly employees rather than professionals. As professionals faculty should be recognized on the basis of the importance or value of the professional service they provide, not on the basis of how long it took them to provide that service. Thus, in the example of a dynamic faculty role model shown in Figure 5, an individual faculty member may or may not have a full-time teaching load, but the value associated with teaching performance in this evaluation system could range from 50% to 85%.

Figure 5: Example of a Dynamic Faculty Role Model

Minimum Weight (%)	Faculty Role	Maximum Weight (%)
50%	Teaching	85%
0%	Scholarly/Creative Activities	35%
10%	Service to the College	25%
5%	Service to the General Community	10%

In this step in building a comprehensive faculty evaluation system, each department should do the initial work of developing a dynamic faculty role model that reflects the activities and values of the faculty and administration of that department. It is possible for different departments to develop somewhat different preliminary faculty role models. Later, it will be the task of the Committee to analyze and reconcile the various faculty role models from different departments in completing the design of the institution's overall faculty role model.

Similar to Step 1, before initiating Step 2 the Committee must determine whether any administrative mandates exist that may proscribe the process. For example, an institution's board may have issued a policy or administrative mandate specifying that at least 50% of a faculty member's evaluation will be based on teaching. Or, the institution's president may have established the principle that all faculty must engage in some form of service to the community – which would mandate not only the inclusion of a "service to the general community" but also some minimum value other than 0%. Such administrative mandates must be made clear to all concerned prior to starting Step 2.

Step 3: Defining Roles in the Faculty Role Model

The definition of the specific roles in which faculty engage is the last step in the process of building the faculty role model upon which the evaluation system will be based. As noted earlier, it is assumed that a specially appointed Committee will coordinate the detail work associated with this project. Step 3 involves reaching a consensus on how each of the roles identified and briefly defined in the previous steps are to be completely defined. For example, the role of teaching will readily be agreed upon. However, faculty from different disciplines or with different styles may mean different things when they use the word "teaching." Teaching a basic psychology course in a large lecture hall is different from teaching a lab course in biology is different from

teaching a vocational course in air conditioner manufacturing on the floor of a factory. Teaching a graduate course is different from teaching an undergraduate course. Some faculty define meeting and counseling with students as part of teaching. Librarians consider the orientation seminars they give to students and new faculty as teaching. Thus, to say we are going to evaluate teaching doesn't necessarily mean the same thing to everyone – even though we may all agree that it is important to evaluate it.

If we are going to evaluate faculty performances in carrying out these aspects of teaching it is necessary to consider not only the precise performances to be carried out, but also the specific skills required to do so. For example, although it is obvious that faculty must know the subject matter being taught we find that *content expertise, although necessary, is insufficient for good teaching*. Faculty must be able to design instructional experiences so that there is some assurance that learning will occur when students engage the experience. They must also be able to present that subject matter so that it piques student interest and encourages them to learn, and they must be able to provide meaningful feedback on student learning. Of course, teachers must also successfully deal with the myriad of bureaucratic tasks involved in managing a course, including: ordering laboratory supplies and maintaining inventories, making arrangements for guest lecturers, reserving library materials, arranging and coordinating field trips, turning in drop/add slips and final grades on time and posting and maintaining office hours.

Thus the total teaching act involves being able to interact with students to 1) provide them an opportunity to learn; 2) create conditions that support and facilitate learning; and, 3) utilize techniques and methods that, although not causing learning, at least create a high probability that learning will occur. Also, it is obvious that the teacher must have expertise in the content being taught.

From this examination at least five broad skill dimensions required for teaching emerge:

- Content expertise
- Instructional design skills
- Instructional delivery skills
- Instructional assessment skills
- Course management skills

Before specific performance-oriented definitions of each of these dimensions of teaching can be developed, we must first develop an overarching general definition of the term *teaching* and then develop more specific definitions of *learning* and *instruction*. See Figure 6 for an example.

Figure 6: FORM 3B on which departments may summarize the definitions of each role and the definitions of each identified component of each role

FORM 3B: ROLE AND ROLE COMPONENT SUMMARY

(Use as many sheets as needed to summarize all defined roles and their components)

Department or Discipline Group Name:_____

List each role and write its general definition as identified in FORM 1B. List the components of each role and include a brief description of the component as indicated on FORM 3A. Each group must prepare a copy of FORM 3B that summarizes the group's consensus on the names of the roles, their definitions, the names of their components, and brief component definitions.

Example:

Role: TEACHING	Components	Component Definitions (Brief)
Role Definition: *Engaging in specifically designed interactions with students that facilitate, promote, and result in specific student learning.*	Instructional Design	*Syllabus, grading standards, learning objectives*
	Instructional Delivery	*Presentation skills, clarity of speech, use of media*
	Instructional Assessment	*Valid & reliable exams, timely feedback*
	Content	*Currency, accuracy, appropriate level*
	Resource Management	*Availability of learning support materials, proper physical environment*
Role:	Components	Component Definitions (Brief)
Role Definition:		
Role:	Components	Component Definitions (Brief)
Role Definition:		
Role:	Components	Component Definitions (Brief)
Role Definition:		

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Step 4: Determining Role Component Weights

At this point, you will have developed definitions for the various roles in your faculty role model (Step 3). You will also have determined the relative impact or parameter values that the different roles can take in the overall evaluation of a faculty member (Step 2). Depending upon the definitions developed for each role in Step 3, you may have also identified specific subsets of performances or *components* of various roles. For such roles it now becomes important to consider how much weight or relative importance the various components of each role should have in the overall evaluation of that specific role. That is, we must express the proportion or weight that will be given to the performance of each component in the evaluation of the total role.

In carrying out the procedure for establishing the weights for the components of each role we must consider three different cases:

- *Case 1.* Performance in every component is required with weights of each component fixed.

- *Case 2.* Performance in some components is required and performance in others is optional (with weights for the components either fixed or variable).

- *Case 3.* The role is compromised of a menu of optional components (with either fixed or variable weights) from which the faculty member must select as the defining role.

To aid in the process of determining the role component weights we begin using a tool that will play an important part in the final design of our system – the Source Impact Matrix. This tool enables us to control the effect of the subjective data gathered as part of the overall evaluative process. The full Source Impact Matrix will be completed in Step 6; however, at this point it is used to begin indicating the values you wish to associate with the various components of each role. Figure 7 shows a worksheet variation of a Source Impact Matrix that includes examples of selected component weights for the teaching role in which performance in each component is required (since it fully defines the role), and the values or weights associated with each component have been determined and are fixed.

Note that in Figure 7 content expertise has not been listed although it was earlier defined as one of the five components of teaching. The reason for this is that the content expertise of the instructor is not going to be evaluated separately here but as part of the fabric the entire teaching role as expressed in the design, delivery, and assessment components. The currency, level, and appropriateness of the content presented in the course will be reflected in the design of the instruction (instructional design), the strategies used to deliver the instruction (instructional delivery), and the design and development of the tests and other assessment devices and strategies (instructional assessment).

Figure 7: Example of a Case 1 worksheet version of the Source Impact Matrix in which the components of Teaching and their fixed weights are shown

Source Impact Matrix Worksheet for Teaching							
Role Components	Sources						*Component Weight*
	??		??		??		
	Source Weight	*Impact Weight*	Source Weight	*Impact Weight*	Source Weight	*Impact Weight*	
Instructional Design							40%
Instructional Delivery							30%
Instructional Assessment							25%
Course Management							5%
TOTAL Source Impact Weights							*100%*

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Step 5: Determining Appropriate Sources of Information

In Steps 1-4, we focused on determining and defining the roles that should be evaluated, how much weight or value should be placed on the performance of each role in the overall evaluation, and how much weight the individual components of each role contribute in the evaluation of that role. The next step is to decide who should provide the information on which the evaluations will be based. Too frequently students are automatically selected as the sole or primary source of information used in a faculty evaluation system. Students are certainly appropriate sources of information for certain kinds of activities, but they are by no means always the best source of information for all the activities in which the faculty engage and on which they may be evaluated. The most important principle in identifying and selecting sources of information is to make certain that the source identified has first-hand knowledge of the performance being evaluated. Too often peers or administrators are included in the evaluation of a faculty member's classroom performance when they have never, or rarely, seen that performance. However, peers and various administrators often believe they have a good idea of the quality of such performance. The question is where did they get the information on which their belief or opinion is based? The answer is almost always "from students." If you are ultimately going to depend upon students for information, go directly to the source – don't rely on second-hand information. Using second-hand information may give the random, or non-systematically obtained, input of a few students an inordinate effect on a faculty member's evaluation.

Here we will use another worksheet variation of the Source Impact Matrix developed in Step 4, for each of our roles. That is, we need to begin determining who are the most appropriate sources of information concerning each of those activities by

means of an analysis of the specific component activities that define each role. This is an activity that should be undertaken by the Committee only. Figure 8 shows a simplified example of a completed Source Impact Matrix worksheet appropriate for the teaching role as defined earlier (see Figure 7).

Figure 8: Simplified Source Impact Matrix worksheet for identifying the sources of information for each component of the Teaching Role

Source Impact Matrix for: TEACHING				
Simplified Worksheet for Step 5				
Role Components	Sources			
	Students	Peers	Dept. Chair	_____
Instructional Design	YES	YES	NO	
Instructional Delivery	YES	NO	NO	
Instructional Assessment	YES	YES	YES	
Course Management	NO	NO	YES	

Step 6: Determining the Source Impact Weights

In any well-designed faculty evaluation system, the evaluative judgments concerning faculty performances in the various expressions or components of the roles should be based on information derived from multiple sources. The issue of the appropriateness of those sources is addressed in Step 5. Having determined where this information is to come from, now the issue of the credibility of those sources needs to be addressed. Thus, specify the *weight* or *impact* the information from each source will have in the overall evaluation. In completing Step 6 two separate tasks must be accomplished: 1) determining the individual source weights based on the values of the faculty, and then 2) computing the final source impact weights for the system. The objective of Step 6 is to specify how much impact information from each source will ultimately have on the overall evaluation system.

Remember that the essence of a workable faculty evaluation system is that the value structure implicit in the system be clearly evident and agreed upon by the majority of the faculty being evaluated. If this is not the case, the system, no matter how technically correct its structure, has little chance of long-term success. Thus, in determining the impact of weights for the various sources that are to provide information concerning faculty performances in each of the components of each role, it is best to follow the same general procedure of gathering data from the faculty as described in earlier steps.

- DETERMINING THE SOURCE WEIGHTS

It is a normal human characteristic to consider information from some sources as more important or valuable than information from other sources. It is this issue that is addressed in Step 6. In previous steps we determined the values we wished to associate with the roles in the faculty role model as well as the values we wished to assign to the components of those roles. In this step we will establish the values we

wish to associate with the identified sources of information from each component of each role. That is, we must now build into our value system a reflection of the fact that people assign different value to information depending upon its source.

In deciding what values are to be associated with each source for each component it is recommended that the Committee make worksheet versions of each matrix developed in Step 5. These worksheets may then be distributed to the departments to once more gather value information from the faculty. These worksheets should include the previously determined role components and identifiable sources but leave a blank space for faculty to enter a value or weight figure. Figure 9 shows an example of such a worksheet for use in gathering faculty input concerning the weights to be placed on the previously identified sources of information for each component of the teaching role.

Figure 9: Example of a Source Impact Matrix worksheet for Step 6 showing Source Weights for teaching role components

Source Impact Matrix Worksheet for Step 6							
Source Weight Specification Form							
Role Components	Sources						Total of Role Component Weights
	Students		Peers		Dept. Chair		
	Source?	*Weight*	*Source?*	*Weight*	*Source?*	*Weight*	
Instructional Design	YES	25%	YES	75%	NO	0%	= 100%
Instructional Delivery	YES	100%	NO	0%	NO	0%	= 100%
Instructional Assessment	YES	20%	YES	50%	YES	30%	= 100%
Course Management	NO	0%	NO	0%	YES	100%	= 100%

Arreola, R. A. (2007). *Developing a comprehensive faculty evaluation system* (3rd ed.). Bolton, MA: Anker.

- DETERMINING THE SOURCE IMPACT

To this point we have reflected the credibility of various sources of information by gathering from the faculty the individual source weights for each role. Also, previously in Step 4, we reflected the relative importance of each of the defining components for every role by determining the role component weights. The purpose of these exercises was to lead us to the point of determining (and thus permitting us to specify and control) the total impact information from each source would have on the overall evaluation of a faculty member. Now we must determine our final source impact weights by using the full Source Impact Matrix that is designated as FORM 6B in Figure 10.

Figure 10: Full Source Impact Matrix for the Teaching Role with computed source impact weights

FORM 6B: FULL Source Impact Matrix for: TEACHING							
Role Components	Sources						*Component Weight*
	Students		Peers		Dept. Chair		
	Source Weight	*Impact Weight*	*Source Weight*	*Impact Weight*	*Source Weight*	*Impact Weight*	
Instructional Design	25%	*10%*	75%	*30%*	0%	*0%*	40%
Instructional Delivery	100%	*30%*	0%	*0%*	0%	*0%*	30%
Instructional Assessment	20%	*5%*	60%	*15%*	20%	*5%*	25%
Course Management	0%	*0%*	0%	*0%*	100%	*5%*	5%
TOTAL Source Impact Weights		*45%*		*45%*		*10%*	100%

Step 7: Determining How Information Should Be Gathered

Once the sources of the information for the evaluation system and their impact weights have been determined, we begin moving into the less political and more technical area of measurement. It is best at this point to enlist the aid of those people on your faculty whose area of expertise is tests and measurement. They will certainly be required in the next step, and it is generally a good idea to have this expertise represented on the Committee in the first place if possible.

In this step, we set about determining how the information we have specified in our role definitions is to be gathered from the sources we have identified and agreed are appropriate. This is a relatively simple process. However, it does not require a careful review of the roles and development of an operational plan for the final faculty evaluation system. In completing this step, we will make use of a new matrix worksheet, the Data-Gathering Tool Specification Matrix designated as Form 7. Figure 11 shows an example of a completed Data-Gathering Tool Specification Matrix (FORM 7) for the teaching role.

Figure 11: Example of a Completed Data-Gathering Tool Specification Matrix for the Teaching Role

FORM 7: Data-Gathering Tool Specification Matrix for: TEACHING						
Role Components	Sources					
	Students		Peers		Dept. Chair	
	Source?	*How?*	*Source?*	*How?*	*Source?*	*How?*
Instructional Design	YES	*Rating Form*	YES	*Peer Analysis of Syllabus and Course Materials*	NO	
Instructional Delivery	YES	*Rating Form*	NO		NO	
Instructional Assessment	YES	*Rating Form*	YES	*Peer Analysis of Exams*	YES	*Review of Grading Practice*
Course Management	NO		NO		YES	*Checklist*

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Step 8: Completing the System: Selecting or Designing Forms, Protocols, and Rating Scale

We now arrive at the last step in developing a comprehensive faculty evaluation system – designing the questionnaires and other forms. Constructing valid and reliable rating forms, questionnaires, or other tools needed to implement the data-gathering strategies specified in Step 7 is a complex technical task requiring expertise in psychometrics. It must be remembered that what is being developed are tools to measure, in a valid and reliable way, complex psychological phenomena (e.g., opinions, reactions, observations, rankings, etc.). Even selecting published forms or other commercially available tools requires fairly sophisticated psychometric skills in order to adequately assess their appropriateness and utility for the faculty evaluation system one has designed.

Overall Composite Role Rating

At this point one is ready to begin using the system. The task now is to combine all the data resulting from the system into a usable form. Previously it was determined that all information gathered from each source would be reported on a common scale. In our examples we have used a common 1 to 4 scale where 4 is the highest rating and 1 is the lowest. That is, regardless of whether a questionnaire, an interview schedule, or some other technique has been used in gathering evaluative information from the various sources identified, that data will be reported on the same 1 to 4 scale. Thus, student ratings, peer ratings, department head ratings, et cetera will all be reported on a scale from 1 to 4. this is not to suggest that a 5-point or other point scales may not be used in a comprehensive system, merely that whatever scale is used must be consistent throughout the system.

- COMPUTING THE COMPOSITE ROLE RATING

Having determined and specified the weights to be assigned to various activities and sources in the overall faculty evaluation system, it is now possible to compute an overall rating for each role that reflects the collective values of the faculty. this rating will be referred to as the composite role rating (CRR) because it will be derived from information from a variety of sources. Each source will provide information concerning various components of each role. The information from each source concerning each component of each role will be weighted in ways that reflect the consensus value structure of the institution. That is, the overall rating will be determined using the principle of controlled subjectivity discussed in the introduction. The following is an example of how the composite role rating for teaching would be computed.

In Figure 10 we determined that the information students provided concerning the faculty member's instructional delivery would impact the overall rating of the teaching role by 30%. Likewise, student information concerning the instructional design component would count 10%, and peer information would count 30%. We also determined that student input on instructional assessment would count 5%, peer input would count 15%, and department head input would count 5%. Finally, it was determined that department head input concerning course management would count 5% of the overall rating on teaching.

Figure 12 shows these weights along with the rating each source has given each role component. Note that all ratings, shown in brackets, use the common scale of 1 to 4. Here the students rated the instructor 4 on instructional delivery. Because it was determined in Figure 10 that whatever data the students provided concerning the instructional delivery component would count as 30% of the overall evaluation of the teaching role, we simply multiply the rating of 4 by 30% to arrive at a weighted rating of 1.2. In a similar fashion, the ratings provided by the various sources on the different components of the teaching role are multiplied by their impact weights. Finally all weighted ratings are added together to form a CRR of 3.45. For ease of computation, the ratings in Figure 12 are shown as whole numbers. In actual practice, the ratings may be averages and may thus include decimal values.

Figure 12: Computation of the Composite Role Rating for Teaching

Computation of CRR for: TEACHING							
Role Components	Sources						Weighted Rating
	Students		Peers		Dept. Chair		
	Source Impact Weight	Source Rating	Source Impact Weight	Source Rating	Source Impact Weight	Source Rating	
Instructional Design	[10% x	3] +	[30%	x 3] +	0%		= 1.20
Instructional Delivery	[30% x	4] +	0%		0%		= 1.20
Instructional Assessment	[5% x	3] +	[15%	x 4] +	[5%	x 4)	= .95
Course Management	0%		0%		[5%	x 2)	= .10
Composite Role Rating							*3.45*

Arreola, R. A. (2007). *Developing a comprehensive faculty evaluation system* (3rd ed.). Bolton, MA: Anker.

Note that the CRR of 3.45 was not determined or assigned by any one student, peer, or administrator. Rather, this value represents a composite of the information concerning activities the faculty agreed should be evaluated, collected from sources that were agreed to be appropriate, and weighted to reflect the credibility of the sources and the relative importance of each component of the entire role. Although the CRR does not represent an objective measure, the subjectivity involved in computing it has been carefully controlled and prescribed by the values assigned to the sources and role components. Thus, any two faculty members with the exact same component ratings would obtain the exact same composite role rating. This demonstrates the essence of controlled subjectivity in that we are able to obtain consistency of evaluative conclusions based on the same data. A similar procedure would be followed in determining the composite role ratings for the other roles (e.g., scholarly and creative activities, service to the institution, etc.)

- RESPONDING TO CONCERNS IN USING A SINGLE NUMERICAL INDEX (OCR)

The development of the OCR as a single numerical index representing a summary of a faculty member's professional performance provides the academic decision-maker with the kind of numerical index that student rating averages are often used as, but never really are. That is, a singular value has been computed which represents a valid and reliable measure of a complex set of behaviors and performances and which takes into account the interaction between the values of the institution and the person being evaluated. Although the assignment of a singular numerical index to represent complex human performance may be criticized, it is a practice used throughout society and in education especially. Colleges and universities routinely make critical decisions and award scholarships, certificates and degrees on

the basis of summary singular numerical indices of complex human behavior (i.e., student GPAs). As a profession, we are not unfamiliar or unskilled in this practice.

With the computation of an individualized OCR, which can be correctly characterized as an index of perceived success, we now posses an aggregate measure that may appropriately be used in decisions concerning promotion, tenure, continuation, and merit pay. The OCR also provides important information for post-tenure review considerations.

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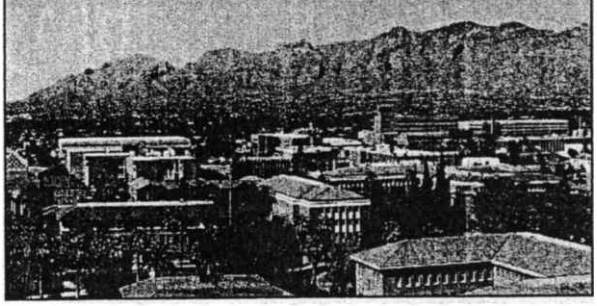
Budget Redesign



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How Do Funds Flow in the Current Budget Model?

- Centrally held funds that are primarily distributed based on prior years' budgets
- Some tuition funds attributed to colleges
- Most common good and support service costs funded by the university

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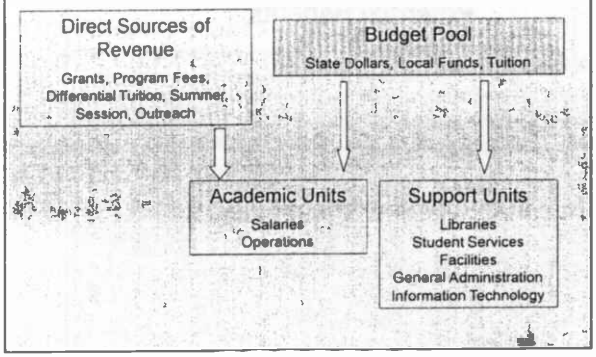
Current Budget System



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What Are the Problems with this Model?

- Central funds make local planning difficult
- Lack of understanding of the effects of local activities on revenues and costs
- Disconnect between decision-making authority and responsibility for decision-making
- No incentives to increase activities, when appropriate

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What Would a Better Model Look Like?

- Better mapping of the generation of funds and use of resources to the college level
- Increased decision-making authority at the local (college) level
- More incentives to increase courses and enrollments
  - Meet current demand
  - Develop new programs and new demand

THE UNIVERSITY OF ARIZONA. *RCM Model*

What Are the Attributes of an Arizona Model?

- Tuition funds flow to colleges
- Some costs also flow to colleges
- College activities affect their revenues and costs

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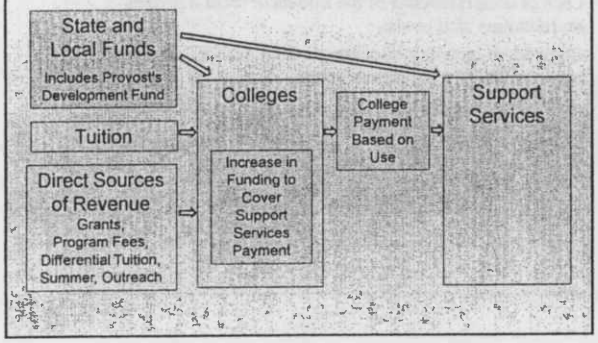
Possible Arizona Model



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Potential Benefits

- Revenue follows effort
- Costs follow service usage
- Efficiency is rewarded
- Entrepreneurialism is encouraged
- More predictable cash flows for planning
- Faculty better understand the budget

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A Few of Many Universities that Use this Type of Model

- Minnesota
- Michigan
- Indiana
- Iowa State
- Florida
- Harvard
- Kent State
- Duke
- USC
- UCLA
- Connecticut
- Ohio State
- Wash U
- Temple
- Tulane
- U Penn

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Selected Helpful Websites

- Indiana University
  http://weathertop.bry.indiana.edu/mas/rcm
- University of Michigan
  http://sitemaker.umich.edu/obpinfo/about/the_um_budget_model
- University of Minnesota
  http://www.budget.umn.edu/int_bud_model_overview.pdf

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Progress to Date

- In the summer of 2008 a committee examined the value of responsibility centered management
  - Video conferences with Minnesota, Iowa State, presentation about Michigan
  - The committee recommended to move forward toward implementation
- Second committee met 2008-2009 and developed a model for tuition distribution (details follow)
  - Recommended follow-up with three sub-committees as follows:
    - A relatively small committee to make decisions about cost allocations and test the decisions regarding tuition distribution and cost allocations using historical data to identify any potential problems with the model
    - A larger communications committee that will inform all stakeholders about the model
    - A smaller committee that will develop an implementation plan

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Arizona's Budget Redesign Principles

The new budget is intended to:

1. Better support the University's Strategic Plan.
2. Provide appropriate incentives to enhance revenues and control costs.
3. Anticipate and avoid unintended negative outcomes.
4. Balance local-level incentives with "common good" needs at the university level.
5. Increase transparency.
6. Be simple to understand, implement, and administer.

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Arizona's Budget Redesign Principles

continued

7. Rules should be clear and consistently applied resulting in predictable outcomes to enable effective planning
8. Be adaptable to changing circumstances and evolve over time
9. Require a central pool of discretionary funds that can be used for development and incentive purposes
10. Require adequate data
11. Avoid undue risk for responsibility centers ("hold harmless" provision at implementation)
12. Require constant and direct communication

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UA Responsibility Centers

Undergraduate and Graduate

- College of Agriculture and Life Sciences
- Eller College of Management
- College of Architecture and Landscape Architecture
- College of Education
- College of Nursing
- Zuckerman College of Public Health
- College of Engineering
- College of Fine Arts
- College of Humanities
- College of Science
- College of Social and Behavioral Sciences
- College of Optical Sciences

Graduate

- College of Medicine – Tucson and Phoenix
- College of Pharmacy
- College of Law

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Undergraduate Tuition Distribution Model Recommendations

- Undergraduate tuition is defined as the amount of tuition dollars after reductions for financial aid including set-asides, waivers and QTRs (waivers for employees and dependents).
- Undergraduate tuition will be split based on student credit hours and majors according to the following formula: 75% weight on SCH and 25% weight on number of majors. Headcount of majors will include lower and upper division.
- The proportion of resident to nonresident undergraduate tuition will be averaged across the university and this will be the distribution rate for undergraduate tuition.

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Undergraduate Tuition Distribution Model Recommendations

- Differential undergraduate tuition and program fees (after reductions for financial aid, including set-asides, waivers, and QTRs) will be directed 100% to the college of enrollment.
- Temporary funding for expanding lower-division seats will no longer be available because a proportion of tuition will automatically flow with seats.
- When a double-major resides within one college, tuition for one major will be credited to the college. When a double-major resides in two different colleges, the tuition will be split.

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Weight on Instruction Versus Enrollment

(Undergraduate Tuition)

- **Arizona Proposed**
  75% on instruction and 25% on enrollment
- **Minnesota**
  75% on instruction and 25% on enrollment
- **Florida**
  75% on instruction and 25% on enrollment
- **Michigan**
  25% on instruction and 75% on enrollment

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Graduate Tuition

- Net tuition (includes differential and program fees but excludes reductions for financial aid) flows to the college of enrollment.

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Other Funding Sources

- No change at implementation for:
  - Indirect cost recovery policies.
  - Summer session and Outreach College tuition policies.
- These categories will be re-evaluated after implementation.

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Next Steps

- Determine the support services and common good costs for which colleges are responsible
- Determine ways to equitably distribute those costs

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Example of Support Service Cost and Basis to Distribute Cost

- The cost of library services
  - Includes salaries, supplies, equipment
- An accurate measure would be the hours each student and faculty use library services
- Less accurate but easy to measure ways to assign these costs
  - Student headcount per college
  - Faculty headcount per college
  - Weighted average student and faculty headcount per college

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Guiding Principles for Assigning Costs

- Need reasonably accurate measures
  - Headcount is reasonably accurate, college estimates of hours would be less accurate
- The idea is to map the use of the resource to cost as precisely as possible
  - This can be difficult when a large proportion of costs are fixed
    - Back to library example: costs of salaries and equipment are fixed, although more positions and equipment can be added (lumpy costs)
  - Incentive value increases as the precision of the mapping increases

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What are Some of the Unintended Consequences?

- Larger class sizes/increased teaching loads.
- Grade inflation
- Addition of courses by colleges solely for the purposes of revenue generation
- Additional course fees
- Reduced collaboration among colleges for academic and research ventures

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Unintended Consequences

- Manipulation of credit-hour system to "generate" additional revenue.
- Increased use of graduate students and adjunct faculty for instruction.
- Elimination of high-quality/low-revenue producing programs.
- Incentives for student advisors to act in the interests of the college rather than the student for fear of losing tuition revenue.
- Less concern for common goods (Honors and GIDPS)

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Response to Concerns

- Most of these consequences could occur under the old budget system.
- Most of these actions taken by colleges would lead to short-term gain but would have long-term negative consequences.
- Development of policies, oversight mechanisms, university and college strategic plans, ongoing reviews, and university fund allocations can help to prevent these actions from occurring.

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Next Steps

- Determine the cost pools and allocation bases
- Simulate budget changes by analyzing changes in the model based on historical data
- Pick the most appropriate cost pools and drivers
- Communicate the new model widely across campus
- Implement the redesigned system
- Continually re-evaluate

Student Rights and Responsibilities

I. Preamble

A. The University of Arizona's mission to discover, educate, serve and inspire relies heavily on the contribution and dedication of its graduate and professional students. For the purposes of this document, "Students" hereafter refers to any graduate, professional, or post-baccalaureate student of the University of Arizona, although nearly all of the rights referred to herein also apply to undergraduates. All students must be free to learn, research, and teach as appropriate to the scholarly standards of their respective fields.

B. Graduate students who serve as teaching or research assistants have additional rights and responsibilities.

II. Rights Relative to the University as a Whole

A. Right to Equal Representation and Shared Governance

1. Students have a right to participation in the shared governance procedures on all university levels.
2. All students have a right to equal representation within university-wide processes and committees. Advisory roles and seats granted to graduate students must also be offered to undergraduates and vice versa.
3. The above principles are reflected in the Shared Governance Memorandum of Understanding:

http://fp.arizona.edu/senate/ShGovExtending.html

B. Right to Appropriate and Equal Treatment

1. All students have a right to student and work in an environment free of exploitation, intimidation, harassment and discrimination based on characteristics such as gender, race, age, sexual orientation, disability, ethnicity, country, state or national origin, religious or political beliefs and affiliations.
2. Students are entitled to equal rights and protections in all matters regardless of their classification.
3. Students have the right to be considered members of a scholarly community, and as such, they have a right to collegial and respectful treatment by faculty members.
4. Students have the right to expect that their vulnerability in having a lesser status and authority in the academic unit or lesser experience will not be exploited to the personal advantage of a faculty or staff members or department.
5. Students have the right to protection from any reprisal for exposing professional, ethical, or legal violations. This is consistent with the Arizona Board of Regents Policy 6-914, "Protection of Employees from Reprisal for Whistleblowing."

C. Right to Internal Due Process and Appeal in Academic and Non-Academic Matters

1. All students have a right to clearly defined official grievance procedures and informal complaint procedures for academic and non-academic matters at the department and campus-wide levels.
   i) Consistent with this right, Students have a right to procedures appropriate to the nature of the case and the severity of the potential sanction. in any University proceedings, graduate students shall be granted all procedural and due process rights guaranteed by the United States Constitution, the constitution of the State of Arizona, and the body of case law and judicial decisions that interpret those two documents.

D. Right to Freedom of Speech, Expression and Conscience

1. Students have a fundamental right to speak freely and to express their viewpoints even when those opinions are unpopular with faculty, administrators, government and the general public. Protection of free speech is understood to encompass all reasonable forms of expression within the bounds of legislation, and professional expectations.
2. Students have the right to hold their own moral and ethical beliefs regarding controversial issues without administration coercion or forced conformity to officially-approved ideologies.
3. These rights apply to Teaching Assistants to the extent that their personal views are not substituted for approved curriculum.

III. Rights Relating to Graduate Departments and Programs

A. Right to Appropriate Consideration of Dual Status as Students and Employees

1. To the extent that Students are acting in their capacities as students, they have the same rights and protections as any other students at the University.
2. To the extent that Students are acting in their capacities as employees of the University of Arizona and / or the State of Arizona, those individuals have the same rights and protections as any other State and / or University employees.
3. The above clauses do not imply that student employees are necessarily entitled to the same financial and health benefits as other employees, but rather that the same standards of fair and ethical treatment be applied amongst all staff, student or otherwise.

B. Right to Disclosure and Stability of Academic Requirements

1. Students have the right to clear and specific written requirements for achieving an advanced degree.

C. These requirements should be provided to students upon their admission into a graduate program and / or emphasis. Where not mandated by uncommon faculty loss, external accreditation requirements, or other circumstances beyond departmental control, changes in degree requirements should not affect students previously accepted into the graduate program and / or emphasis except at their option.

D. Right to Disclosure of Efficacy

1. Prospective and currently enrolled students have a right to know and should be informed of the normal and average "time to degree" and completion rate within a specific graduate program and / or emphasis.
2. This information is available at:

   grad.arizona.edu/assessment/node/18

   i) If available, programs and / or emphasis should disclose the predominant reasons for lack of program completion, except in instances where confidentiality is breached.

E. Right to Disclosure and Stability of Financial Support and Resources

1. Students have a right to an accurate description of availability and the likelihood of ongoing financial and resource support within their program and / or emphasis.
   i) Bearing in mind that much support comes from grants and is at the discretion of the PI, and that students are often supported by faculty outside their home departments, where possible graduate programs and / or emphases should have clearly written policies regarding the distribution of financial support and academic employment.
   ii) Prospective and currently enrolled students should be provided a thorough description of the requirements and qualifications necessary for academic employment, training and financial support within their departments and / or emphases at the university.
2. Where possible, students are entitled to accurate description of availability of resources needed to complete their degrees.

F. Right to Fair and Effective Evaluation and Guidance

1. Students have the right to have their progress toward achieving an advanced degree evaluated in a consistent manner and based on criteria that are articulated clearly by the graduate advisor and graduate committee.
   i) Evaluations should be factual, specific, and should be shared with the Student within a reasonable period of time. Annual progress reports should be in writing.
   ii) A thorough written and / or evaluation of performance on qualifying and comprehensive examinations should be provided to Students.
   iii) Students should be given a fair opportunity to correct or remedy deficiencies in their academic performance with agreed upon timetables for remedy.
   iv) Any intent to dismiss a Student from a graduate program and / or emphasis for academic reasons must be preceded by a written warning, which includes specific performance information, well in advance of actual dismissal.
2. Students have a right to be judged by the faculty of their department in accordance with fair procedures and based on the Students' professional and academic qualifications.

3. Students have the right to received regular feedback and guidance concerning their academic performance through a mutually agreeable schedule of conferences with their advisor / chair / mentor.
    i) Any intent to discontinue an advisor or chair relationship with a Student should be preceded by a warning within a reasonable period of time.
4. Where available, students have the right to access professional training for academic and non-academic careers.
    i) This should include, but not limited to, information about professional associations and conference, mock interviews, job opportunities and publishing articles in journals.

G. Rights as Teachers and Researchers

1. Students have the right to receive appropriate training and support as an educator if they are placed in a teaching assistant or associate position.

    See ABOR Policy # _____

    i) Programs and / or emphasis should implement training programs for their teaching assistants and associates.
    ii) All graduate programs and / or emphases should outline the expectations of a graduate student teacher, and the ways in which those expectations can be achieved, for their teaching assistants and teaching associates.
2. Students have a right to refuse to perform tasks that are clearly unrelated to, or in conflict with, their academic programs or professional development or tasks in excess of their contractual obligations.
3. Students have the right to fair and appropriate recognition for their discoveries, academic research, and creative contributions consistent with the conventions of the field.
    i) This includes, but is not limited to, co-authorship in works involving significant contribution of ideas or research from the student. The student should receive "first authorship" for publications which are comprised primarily of the creative research and writing of the student.
4. Any intent to dismiss a student from a graduate program and / or emphasis for academic reasons must be preceded by a written warning, which includes specific performance information, well in advance of actual dismissal.

IV. Graduate Student Responsibilities Relating to the University as a Whole

A. Responsibility to uphold policies and regulations

1. Student disciplinary policies can be viewed at:

    http://deanofstudents.arizona.edu/policiesandcodes/studentdisciplinaryprocedures

2. Students have the responsibility to respect and uphold all relevant university policies regarding professional conduct, including, but not

limited to, Student Code of Conduct, the Honor Code (Law candidates), and the Sexual Harassment Policy.

http://deanofstudents.arizona.edu/otheruacampuspoliciesandprocedures

3. Students have the responsibility to perform their assistantship duties in accordance with all relevant University, state government, and federal government rules and regulations.

B. Responsibility to fellow graduate students

1. Students have the responsibility to respect and uphold all of the aforementioned rights of other fellow Students.

C. Responsibility not to discriminate

1. Students have the responsibility to not discriminate against students, faculty, staff, or administrators on the basis including but not limited to gender, race, age, family status, sexual orientation, disability, religion, political beliefs, country of citizenship, or country of origin.

D. Responsibility to university as land-grant institution

1. Students have the responsibility to contribute to the public services aspects of the mission of this land-grant university, at a level appropriate to their ability and program of study.
   i) Students will teach to the best of their ability.
   ii) Students will endeavor to provide valuable research and support to the faculty and fellow graduate students.
   iii) Students will endeavor to contribute to the academic community of the department or program in which they are pursuing their advanced degree.
   iv) When providing such service, student will do so with care, consideration, diligence and professionalism.
2. Students are encouraged, but not required, to provide service to their program, their department, school or college, the university community and the local community to the extent that each is able.
   i) This may include, but is not limited to: the recruitment and retention of fellow students and faculty members; the hosting of, attending, and participating in colloquia and conferences; and other relevant decision-making committees.
   ii) Students will endeavor to contribute to the administration and ongoing improvement of their graduate program, graduate student government, and the University.

V. Student responsibilities to Departments and Programs

A. Responsibility to proper conduct

1. Students have the responsibility to conduct themselves, in all educational and professional activities, in an appropriate manner.
   i) Students' behavior should be a credit to themselves, the higher academic unit, and the University.

2. Students have the responsibility to provide accurate and honest reporting of research results and to uphold ethical norms in research methodology and scholarship. Students have the responsibility to report any research misconduct they may witnessed or believe to have taken place.

B. Responsibility to progress toward degree

1. Student employees are expected to meet their contractual obligations.
2. All students have the responsibility to devote to a sufficient amount of time and energy to making progress towards achieving their advanced degree.
    i) Special consideration in the application of the satisfactory academic progress standard should applied where dictated by the nature of research undertaken, financial hardship, physical or mental illness or disability, civil obligations, family obligations, religious obligations, or other extenuating circumstances.

C. Responsibility to mentors and administrators

1. Students have the responsibility to understand their role in the development of their relationships with mentors.
    i) Students will demonstrate an awareness of the time constraints and other demands imposed on faculty members and program staff.
    ii) Students will communicate regularly with faculty mentors and advisors, especially in matters related to research, progress, concerns, and problems within the graduate program.
2. Students have the responsibility to take the initiative in asking questions that promote their understanding of the academic requirements and financial particulars of their specific graduate program.
3. Students have the responsibility to communicate with individual faculty, departments, and the University administration in a timely manner.

D. Responsibility to fulfill teaching and research obligations

1. Student employees have the responsibility to fulfill their teaching and research obligations to the best of their knowledge, training, and ability.
    i) Once accepted, students cannot change their teaching or research appointments or assignments without the permission of their faculty adviser or supervisor.
    ii) If a student can no longer reasonably fulfill their obligations, they shall communicate this to their faculty advisor or supervisor in a timely and conscientious manner.
2. Student employees have the responsibility to carry out their job responsibilities in a conscientious and timely manner.
3. Student employees have the responsibility to accurately report their hours worked and level of effort whenever requested or required to do so.
4. Students have the responsibility to work or be available to work on the days and at the times outlined in their appointment letter or contract, or at times explicitly discussed and agreed upon with their faculty advisor or supervisor.

5. Student employees have the responsibility to recognize that failure to perform their job responsibilities in a satisfactory manner may constitute cause for disciplinary action or dismissal.

VI. Rights Not Enumerated

A. The enumeration of these rights and responsibilities shall not be construed to deny Students those rights nor allow Students to abrogate responsibilities not listed.

VII. Acknowledgments

A. The University of Arizona Graduate and Professional Student Council is deeply indebted to the University of Colorado Boulder United Government of Graduate Students for their helpful input and assistance with this document.

Created 28 October 2009

Textbook Letter of Commitment

Dear University of Arizona BookStore and Students,

I _____, as a University of Arizona faculty member or department head, recognize that textbooks are an associated expense that elevates the total cost of attendance for students pursuing a degree in higher education. Furthermore, I support the academic mission of our institution by providing textbooks and related course materials to students at the most affordable prices possible.

Understanding the preceding statements, I hereby commit to the following:

Pledge to use my assigned textbook for o minimum of two consecutive years wherever possible so that it can be incorporated in the textbook rental program

AND/OR

Pledge to submit my textbook list to the BookStore on or before the adoption forms due date whenever possible

By taking such measures, I ensure that I am doing my part to help reduce the cost of textbooks and effectively the overall cost of attendance for students at the University of Arizona.

Sincerely,