

GUIDELINES FOR SHARED GOVERNANCE

The University of Arizona

**Memorandum of Understanding Entered into by the Faculty and the
Administration of The University of Arizona
*Passed in the Faculty Senate April 4, 2005***

I. SHARED GOVERNANCE

This Memorandum of Understanding, agreed to by faculty and administration, outlines principles of shared governance at The University of Arizona and is entered into freely by a faculty and an administration committed to a common vision of the mission of the University. This memorandum supersedes that previously signed by President Peter Likins on October 6, 1997, and by his predecessor, Manuel Pacheco on June 26, 1997, with the assent of the Arizona Board of Regents through its then General Counsel, Joel Sideman.

In an era of significant educational change, the success of the University and the positive morale of the faculty and administration are dependent upon continued use of the collective intelligence of the university community in planning and decision-making. Shared governance involves mutual participation in the development of policy decisions by both faculty and administration, and requires shared confidence between faculty members and administrators. This requires extensive sharing of information and a shared understanding that faculty representatives and administrators strive always for informed mutual support through shared governance dialogue.

Faculty consultation by the administration can take many forms and involve many different faculty members, depending on the issue at hand. The administration may choose to weigh the counsel of various faculty members or faculty groups differently, depending on the circumstances. The administration may consult with students and staff members and their organizations as well as faculty, and weigh their concerns variously. However, the official and primary overarching bodies with which the administration must be expected routinely to consult are the Faculty Senate and the Strategic Planning and Budget Advisory Committee (SPBAC). Both of these bodies consist of a majority of faculty representatives and are chaired by a member of the faculty. The respective jurisdictions of each of these bodies is set forth in the document, "Tracking of Proposals to the Faculty Senate or SPBAC," dated November 14, 2002 (see Appendix).

Within shared governance, a decision on a change in those policies under the jurisdiction of shared governance should normally be reached only after there is general acceptance of the policy proposal in either its original or modified form by both the administrator(s) and the appropriate overarching shared governance body for the issue in question. Depending on the issue, the appropriate shared governance body is determined by reference to the "Tracking of Proposals" document, noted above. General acceptance means that (1) the appropriate overarching shared governance body has been properly consulted and (2) has communicated its support for the policy to the President (or designee). In this process, a spirit of mutual respect between administrator(s) and the shared governance body – the taking of each other's positions into serious consideration – is the expectation. The President or designee(s), however, can make and announce a final decision without "general acceptance" provided he or she believes that every reasonable effort has been made to reach a common position through consultation and to be responsive and that such decision is necessary in the best interests of the University. In this circumstance, the President or designee is expected to explain the position taken.

The following guidelines are intended to elaborate further details in the way the faculty and administration address certain issues. These guidelines express a mutual desire to work together. They do not constitute a legal contract. It is intended that these guidelines be consistent with and not supersede Arizona Board of Regents Policies, including the Conditions of Service and Arizona Board of Regents Policies 6-910 and 6-201(J); the applicable provisions of the Constitution of the Faculty of the University of Arizona (1); the Revised Statutes of the State of Arizona (2); and other documents as described in Section II.

II. STRUCTURE AND PROCESS FOR SHARED GOVERNANCE

A. Budget and Strategic Planning

The Strategic Planning and Budget Advisory Committee (SPBAC), comprised of faculty, administrators, and other sectors of the University community as appropriate, shall be the university-level forum for shared governance on strategic planning and the projected budget. The projected budget of university funds will be formulated by the administration with faculty participation, reviewed by SPBAC, and publicly disclosed. At least half of SPBAC will come from the faculty, chosen by way of accepted faculty governance procedures. The SPBAC will receive input from the Faculty Senate as appropriate and make reports to the Faculty Senate. University budgets and records of University expenditures will continue to be open to all members of the faculty and the public, as required by law.

B. Academic and Academic Personnel Policies

Subject to the authority and responsibilities of the Board of Regents and the President, academic and curricular policies rest primarily with the faculty as represented by the Faculty Senate. The creation and elimination of programs and units relating to student affairs and admissions, faculty personnel policy, and the guidelines on salary policy are included within the jurisdiction of shared governance. An initial proposal to change academic or academic personnel policy may come from any source, but the formal consideration and development of such policy changes shall always be undertaken through shared governance arrangements.

C. Selection and Review of Academic Administrators and Academic Vice Presidents

The faculty and administration will play a collaborative role in the recruitment, selection and review of heads of departments, academic unit directors, deans, vice provosts, and vice presidents. The expectation is that these personnel decisions will take place only after proper shared governance dialogue with appropriate representatives of the faculty, who are expected to serve this role largely through membership on search committees. Furthermore, with respect to the selection or retention of a head or academic unit director, the position of the faculty shall be determined through procedures decided by the faculty of the respective department or unit. With respect to such decisions relating to academic deans, vice provosts, and vice presidents, the faculty shall be represented through faculty chosen by way of an elected faculty committee on committees at the respective college and university levels. Faculty representatives, chosen as per II, E below, shall comprise half or more of each search committee and each review committee. The remainder are appointed by the designated administrator. Extraordinary reviews shall be conducted by procedures outlined in the *University Handbook for Appointed Personnel*. It is the responsibility of all committees to ensure open faculty input, including the input of the appropriate elected faculty body.

D. Position Searches

The authority to engage University employees has generally been delegated by the Regents to the University presidents except that initial appointments of vice presidents require ABOR approval (see ABOR 6-910). Whenever appropriate, such as in search committees, faculty representatives will be required to and must abide by confidentiality requirements. Tenured, tenure-eligible, continuing, and continuing-eligible faculty, academic administrative and vice-presidential

appointments will be made following open competitive searches with selection based on merit and due consideration of intellectual and cultural diversity. This statement is not intended to prohibit "laureate" or otherwise uniquely qualified appointments made on the bases of approved non-competitive searches.

E. Faculty Representation

Representation of the faculty at all levels of University shared governance will be the responsibility of members of the faculty who have been chosen by direct election by the faculty or a faculty elected body, appointed by an elected faculty officer, or appointed by an administrator from a list of several nominated by the Committee on Committees. All representatives must abide by confidentiality requirements. Faculty members have the responsibility to participate in shared governance. In work assignments and performance reviews, their participation shall be recognized as service and given the weight necessary to ensure the success of shared governance.

If a substantial minority of any shared governance committee disagrees with any action taken by that committee, their position should be included as part of the committee's report or recommendations.

F. Process of Consultation

1. The overarching shared governance groups, and the ones referred to in the introduction of this document respecting general acceptance, are the Faculty Senate and the Strategic Planning and Budget Advisory Committee. The President or designee(s) should normally also interact with other individuals and organizations, such as the Appointed Personnel Organization Council, the Staff Advisory Council, the officers of the Associated Students of the University of Arizona, and the officers of the Graduate and Professional Student Council. Consultations should generally include one or more of the above representative groups and may extend further at the discretion of the administration. When any such group or the administration wants to suggest a policy or a change in an existing policy, there should be initial consultations involving leaders from all the representative groups concerned with the matter.
2. The overarching shared governance groups and the administration are responsible for insuring that any proposed policy, wherever it originates, shall be developed pursuant to the agreement. The President, Provost, Chair of the Faculty, and Chair of SPBAC should consult periodically about whether any policy changes coming under this agreement may be in gestation that

have not undergone the appropriate shared governance process in order that the process can and will take place in a timely manner.

3. In a case where differences arise between the administration and the appropriate overarching shared governance body concerning any policy recommendation in any area covered by these guidelines, the administration and that shared governance group will work to resolve those differences so as to attain an outcome that is generally accepted. If general acceptance cannot be reached among the parties involved, and the President or designee(s) believes that every reasonable effort has been made to be responsive and reach a common position, the President or designee(s) may proceed provided he or she determines that action is necessary in the best interests of the University.
4. Shared governance does not extend to management decisions, that is, the carrying out and implementation of policy according to the objectives and guidelines of that policy.
5. When and if there is a dispute over whether the adoption of a policy or its implementation has followed the terms of this document, a consultation will take place between the administration and the appropriate shared governance bodies subject to the terms of F.2 above and, if needed, Section G, below.
6. In the event that the President or designee(s) believes that an academic, educational or faculty personnel policy change must take place urgently, to the point of abbreviating normal shared governance procedures, the President or designee(s) will notify the Chair of the Faculty. To the degree possible, they will develop an expedited process of shared governance.
7. For the sake of confidentiality on personnel or other confidential matters, the administration has the right to determine the appropriate level of specificity of the information that is given to the shared governance bodies.
8. In those cases where the administration proposes to initiate any change in a policy or process covered within this memorandum, the President or designee(s) will begin by consulting the duly authorized leaders of the appropriate shared governance and representative groups. During that initial consultation, if information arises that bears on personnel matters (as opposed to policy or process), the shared governance representatives agree in advance to keep that information confidential and communicate to their

constituents only those elements of the proposal that are authorized for disclosure by the administration.

G. Shared Governance Review Committee

With the purpose of enhancing the smooth operation of shared governance, a review committee composed of the Chair of the Faculty, the Chair of the Strategic Planning and Budget Advisory Committee, the Presiding Officer of the Senate, two Senators (elected by the Senate), one additional member of SPBAC (chosen by the Chair of SPBAC), the Provost, and two other members of the administration chosen by the President shall be established. Its purposes are to address issues regarding the implementation and functioning of the procedures contained in this document, to recommend a process to review compliance with this agreement, and to make recommendations toward more effective working of shared governance.

The Shared Governance Review Committee can review allegations that there may have been a breach of this agreement by any party to it. In the event the Committee feels there may have been a breach after careful consideration with all parties involved, it will ask for a consultation involving the Committee, the parties involved, and the President or designee(s). This consultation will attempt to provide recommendations that will strive to resolve the matter. If a resolution cannot be found, the shared governance groups at the University of Arizona may then follow their own procedures to address the unresolved issues.

H. Involvement of Students, Staff and Professional Personnel

The involvement of students, professional personnel and staff in shared governance is defined by the "Plan for Extending Shared Governance," April 27, 1998 (<http://w3fp.arizona.edu/senate/ShGovExtending.html>).

I. Consistency with Other Documents

These guidelines are subject to the applicable provisions of the Arizona Revised Statutes and the Arizona Board of Regents policies, and shall be interpreted consistently with the Constitution and Bylaws of the Faculty of the University of Arizona, and the *University Handbook for Appointed Personnel*.

However, the guidelines are built upon principles of shared governance developed after the Constitution and UHAP were instituted. Therefore, these guidelines provide a framework, which may be used to suggest amendments designed to conform with the principles of shared governance.

J. Continuing Structure and Process

Principles of shared governance shall be fostered within the colleges and units, in a form appropriate to the circumstances of each college and unit, but consistent with aims and objectives of shared governance.

Anne Weaver Hart
President 2012-

Wanda H. Howell
Chair of the Faculty 2005-

Date

Date

Andrew C. Comrie
Provost 2012-

Robert P. Mitchell
Vice Chair of the Faculty and
Presiding Officer of the Faculty Senate
2005-

Date

Date

NOTES:

1. From The Constitution of the Faculty of the University of Arizona: “The general faculty has fundamental responsibilities in the areas of academic personnel policy, instruction and curriculum policy, research policy, student affairs policy, ethics and commitment, advice on budget and university support, and acts on such matters affecting the welfare of the University as are brought for consideration in accordance with University policy.”
2. From Arizona Revised Statute § 15-1601(B): “The Universities shall have colleges, schools and departments and give courses of study and academic degrees as the Board (of regents) approves. Subject to the responsibilities and powers of the Board and the University Presidents, the faculty members of the Universities, through their elected faculty representatives, shall share responsibility for academic and educational activities and matters related to faculty personnel. The faculty members of each University, through their elected faculty representatives, shall participate in the governance of their respective Universities and shall actively participate in the development of University policy.”

Faculty Senate Consent Item

Request for Authorization to Modify the Name of an Academic Unit

Current Academic Unit Name	College of Architecture and Landscape Architecture
New Academic Unit Name	College of Architecture, Planning and Landscape Architecture
Justification	The Planning program was transferred back to the College of Architecture and Landscape Architecture in 2009 and the program's name should be reflected in the college title. Planning students will feel included and this change will advance recruitment and fundraising for Planning students.

Approvals:

ABOR	9/13/2012
Undergraduate Council	10/23/2012
Graduate Council	8/17/2012
CAAC	10/16/2012
Provost's Council	10/15/2012
Faculty Senate	

Faculty Senate Consent Item

Request for Authorization to Implement a New Degree Program

Program Name & Degree	Care, Health and Society BS				
Requested by	Department of Sociology College of Social and Behavioral Sciences				
CIP Code	51.1504 – Community Health Services/Liaison/Counseling				
Purpose of Program	<p>The Care, Health, and Society degree emphasizes the skills needed across the helping professions - medicine, nursing, counseling, ministry, community services, teaching, and related fields that nurture clients' physical, emotional, and/or social well-being. It also supports a major goal of the Arizona Health Sciences Center (AHSC), which is to integrate these occupations' different practices. For this and other reasons, former Vice President of AHSC, Dr. William Crist, actively and enthusiastically endorsed this new program. Moreover, this program will give students the opportunity to explore a variety of careers and provide the foundational knowledge and internship experiences needed to succeed in them. Limited resources in nursing and other professional health programs currently restrict the number of students who can be admitted. In preparing Arizona's students for numerous types of jobs in growing industries like health care, this program will reduce the time and money students often waste when they are denied admission to a particular program and decide to drop out, transfer out of state, or choose another program at the UA that is tangential to their original career goals.</p>				
Projected Student Demand	5-year projected annual enrollment				
	1 st year	2 nd year	3 rd year	4 th year	5 th year
	30	90	120	210	270
Source(s) of Funding	The Department of Sociology has committed \$53,316 of its own funds for the purpose of advertising, travel, hosting workshops, and salary support to publicize this new program and recruit interested students.				

Approvals:

ABOR

3/8/2012

Undergraduate Council	10/9/2012
Graduate Council	N/A
CAAC	10/16/2012
Provost's Council	10/15/2012
Faculty Senate	

Faculty Senate Consent Item

Request for Authorization to Implement a New Degree Program

Program Name & Degree	Criminal Justice Studies BS				
Requested by	School of Government and Public Policy College of Social and Behavioral Sciences				
CIP Code	43.0301 – Homeland Security				
Purpose of Program	<p>During the University’s transformation process two highly successful mentoring and teaching units, Political Science and The School of Public Administration and Policy, were merged into the School of Government and Public Policy. The synergies created from this combination afforded the opportunity to eliminate underutilized concentrations/majors, improve student advising, enhance administrative efficiency and promote student centered policies that had not been previously possible.</p> <p>One such effort is the creation of a Bachelor of Science with a major in Criminal Justice Studies. Over the years, both in the Eller College and now in Social and Behavioral Sciences, students have repeatedly expressed their preference for a unique criminal justice degree and curriculum during their meetings with advisors, faculty and exit interviews. In fact, there is significant anecdotal evidence that we have lost many majors to other institutions, ASU, NAU and the like, who offer a distinct bachelor’s degree in criminal justice. As a result of the merger the strength of our combined programs appear to be growing in ways that would support a new degree option, open up opportunities for students to double major, and promote an interaction with community colleges in ways that were not available beforehand.</p>				
Projected Student Demand	5-year projected annual enrollment				
	1 st year	2 nd year	3 rd year	4 th year	5 th year
	280	300	350	375	400
Source(s) of Funding	<p>Since this program is currently a concentration within SGPP funding for this program does not represent new funds needed but merely redistribution toward the new degree. The only new funds required would be to hire additional adjunct faculty to teach new courses as they are created. In addition, a graduate student</p>				

	will be hired to work with the Rombach Institute in the furtherance of both the Institute and the Criminal Justice program. All students with junior or senior standing and a declared major in Criminal Justice will be charged a \$400/semester program fee until they graduate. This is the same fee that these students are currently required to pay in the Public Management program.
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Approvals:

ABOR	3/8/2012
Undergraduate Council	10/9/2012
Graduate Council	N/A
CAAC	10/16/2012
Provost's Council	10/15/2012
Faculty Senate	

Faculty Senate Non Consent Item

Request for Authorization to Modify the Name of an Academic Unit

Current Academic Unit Name	Department of Sociology College of Social and Behavioral Sciences
New Academic Unit Name	School of Sociology College of Social and Behavioral Sciences
Justification	<p>In today's competitive environment it is clear that academic units need to increase their outreach activities, sources of non-state funding, majors that meet student demand and state employment needs, and at the same time preserve their strong research mission. The broader bandwidth of the School of Sociology allows this to happen. The national and international reputation of Sociology at the University of Arizona must be preserved while at the same time a wider organizational format must be created to facilitate the growth in new majors, degrees, outreach, and expanded searches for donors, grants and other non-state funding.</p> <p>In short: remaining a single, traditionally-structured Department is too narrow a bandwidth for an academic unit that offers: 1) a BA, MA, PhD in Sociology; a Bachelor of General Studies (BGS) concentration in Sports and Society, participates in the Sports and Society concentration of the BGS and is proposing a new BS with a major in Care, Health and Society; 2) an annual outreach workshop for the public, faculty, graduate students from across the country and abroad on statistics and methods of social research that is taught by faculty from different universities and units within UA; 3) the Center for Applied Sociology that conducts contract research for businesses in Arizona; and 4) has very bright prospects for new research and outreach programs and centers in Housing and the Home, Care, Health and Society and Sports and Society.</p>

Approvals:

ABOR	3/8/2012
Undergraduate Council	10/9/2012
Graduate Council	4/20/2012
CAAC	10/16/2012
Provost's Council	10/15/2012
Faculty Senate	



POLICY TITLE: Tobacco-free AHSC Policy

Policy Number:

Contact: Effective Date:

Revised:

Approved By:

I. PURPOSE This policy is implemented to promote and support a healthier community and to conform to the mission of the Arizona Health Sciences Center and its affiliated entities.

II. DEFINITIONS

AHSC is the Arizona Health Sciences Center, which comprises the UA Colleges of Medicine, Public Health, Nursing and Pharmacy, whether located at its Tucson or Phoenix campuses, as well as the affiliated organizations that provide healthcare services.

Campus, for purposes of this policy, means the property occupied by the Arizona Health Sciences Center and The University of Arizona Health Network, and includes, but is not limited to buildings and courtyards.

Campus community means employees and students of and visitors to the Arizona Health Sciences Center colleges.

Tobacco products include cigarettes, cigars, pipes, smokeless tobacco, water pipes, hookah, and other products containing tobacco.

The University of Arizona Health Network is the entity that comprises the integration of UMC (formerly University Medical Center) and UPH (formerly University Physicians Healthcare).

III. POLICY

Use of tobacco products by students, faculty, staff, contractors and visitors is prohibited on and within all grounds and buildings located on the AHSC campus and/or for which the AHSC and The University of Arizona Health Network are designated responsible. Littering campus with remains of tobacco or smoking-related products is prohibited. Ashtrays or smoking shelters are not provided.

IV. COMPLIANCE

All AHSC and The University of Arizona Health Network students, faculty, staff, contractors and visitors must comply with this policy. AHSC and The University of Arizona Health Network students, faculty and staff who encounter someone who is violating this policy should respectfully inform that individual about the policy to encourage compliance.

Organizers of public events, such as conferences, meetings, public lectures, social events, and cultural events using campus facilities will advise participants in such events of this policy and encourage compliance.

Violations of this policy should be reported to the administrator responsible for the area in which the violation occurs. Violators may be provided education, offered a referral for tobacco use cessation, and if an employee of AHSC and The University of Arizona Health Network, may be subject to disciplinary action, as indicated below.

Persons engaging in use of tobacco products in violation of this policy may be subject to the following:

- Students will be referred to the appropriate college student affairs representative for educational resources concerning the hazards of smoking and a referral to a smoking cessation program.
- Employees will be referred to their respective supervisors for corrective discipline.
- Contractors will be referred to their respective employers for appropriate action.
- Visitors will be required to leave the campus if they fail to conform to the policy when advised and may be subject to citation or arrest for trespass if they refuse to comply with the policy.
- Violators may also be subject to fines or other sanctions as provided by state law.

No person who makes a complaint of a violation of this policy or who furnishes information concerning a violation of this policy shall be discriminated or retaliated against in any manner.

**The University of Arizona
Faculty Headcounts and FTE by Incumbency Status**

		10/01/12 12:00 AM										
		Include										
		Faculty										
		Non-tenure Track		Multi-year		Tenure Track		Continuing Track		Total		
		HC	Fte	HC	Fte	HC	Fte	HC	Fte	HC	Fte	
Benefits Eligible	Academic Department Head (Non Tenure Track)	5	4.5	1	1.0					6	5.5	
	Academic Department Head (Tenure Track)					97	96.6			97	96.6	
	Tenure Track Faculty					1,457	1,411.7			1,457	1,411.7	
	Other Instructional Faculty	Adjunct(Instructional)	109	84.9							109	84.9
		Other Ranked Faculty	159	147.1	57	54.5					216	201.6
		Professor of Practice	38	33.9	21	20.8					59	54.7
		Visiting(Instructional)	21	20.4							21	20.4
	Clinical Faculty	450	426.0	1	1.0			3	3.0	454	430.0	
	Research Faculty	128	114.3					2	2.0	130	116.3	
Total		910	831.1	80	77.3	1,554	1,508.3	5	5.0	2,549	2,421.7	
Non Benefits Eligible	Academic Department Head (Non Tenure Track)	2	0.2							2	0.2	
	Tenure Track Faculty					6	1.3			6	1.3	
	Other Instructional Faculty	Adjunct(Instructional)	305	99.8							305	99.8
		Emeritus (Instructional)	24	7.6							24	7.6
		Other Ranked Faculty	98	15.0							98	15.0
		Professor of Practice	2	0.3							2	0.3
	Clinical Faculty	19	3.8							19	3.8	
	Research Faculty	17	4.1							17	4.1	
Total		467	130.9			6	1.3			473	132.2	
Total		1,377	962.0	80	77.3	1,560	1,509.6	5	5.0	3,022	2,553.9	