THE UNIVERSITY OF ARIZONA®
ACADEMIC PERSONNEL POLICY COMMITTEE
Faculty Center
1216 E. Mabel St. (PO Box 210456)
621-1342 (Fax: 621-8844)
facultycenter@email.arizona.edu

APPC Annual Report 2018-2019

APPC Members:
Melanie Hingle, Chair, CALS (1/19-5/19)
Daisy Pitkin, Chair, Honors College (6/18-12/18)
Gaurav Charudatta Deshpande, GPSC (9/16-5/18)
Tessa Dysart, LAW, (6/18-5/19)
Daniel B. Ferguson, RDI (1/19-5/19)
Ronald Hammer, COM (6/16-5/19)
Brad Story, COS (7/10-5/19)
Matt Rein, ASUA (8/18-5/19)
Judd Ruggill, COH (6/18-5/19)
John P. (Pat) Willerton, SBS (6/10-5/19)
Jerome (Keaton) Wilson, Postdoc (11/17-5/19)

APPC met 7 times during the 2018-19 year (9/7, 10/15, 11/28, 1/30, 2/27, 3/28, 5/1)
to review a variety of issues/policies as summarized below.

9/7/18 Meeting
Activities: Orient new members to APPC and review 2017-18 Annual Report
Summary: APPC Chair Daisy Pitkin oriented new members to committee activities and reviewed the annual report. Goals for the next meeting were set. No other business.

10/15/18 Meeting
Action Item: Review and provide feedback on UCAP/proposed Research Scientist title change
Proposed by VP Faculty Affairs Tom Miller
Summary: The UCAP project has prompted a discussion regarding a potential Research Scientist title change and how this position may or may not differ from the Research Professor position (who are non-tenure track faculty). The committee discussed the differences between the two positions and agreed that although many of the people currently classified as Research Scientists function similarly to faculty, they should not be automatically re-assigned as a member of the faculty, and this switch should occur on a case-by-case basis. APPC had additional questions for Tom Miller which related to how many people the proposed change would impact, and whether/how post-docs would be affected, all of which were summarized in an email to him.
11/28/18 Meeting
Action Item: Provide input to Government and Community Relations team regarding steps the faculty can take to protect freedom of expression on campus
 Proposed by Kody Kelleher and Sabrina Vasquez, UA Office of Gov't and Community Relations
Summary: Kody Kelleher discussed Arizona legislative activity related to freedom of expression on university campuses, specifically: https://www.azleg.gov/legtext/52leg/2r/summary/S.2615FMFR_ASENACTED.pdf and https://www.azleg.gov/legtext/52leg/2r/summary/S.2548ED_ASENACTED.pdf, and the role of the Foundation for Individual Rights in Education in informing related legislative activity. Kody made some suggestions regarding steps the UA might consider to clearly indicate existing support for freedom of expression. Other campuses across the U.S. have adopted freedom of expression policies similar to the Chicago Principles https://provost.uchicago.edu/sites/default/files/documents/reports/FOECommitteeReport.pdf. Upon review, the APPC unanimously agreed to recommend that Senate/UA adopt the Principles. APPC provided additional information at the December 2018 Senate meeting in their report and aloud (Daisy Pitkin). Senate voted to adopt the Principles at the December meeting.

1/30/19 Meeting
Activities: Legislative Updates (Sabrina Vasquez, Senior Director of State Relations, Office of Government and Community Relations) and Career Track Faculty Task Force (Co-Chairs Bill Neumann and Amy Fountain).
Summary: Sabrina reported on the governor’s budget recommendation and various bills that affect higher education and fielded questions from the Committee. Dr. Neumann and Dr. Fountain explained that the Career Track Faculty Task Force will systematically evaluate policies in place to support year-to-year faculty in career progression and participation in faculty voting where appropriate and make recommendations for improvement. The committee will meet regularly with VP Faculty Affairs Andrea Romero, who will be executive sponsor.

2/27/19 Meeting
Action Item: Review and provide feedback on Disruptive Behavior in the Workplace, a proposed substantive change to the Workplace Violence Policy
 Proposed by VP Allison Vaillancourt
Summary: The Disruptive Behavior Policy was proposed to replace the current Workplace Violence Policy 2.21 in UHAP Chapter 2 http://www.policy.arizona.edu/university-handbook-appointed-personnel). The committee thought the definitions provided in the policy were helpful in establishing what disruptive behavior looked/sound like and wondered whether these definitions could be linked to statute where applicable (e.g., intimidation and stalking). Bullying seemed absent from the policy, perhaps because it is difficult to define, but the committee thought that this was a pervasive issue across units and ranks on campus and could certainly be considered a disruptive behavior.

Action Item: Review and provide feedback on “Our Professional Commitments,” a set of guidelines for members of the University of Arizona community
 Proposed by Chair of the Faculty, Jessica Summers
Summary: Our Professional Commitments would replace introductory language in Chapter 7 of UHAP - http://policy.arizona.edu/employmenthuman-resources/statement-professional-conduct After review and a brief discussion, APPC had only a minor wording change to suggest. The suggestion was sent to Jessica Summers following the meeting.
Action Item: Reviewed and provided feedback on the University Privacy Policy
 Proposed by Celina Ramirez and Lanita Collette
Summary: Celina Ramirez, Lanita Collete, Danielle Oxnom and Owen Lefkon discussed the need for an updated UA Electronic Privacy Policy. Their team was assembled to address information securities-related issues, including competition for extramural funding and audits, and they identified a need for a set of policies that addressed both information securities and privacy. The team has vetted the set of policies with over 30 units on campus prior to APPC. Information securities policies are standard and focus on protecting confidential and regulated information. The privacy policy speaks more to a cultural issue, with which the UA should be well aligned. The team solicited feedback from APPC and next steps were bringing this to Senate.

3/28/19 Meeting
Action: Review and give feedback on proposed TCE Changes
Proposed by Lisa Elfring, Assistant Vice Provost, Instruction and Assessment
Summary: AVP Elfring met with APPC and explained that the rationale for the proposed changes was to address serious concerns about what exactly the TCE data demonstrate with respect to quality of teaching. APPC asked many questions and offered several ideas for improving wording/clarity of the proposed items.

Action Item: Review and give feedback on UHAP Chapter 7 – Statement on Professional Conduct
Proposed by Vice Chair of the Faculty, Michael Brewer
Summary: APPC reviewed the proposed changes to UHAP Ch 7. The committee members agreed that the changes were warranted and supported them. There were no recommendations to change anything. APPC did agree that it is very important to "get the word out" across campus once these changes are voted on/adopted by Senate, since several units are currently working on their own ethics documents (e.g., CALS, COS).

Action Item: Gen Ed Policy Language Change
Proposed by GPSC (Marie Teemant)
Summary: Marie Teemant, President of GPSC, presented two proposed changes to the standing Gen Ed Policy regarding who can teach general education courses at UA.
https://academicaffairs.arizona.edu/gened-who-can-teach
The major proposed change included striking the “winter/summer only” clause from the policy, thereby allowing qualified graduate students to also teach fall/spring gen ed courses. The committee did not have adequate discussion time and put this topic on the agenda for the final meeting, after VP Gail Burd and Marie Teemant were both invited to attend to present their different viewpoints.

5/1/19 Meeting
Action Item: Gen Ed Policy Language Change
Proposed by GPSC (Marie Teemant)
Summary: Meeting with Gail Burd, Pam Coonan, & Marie Teemant (GPSC), to discuss issues surrounding the proposed policy change to gen ed teaching with regard to graduate students. (Currently only allowed in summer/winter sessions) There was a robust discussion; Marie’s main concerns included: adequate opportunities for graduate students to serve as instructors of record (or in a role with commensurate responsibilities) so that they enter the job market ready to compete for top teaching jobs; adequate training for these positions during graduate school (but appropriately supported by the faculty with mentoring and compensation); and balanced with protections from exploitation by units who lean inappropriately on students to teach large courses. Gail Burd and Pam Coonan explained their perspective, and particular concerns with regard to the
proposed changes, including: a need to ensure undergraduate students are only taught by qualified instructors (which includes the faculty); this is balanced with an imperative to protect graduate students from exploitation/overwork and to match student instructors with appropriate courses (e.g., ones in which they can excel and that will complement their expertise) which often means the more advanced courses (requiring specialty narrowly focused knowledge) versus general education. The committee, Gail, Pam, and Marie agreed that Tier 2 general education courses might be a way to offer qualified graduate students opportunities to teach as instructor of record, and/or serve as preceptor (which is differentiated from TA positions in that they receive academic credit and a note on their transcript, and implicit in that, mentoring by the faculty instructor which can be noted in a CV/resume and would serve as a way to demonstrate teaching skills.) Additional opportunities for training around instruction include the Graduate Assistant Learning Communities (similar to FLCs) and upcoming requirements for all faculty/students who teach online courses. Gail Burd offered to co-develop a new policy related to general education but requested that APPC collect data from graduate program committee members on campus to understand what is currently being done to train students to teach. APPC will explore this moving forward.

Respectfully submitted,

Melanie Hingle, Chair, APPC
The committee was established in 1947 by President James Byron McCormick to obtain advice from the faculty. When the Faculty Senate and Constitution were established in 1948, the Committee of Eleven was defined constitutionally and membership determined by faculty-wide election. It is unique in higher education governance structures and is independent of other faculty or administrative committees or organizations. The Committee of Eleven is University-wide and does not have a prescribed agenda.

Faculty Constitution Article V, Section 3 provides:

The Committee of Eleven shall:

a. Initiate, promote, and stimulate study and action dealing with and looking toward solution of situations and problems of interest and concern to the faculty and to the University.
b. Make reports to the General Faculty or the Faculty Senate.
c. Speak for the General Faculty as and when authorized by the General Faculty.
The Committee of Eleven’s focus for 2018-2019 Academic Year included the following topics:

A central focus for this year was the establishment of yearly, rigorous reviews of Deans and other administrators. A central component of our suggestions was the inclusion of faculty at all stages of the review process. At present, review of deans is a sole function of the provost with essentially no faculty input. We also made clear, that we see no effect of these reviews, with many deans in office for decades.

Our recommendations were communicated to the Senate in the form of an amended UHAP chapter 5 to include our proposed changes. In addition to communicating these proposed changes to the senate, at the request of Interim Provost Goldberg, I represented the committee at a meeting of the Provost’s Dean’s council. There was significant angst expressed regarding these changes. The Deans clearly felt review by faculty to be inappropriate.

We have continued to work with the Chair of the faculty to provide times for interaction with President Robbins. These have primarily been gatherings at the Presidential Residence. Wide groups of faculty have been included from the most senior to the most junior. It remains unclear what actual effect these gatherings have had, but the very act of meeting with the University President is a useful interaction for the faculty.

In addition, we have had multiple meetings with President Robbins and Interim Provost Goldberg. This has been a year of significant ferment on campus with the changes President Robbins is bringing to campus. Senior administrators are being replaced. One or more of us have been involved in the search for a new Provost, and new Senior Vice President for Research, a new Senior Vice president for Finance, and a new Dean for the medical School. Time will tell the success of these choices.

The Committee of Eleven has now a significant change. The makeup of the committee next year will have half of the elected representatives from the College of Humanities. There are no members from the College of Science or the College of Medicine in Tucson. It is hoped that the committee can continue to gather concerns from faculty across the campus as a representative body of the entire faculty.

Respectfully submitted,

Steven Schwartz, Chair
Committee of Eleven
THE UNIVERSITY OF ARIZONA
Committee on Academic Freedom and Tenure
Annual Report, 2018-2019

CAFT Members, 2018-19

Committee Members
Mr. Shaun Esposito, Chair
Dr. Dalila Ayoun, Vice Chair
Dr. Michael Brescia
Dr. Jennifer Duan
Ms. Deanna Fitzgerald
Dr. Dante Lauretta
Dr. Diane Li
Dr. John Milbauer
Ms. Monica Pastor
Dr. Stephen Poe
Dr. S. Mae Smith
Dr. Lynda Zwinger

LAW
COH
RDI
ENGR
COFA
ENGR
ENGR
COFA
CALS
CALS
COE
SBS

Mission Statement

The Committee on Academic Freedom and Tenure shall have jurisdiction to make inquiry and to conduct hearings in two general areas contained in ABOR 6-201 and 6-301, namely: in regard to those matters contained in the Conditions of Service dealing with the contractual employment relationship between the General Faculty member and the University /Board of Regents; and in regard to any internal matters relating to grievances against or by any member of the General Faculty. The committee shall consider the protection of academic freedom and tenure as a principal obligation. (Certain preliminary steps for dismissal situations are described in Chapters 3 and 4 of the University Handbook for Appointed Personnel and Sections 6-201 and 6-301 of the University Handbook for Appointed Personnel and Sections 6-201 and 6-301 of the Arizona Board of Regents Policy Manual.)
Hearings
The Committee received one petition in the 2017-18 academic year, which concluded in the 2018-19 academic year:

- An appeal of denial of Tenure complaint by an Associate Professor without tenure based on due process violations was filed with the Faculty Center and was forwarded to CAFT. A CAFT hearing was held in May 2018 on the matter of whether the tenure review took place in compliance with procedural and substantive due process as outlined in the University Handbook for Appointed Personnel (UHAP) 3.3.02e. The hearing committee transmitted its findings to Pres. Robbins in June 2018.

In the 2018-19 academic year, the Committee received the following:

- In March, the Committee received a referral of a faculty member complaint directly from President Robbins' office. It involved an appeal of a decision of nonrenewal for an Assistant Professor of Practice, non-tenure track. The complaint involved significant allegations of employment discrimination. CAFT defers action on these types of complaints until a final determination is made by the Office of Institutional Equity (OIE). The Chair requested the Professor to provide a copy of an OIE final determination and as of yet, it has not been provided.
- In March, the Committee received an appeal of a Notice of Dismissal from a tenured professor. A hearing panel has been selected and a hearing date is pending.

The Chair is grateful for the time and effort of CAFT members, all of whom volunteer for service on this important faculty rights committee.

Respectfully submitted,

Mr. Shaun Esposito
Chair, CAFT (2018-2019)
The Committee on Conciliation received one case this year referred by the Grievance Clearinghouse Committee (GCC) and one case referred from the President's office pertaining to a dismissal. In addition, however, the Committee explored conciliation in two other matters, one involving two prospective grievants and the other involving one prospective grievant.

Each of the latter two explorations came about due to discussion at the Committee's annual meeting on September 19, 2018. At that meeting, several of the members of the Committee expressed a desire to figure out methods to enable prospective grievants to explore conciliation prior to actually filing a grievance. The custom (although it is not specifically mandated in University or ABoR rules) has been that matters only come to Conciliation after a valid grievance is filed and the matter referred to Conciliation by the GCC. It was a feeling of the majority of the Committee on Conciliation that it would be helpful to encourage some prospective grievants to seek conciliation with a goal of eliminating any need to file a grievance. The University rules can be read to accommodate such a goal. As chair, I agreed to explore this with faculty governance representatives and with the GCC. Twice during this year matters came before the GCC (of which the Conciliation chair, Prof. Ratner, is a member) for which the GCC determined there was no valid grievance. In the letters to the faculty members who had filed the (non)grievances, the recipient was given information concerning the possibility that the recipient might wish to seek to conciliate the matter via the Faculty Committee on Conciliation even though the faculty member had not stated a grievance. This language did result in the prospective grievants contacting the chair of Conciliation, at least partially meeting the goal of increasing the availability of conciliation.

On June 21, 2018, President Robbins, pursuant to ABOR 6-201.1.3.a, referred to the Committee a faculty dismissal. The ABoR rules make the referral mandatory. Prof. Ratner conferred with the faculty

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<th>Committee Members</th>
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<tr>
<td>Jamie Ratner, CHAIR</td>
<td>Law</td>
<td>LAW</td>
<td>6/18 - 5/20</td>
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<td>Cynthia White, VICE CHAIR</td>
<td>Classics</td>
<td>HUM</td>
<td>6/17 - 5/19</td>
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<td>Pearce Paul Creasman</td>
<td>Tree Ring Lab</td>
<td>COS</td>
<td>6/18 - 5/20</td>
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<tr>
<td>Judith Becerra</td>
<td>Biosphere 2</td>
<td>CO</td>
<td>6/17 - 5/19</td>
</tr>
<tr>
<td>Etta Kralovec</td>
<td>Teacher Education</td>
<td>UA South</td>
<td>quit 1/18</td>
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There is no need to appoint conciliators until he makes a request for conciliation.

This member did not express an immediate desire to pursue conciliation, but we left it open for him to consider conciliation is a face to face mediation process conducted by two committee members. The faculty member did not express an immediate desire to pursue conciliation, but we left it open for him to consider his options and in any event if he were to request conciliation it could not begin until he returns to Tucson. There is no need to appoint conciliators until he makes a request for conciliation.

On October 17, 2018 the GCC referred a grievance concerning matters within the medical school to the Committee on Conciliation. Prof. Ratner assigned the matter to Committee Members Prof. Ratner and Prof. Cynthia White. They met first with the grievant for over 2 hours on October 25, 2018. At the end of the discussion the grievant expressed considerable ambivalence about whether he wanted to proceed with the conciliation by having us meet with respondents, and before doing so he wished to explore meeting and discussing matters with people in his department with whom he thought he might be able to establish a constructive working relationship and environment. The grievant did not respond to follow up inquiries by the conciliators concerning whether he wished the conciliation to continue. He eventually sent us an email (dated January 3, 2019) not referring specifically to the conciliation but indicating that he had left the University. At that point we considered the conciliation closed.

On November 16, 2018, two prospective grievants contacted Prof. Ratner in response to a GCC letter informing one of the faculty members that his complaint had not stated an actual grievance but that he might nevertheless consider exploring conciliation with the chair of the Committee on Conciliation. Prof. Ratner initially appointed Prof. White and Prof. Pearce Paul Creasman to serve as conciliators. One of the faculty members seeking conciliation indicated he was uncomfortable with Prof. White serving as a conciliator because of overlap between Prof. White's department and his own, so Prof. Ratner served as the second conciliator. Prof. Creasman and Prof. Ratner met first with the two prospective grievants. They indicated who the appropriate respondent would be, and Prof. Ratner then met with that person. (Prof. Creasman was out of the country and unable to attend and after discussion with all involved people it was decided that the best thing to do was for Prof. Ratner to meet alone with the respondent and fill in Prof. Creasman after the meeting.) Both sides were originally amenable to a face to face meeting to air grievances and see if agreements could be achieved. But after the respondent agreed to such a meeting, the two faculty members requested that a faculty member involved in faculty governance attend the meeting, and the respondent was unwilling to meet under those circumstances. At that point one of the two faculty members declined to meet and indicated he would consider other avenues, while the other faculty member chose to meet with the respondent without any other attendees. At that point the conciliation was closed.

On April 23, 2019, a prospective grievant contacted Prof. Ratner in response to a GCC letter informing him that his complaint had not stated an actual grievance but that he might nevertheless consider exploring conciliation with the chair of the Committee on Conciliation. Prof. Ratner contacted this faculty member, explained the process, also explained a bit why the GCC had concluded his complaint did not state a valid grievance, and discussed whether he wished to pursue conciliation. The faculty member was out of the country until the start of the Fall semester, however, and Prof. Ratner explained that conciliation is a face-to-face mediation process conducted by two committee members. The faculty member did not express an immediate desire to pursue conciliation, but we left it open for him to consider his options and in any event if he were to request conciliation it could not begin until he returns to Tucson. There is no need to appoint conciliators until he makes a request for conciliation.
The Chair of Conciliation met several times with the GCC on matters concerning filed grievances. One above described matter was referred to the Committee on Conciliation. Two other grievances were evaluated by the GCC, ultimately were not referred to Conciliation, but Conciliation was suggested as a possible avenue for the denied grievant to explore.

Submitted by Prof. James Ratner
Chair, Committee on Conciliation
### Constitution & Bylaws Committee

THE UNIVERSITY OF ARIZONA®
General Faculty Standing Committee
Faculty Center
1216 E. Mabel St. - PO Box 210456
621-1342 (Fax: 621-8844)

**Constitution & Bylaws Committee**
ANNUAL REPORT 2018-19

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<tr>
<th>Committee Members</th>
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<tr>
<td>Amy Fountain, <strong>CHAIR</strong></td>
<td>Linguistics</td>
<td>SBS</td>
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<td>Michael Brewer</td>
<td>University Libraries</td>
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<tr>
<td>Cheryl Cuillier</td>
<td>Instructional Services Team</td>
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<td>Javier Durán</td>
<td>Spanish &amp; Portuguese</td>
<td>HUM</td>
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<td>Moisés Paiewonsky</td>
<td>Music</td>
<td>COFA</td>
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<tr>
<td>Tom Miller</td>
<td>Associate Provost for Faculty Affairs</td>
<td><em>ex officio</em> (thru 2/19)</td>
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<tr>
<td>Andrea Romero</td>
<td>Associate Provost for Faculty Affairs</td>
<td><em>ex officio</em> (3/19 and after)</td>
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The Constitution & Bylaws Committee conferred multiple times this year, but always by email. We reviewed changes to the Constitution and Bylaws forwarded to the committee from other committees as well as the faculty officers.

The Committee shifted its review process to use online versions as the documents of record for the Constitution and Bylaws. Review proceeds through a set of pending-change versions that are linked from the Committee’s homepage on the Faculty Governance website. Archived versions of changes that were approved are also available in these pending-change versions.

Changes to the Constitution and Bylaws were forwarded to Faculty Senate on several occasions over the academic year. All approved changes are included in the documents of record.

Respectfully Submitted,

Amy V. Fountain, Chair
Constitution & Bylaws Committee 2018-19
Members:
Dr. Amy Fountain, CHAIR, Secretary of the Faculty (6/16-5/20)
Mr. Michael Brewer, LIBR (6/14-5/20)
Dr. Thomas Miller, ex officio non-voting
Dr. Judd Ruggill, COH (6/17-5/19)
Dr. Jonathan Tullis, COE (6/16-5/20)

The Committee met on October 24 to review the list of faculty members who were not included in the UAccess Census of the General Faculty, but who believed they met the criteria for inclusion in the General Faculty. The committee applied the definitions given in the Faculty Constitution, and the Guiding Principles adopted by Faculty Senate in order to make these decisions.

Over the next few weeks, the Committee adjudicated 41 such cases, and communicated our decision to the requesters. In the months since, the Committee has also reviewed and adjudicated a handful of additional requests.

Respectfully submitted

Amy Fountain
Chair
Committee on Faculty Membership
UCEC Members:
Dr. Julie Ledford, CHAIR (6/16-5/19) (COM-T)
Dr. James Watson, VICE CHAIR (6/17-5/20) (RDI)
Dr. Bernard Futscher (6/18-5/21) (PHARM)
Dr. Sheila Gephart (6/16-5/19) (NUR)
Dr. Elizabeth Oglesby (6/16-5/19) (SBS)
Ex officio: Mr. Scott Pryor Research Integrity Officer (RIO)

Mission (from Faculty Constitution, Article V, Section 7)
“The University Committee on Ethics and Commitment shall deal with questions of misconduct in research, scholarship, or creative endeavor; conflict of commitment; and facilities misuse; and receive reports from the Research Integrity Officer. In its deliberations it will use the current versions of the University policies on research integrity, professional commitment and proper facilities use.”

See also the inquiry function of the UCEC as described in UHAP 2.13.09: “Policy and Procedures for Investigations of Misconduct in Scholarly, Creative and Research Activities.”

The committee held two Inquiry Panels during the 2018-2019 academic year. The Panel investigated a complaint of academic integrity dated November 28, 2019 (2018-11) and another one dated January 25, 2019 (2018-14). Two separate panels were called to service, which reviewed the evidence and interviewed witnesses. The Panel submitted a report with Findings and Recommendations to Scott Pryor for case 2018-11, Research Integrity Officer on March 14, 2019. The investigation for 2018-14 is still ongoing due the nature of the data analysis needed from outside sources.

The Committee’s Annual Meeting was held on September 10, 2018.

Respectfully submitted,

Dr. Julie Ledford
Chair, UCEC
Grievance Clearinghouse Committee
2018-19 Annual Report

Committee Members
Mr. Shaun Esposito  LAW  CHAIR, CAFT
Dalila Ayoun  COH  Vice-Chair, CAFT (Non-voting)
John Leafgren  COH  Faculty Senator
Julie Ledford  COM-T  Chair, Committee on Ethics and Commitment
James Ratner  LAW  Chair, Committee on Conciliation
Mary Beth Tucker  OIE  Office of Institutional Equity

Mission
The Grievance Clearinghouse Committee shall be the faculty committee that accepts faculty members’ written requests for grievance hearings and which determines which committee (Conciliation, Committee on Academic Freedom and Tenure, University Committee on Ethics and Commitment) or process (Office of Institutional Equity) should consider a grievance.

Petitions
The Committee reviewed four petitions in the 2017-18 academic year:

- A complaint following suspension of research privileges for a faculty member was filed in late August 2018. The matter was referred to the Committee on Conciliation.

- A complaint regarding the closing of a research center and a reduction in a faculty member’s compensation was filed in September 2018. The complaint had already been the subject of informal dispute resolution and the GCC decided it was not appropriate to make any formal referral in this matter.

- A complaint from a non-tenured part time faculty member was received in March 2019. The information provided by the grievant did not provide enough information for the Committee to decide whether or where to refer the complaint. The faculty member was notified and encouraged to seek assistance from University HR.

- A complaint from a faculty member concerning a director’s actions at an academic center was received in March 2019. The complaint did not provide enough information for the Committee to decide where to refer it. The faculty member was notified and encouraged to contact the Chair of the Committee on Conciliation to determine if faculty-run conciliation would help resolve the matter.
The Chair is grateful for the time and effort of GCC members, all of whom volunteer for service on this important shared governance committee.

Respectfully submitted,

Shaun Esposito, Chair
Grievance Clearinghouse Committee
THE UNIVERSITY OF ARIZONA®
Faculty Senate Standing Committee
Faculty Center
1216 E. Mabel St. - PO Box 210456
621-1342 (Fax: 621-8844)
Research Policy Committee

ANNUAL REPORT 2018-19

Committee Members:
Dr. Thomas Meixner, CHAIR, COS (1/16-5/19)
Dr. Shirin Antia, COE (9/17-5/19)
Ms. Amanjot Gill, GPSC 8/17-5/19)
Dr. Douglas Loy, ENGR (6/18-5/19)
Ms. Maddy Melichar, ASUA (7/18-5/19)
Dr. Thomas Moon, Postdoc (10/17-5/19)
Dr. Stanley Pau, OSC (6/11-5/19)
Dr. David Pietz, SBS (6/17-5/19)
Dr. Marlys Witte, COM-T (6/13-5/19)

The main activity of this past year was to work on the proper structure and governance of the Research and Development offices core facilities. We are still in the process of working on that document but the general vision includes the following elements-

1) Governance must include faculty and user participation
2) The Core facility must have a vision developed jointly by the users
3) Reporting of core facility productivity – publications, impact, use, and finance must be done on an annual basis.
4) A clear set of metrics and process for sun setting facilities is needed

Respectfully submitted,

Dr. Thomas Meixner
Chair, RPC
### THE UNIVERSITY OF ARIZONA®
### STRATEGIC PLANNING & BUDGET ADVISORY COMMITTEE

#### ANNUAL REPORT 2018-2019

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<th>Co-Chair, Atmospheric Sciences</th>
<th>Chair of the Faculty, Education</th>
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<tr>
<td>Allison Vaillancourt</td>
<td>Xubin Zeng</td>
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Staff support provided by Jane Cherry and Sabrina Smith
KEY COMMITTEE ISSUES AND ACTIONS

STRATEGIC PLANNING
While SPBAC was not directly involved in the preparation of the current strategic plan, the committee received regular updates and provided input on the strategic plans and their implementation for both UA Health Sciences and the University as a whole. We began and ended the year with facilitated conversations about organizational values.

WHAT DOES HISPANIC SERVING INSTITUTION (HSI) STATUS MEAN FOR THE UA?
Marla Franco, who was this year named Assistant Vice Provost for Hispanic Serving Institution Initiatives, provided SPBAC members with an overview of the criteria that led to our recent HSI designation. She also shared efforts underway to build upon institutional commitment, faculty and staff training, diversifying faculty, student support, and partnership development.

RESPONSIBILITY-CENTERED MANAGEMENT (RCM)
SPBAC members Jeff Goldberg, Lisa Rulney, Kathy Whisman, and Jim Florian provided an overview of UA’s current revenues, assessments to colleges, and RCM subvention trends. SPBAC members asked that their feedback about RCM be incorporated into the final RCM evaluation report that is being prepared by an RCM review committee. Members acknowledged that RCM increases transparency and creates performance incentives for colleges and departments but noted that it has resulted in too many open course seats, penalizes colleges with expensive programs, does not value teaching quality, and is not designed to encourage research. Members made the following recommendations:

- Improve RCM-related communication to faculty and staff directly.
- Revise the weight of general education to better distribute tuition.
- Create a better allocation formula for central functions and strategic initiatives.
- Require deans to be transparent.
- Improve the RCM governance, including implementation leadership.

FINANCE AND BUDGET
SPBAC member Lisa Rulney led a discussion on UA’s finance and budget trends. The state funding to UA declined by 44% from 2008 to 2016 and is expected to remain constant through 2025. Projected financial aid for 2019 will be approximately $300 million. Online enrollment and enrollment over micro-campuses are projected to increase significantly in the next few years, with the goal to have 10,000 students by 2025. The size of UA’s endowment today is close to $900 million. Annual research expenditures were $686 million for 2018.
THE UA/BANNER PARTNERSHIP
Strengthening the UA/Banner partnership was a key theme of the year and SPBAC received regular updates on progress to update facilities and improve systems and patient care. UA employees and their families now have expedited appointment privileges and revenues are moving in a better direction.

ORGANIZATIONAL CULTURE
Former Vice Provost for Faculty Affairs Tom Miller led a conversation about the COACHE results and invited SPBAC members to propose options to identify and address leadership problems early, increase leader transparency and accountability, support department heads to be successful, and create a more fulfilling and rewarding environment for all faculty.

IMPROVING TEACHING QUALITY
Assistant Vice Provost for Instruction and Assessment, Lisa Elfring led a conversation about teaching quality and efforts to improve teacher-course evaluations (TCE). She shared the TCE Vision Committee’s work to craft a new approach focused on the student’s experience, aligned with practices central to productive teaching and learning, and useful in providing formative feedback to instructors. SPBAC endorsed the TCE Vision Committee’s direction and recommended that assessment experts provide input on final recommendations.

ENROLLMENT AND RETENTION
SPBAC members Vin Del Casino, Meg Lota Brown, and Brent White provided updates and engaged in discussion on enrollment and retention trends for undergraduates, graduates, and international students.

Arizona Online enrollment has doubled since 2014. Fifty-one percent are undergraduates/first generation students, with 50% in-state residency. The goal is to have 12,000 online students enrolled by the year 2025.

First year undergraduate enrollment is up by approximately 400 students, while retention has dropped from approximately 83.1% to 81.2%. Our retention rates are uneven, with more students of color leaving us. Research regarding the factors leading students to leave us points to the need to attend to a sense of belonging. Four- and six-year graduation rates are improving.

As we consider our enrollment strategy, we must consider that there are 38 million adult learners, while the pipeline of 18-year-olds is in decline.

Graduate enrollment is up 16% since 2012 and we have seen a 54% increase in underrepresented minority enrollment during this time. The UA is #1 in the U.S. in Native American PhD students and #7 in the U.S. in Hispanic PhD students. International graduate students were up 3% in 2017 and 7% in 2018. Our Ph.D. completion rates mirror our peers: 53% after six years.
Strategies for increasing international enrollment at both the undergraduate and graduate level include market specialization, regional specialization, streamlining the application process, and increasing scholarships. Micro-campuses will be a key enrollment strategy and we have set a goal of 10,000 students on these campuses.

**CAMPUS MASTER PLAN**
Robert Smith, Vice President for University Planning, Design and Operations and SPBAC member Peter Dourlein discussed the process to update the Campus Master Plan. Smith and Dourlein reviewed the factors that drive campus planning and shared that expansion will occur vertically rather than horizontally as the UA is landlocked at four-hundred acres. The UA currently has 15 million square feet of buildings and there is potential to grow by an additional 10 million square feet. Parking remains a key consideration. The preliminary planning objectives of the Campus Master Plan are to address density, campus gateway, campus edges, partnerships, sustainability, infrastructure, inspiration, and academic research/planning. The UA College of Architecture, Planning, and Landscape Architecture is a key partner.

**HIGHER LEARNING COMMISSION (HLC) ACCREDITATION**
SPBAC member Jessica Summers led discussions on the HLC accreditation process. The team started this process in November of 2018 and the report must be completed by 2021. SPBAC provided recommendations of “evidence” for several components of the HLC self-assessment report.

**SPBAC CO-CHAIRS’ FINAL REMARKS**
FY 18-19 was another year of profound institutional change. Good progress was made on strategic planning design and implementation and we welcomed several new deans, vice provosts, vice presidents, and senior leadership team members. We appreciate that President Robbins joined SPBAC meetings on a regular basis, as did Senior Vice Presidents Jeff Goldberg, Steve Moore, and Lisa Rulney. Their participation and insights were powerful and SPBAC members appreciated the opportunity to share their perspectives with these key decision makers.

It was an honor to serve as SPBAC co-chairs. We appreciated SPBAC members’ outstanding attendance, wise analysis, and willingness to engage in spirited conversation. Once again, the committee demonstrated the power and value of shared governance to encourage thoughtful reflection and more strategic decision making.

Allison M. Vaillancourt  
SPBAC Co-Chair

Xubin Zeng  
SPBAC Co-chair
Student Affairs Policy Committee
Annual Report 2018-2019

SAPC Members:
Diane Ohala, CHAIR, Linguistics (6/16-5/19)
Cheryl Cuillier, University Libraries-Research & Learning (6/14-5/19)
Brennen Feder, ASUA (8/17-5/19)
Jeremy Frey, English (6/18-5/19)
Ms. Fiona Grugan, GPSC (8/18-5/19)
Leila Hudson, Middle Eastern & North African Studies (1/18-5/19)
Lauri Macmillan Johnson, Landscape Architecture & Planning (7/10-5/19)
Kimberly Marchesseault, Management and Organizations (6/18-5/19)
Jeff Stone, Psychology, (6/14-5/19) Sabbatical
Kendal Washington White, Dean of Students, ex-officio (8/09- )

During the academic year 2018-2019, the committee met September 10, 2018; October 15, 2018; February 13, 2019; March 20, 2019; and April 10, 2019. Details and highlights are provided below.

Topics and action items for September 10, 2018 included:

Campus Pantry: The committee discussed the Campus Pantry’s success since visiting SAPC the previous year, including its efforts to increase in size and increase its schedule. K. Washington White noted that a budget proposal had been submitted to President Robbins’ office (nb. a subsequent visit by President Robbins to the Pantry achieved very favorable results). F. Grugan from GPSC suggested that the Pantry consider an earlier opening date (e.g., early August), given that many graduate students arrive then but have not received a stipend yet. Chair Ohala agreed to follow-up on this suggestion.

CAPS update: K. Washington White reported that CAPS will be hiring more mental health providers for the student population. One had been hired already through the student services fee, and there was a commitment to hire eleven more in the near future. In addition, a counselor from will be housed in the Dean of Students office in the Nugent Building to do screening and referrals.

Miscellaneous costs to students: Committee members talked about student program fees, student teaching fees, course fees, and the additional costs to students over and above tuition. The hope is that some costs will be mitigated by the conflict of interest textbook policy (UHAP 2.11) approved last year. Further suggestions regarding potential cost reductions in course materials will be addressed in the piece of UHAP Chapter 7 that was ultimately separated from the self-authored materials policy.
Priority topics for 2018-19: The committee discussed plans to address the following topics in the coming year: textbook adoption letter from the Provost, follow-up on textbook policy implementation, DACA Students, program fees, faculty awareness re safe zone and VETS training, UA Disability Culture Center/DRC best practices, First Cats, SPEAC (Students Promoting Empowerment and Consent), etc.

Topics and action items for October 15, 2018 included:

Course Materials Adoption Policy: The committee was charged with revisiting UHAP 2.11 to assist in the creation of FAQs to be housed online that will help teaching faculty navigate the policy once it goes into effect. Suggested FAQs devised by the office of the Vice Provost for Faculty Affairs were reviewed and various edits were proposed, including language that makes it clear that the policy is not intended to be punitive, but merely to provide transparency for students when instructors require texts that they have written. Representatives from SAPC were requested to attend an upcoming Dean’s Council meeting to discuss the policy, field questions, and collect feedback, including a proposal by the College of SBS to provide an online reporting portal system that could be potentially be used by all teaching faculty to report the conflict of interest. (nb. C. Cullier attend the Dean’s Council meeting, and Chair Ohala and C. Cullier were involved in vetting the initial instantiation of the portal).

Other suggestions included providing a general information page for new authors regarding this policy as well as a list of tips and potential pitfalls (such as dealing with predatory publishers) when designing materials for a course. New Faculty Orientation was discussed as a potential venue during which such information could be effectively shared. In addition, it was discussed whether this conflict of interest could be incorporated into the Conflict of Interest Form that goes out to faculty every June, but this timeline does not sync well with the early textbook adoption dates established by UA BookStores.

Promotion of Ally Training: Chair Ohala raised the possibility of having a centralized and/or department location where students could find out which individuals in a department have had any type of ally training, similar to what the Linguistics Department does. The committee endorsed this suggestion and Chair Ohala will follow-up with relevant constituencies.

Topics and action items for February 13, 2019 included:

Semester Textbook Adoption Letter: The committee reviewed, edited, and discussed the Textbook Adoption Letter sent on behalf of the Provost that is crafted by SAPC each semester to remind teaching faculty about course material adoption deadlines. K. Washington White offered to contact the bookstore for information regarding recent adoption stats, although follow-up with UA BookStores personnel resulted in these numbers being excluded. L. Hudson suggested that there be multiple reminders (endorsed by the entire committee), especially regarding the fact that instructors opting for no required textbooks still need to inform UABookstores of that decision. Two email were sent to all teaching faculty prior to the March 17th deadline.

Update on Course Materials Adoption Policy: Chair Ohala reported her the results of her conversation with the new VP for Faculty Affairs, Andrea Romero. In that discussion, it was unclear where the FAQ page that was reviewed the previous year, and whether the suggestions
made last year were vetted and/or implemented. The FAQ was not present on the policy page for UHAP 2.11, as would be indicated, but rather is on a page under the Faculty Affairs office’s purview. J. Cherry followed up after the meeting and the FAQ is now linked on the policy page. Chair Ohala agreed to follow up about the FAQ suggestions that had not been implemented or reviewed.

Presentation by Guest Natalynn Masters (ASUA President): N. Masters presented the committee with information regarding ASUA’s structure, function and overall pressing concerns, including campus safety (specifically, lighting and blue lights), the Live Safe and I Will campaigns. N. Masters also strongly endorsed the idea of a central/department online repository for campus allies (individuals who have elected to participate in training of various types). Discussion also included student opinion of UHAP 2.11 and ASUA Senator B. Feder informed the committee of a resolution he was helping to author in ASUA on the issue of textbook affordability.

Topics and action items for March 20, 2019 included:

Presentation by Guest Marie Teemant (GPSC President): M. Teemant N. Masters presented the committee with information regarding GPSC’s history, structure, function, and relationship to ASUA. Much of the focus and discussion was on various funding opportunities for graduate students. There are three main ways that students get funding: the travel grant program, research and project grants, and professional opportunity development grants. Currently via these grants, there is $350,000 total per fiscal year to dispense and they hope to increase that amount in future years. The committee asked for clarification on how these opportunities are advertised and whether SAPC could help to promote awareness, particularly among faculty who could encourage their students to apply for these opportunities. M. Teemant emphasized how graduate students can themselves get involved (reviewing grants, applying for grants, serving as an office, coming to social events, etc.) and the committee also discussed how to assist in promoting these opportunities as well.

Review of Electronic Privacy Policy with Celina Ramirez, Lanita Collette: The committee was asked to review the UA’s revised Electronic Privacy Policy (EPP) and hosted Celina Ramirez (Chief Compliance Officer, Executive Office of the President), Lanita Collette (Chief Information Security Officer, UITS) and others involved in the revisions. The EPP is just one of 17 different policies recommended for revision by a recent audit, which are mostly regarding information security with this one privacy policy. The original EPP was drafted in 2009 and had not been updated since that time. Language from that document was moved to the University Privacy Statement and the EPP now correctly reflects what actions are required by different individuals at the UA, including all UA employees, regarding electronic privacy. The committee asked a number of clarifying questions, made suggestions about how to bring the policies to Senate, and suggested that more faculty/student feedback on these policies might be solicited, so that all stakeholders have a role in their development. L. Collette confirmed the intention to be as transparent as possible regarding these revisions (nb. B. Feder, ASUA Senator and SAPC member, was contacted after the meeting and was asked to join in the process as a student representative).

Topics and action items for April 10, 2019 included:

General Updates: ASUA Senator B. Feder announced that the resolution regarding textbook affordability was unanimously passed in Senate. L. Hudson and Chair Ohala also discussed the
recent review of the Campus Repository housed here at the UA to increase Open Access (and which was a topic at the last Senate meeting) as another option for instructors and students. L. Hudson also discussed the open letter to President Robbins regarding the AZ3 and recent events surrounding this issue. It was noted that the charges against the students may be dropped and the entire event treated as Code of Conduct through the Dean of Students Office. K. Washington White abstained from commenting on this issue due to conflict of interest (nb. L. Hudson reported some days after the meeting this did come to pass). The committee discussed campus climate, lack of awareness of campus guests and other issues that could be addressed to ensure safety for all on campus.

Presentation by F. Grugan, GPSC and SAPC member: F. Grugan discussed the Universal Design Summt that she attended, which purpose is to highlight four main barriers for anyone on campus who needs additional resources: technology, curriculum/pedagogy, culture, and physical space. For instance, the Disability Resource Center (DRC) gave 1300 exams last semester and over 1100 of them were just for time and a half for tests. If instructors could offer that time and a half for testing, then 80% of the tests given would not need to be given via the DRC. Committee member Grugan discussed this to promote new thinking on how we can make our campus more inclusive to all, and the committee discussed other ways to address these issues.

F. Grugan also raised the inequity in full-time status rules for graduate students with GTA/GRA responsibilities vs. those who work full-time. There is a credit inequity, such that GTA/GRAs can take fewer credits to be considered full-time but students otherwise working full-time (but not as a GTA/GRA) must take more. Chair Ohala agreed to raise this issue at the next SEC meeting (nb. the GPSC representative at that meeting also noted that the inequity is even more serious for international students). This is an action item to pursue in the next academic year.

Finally, F. Grugan also noted that, in general, graduate students don't have enough money, enough time, and too many workshops. F. Grugan also noted the need for better mentoring, transparency of adjustments in student fees (like for the rec center). These are also action items to pursue in the next academic year.

UHAP Chapter 7 Revisions: the committed discussed revisions to the piece of UHAP Chapter 7 that was divorced from UHAP 2.11 under J. Stone’s leadership. The document had been sent around prior to the meeting and also received feedback from other Senate constituencies. The committee unanimously agreed that the document should stay as it is and that it provided valuable information on ways to lower costs for students in regard to course material selection. The committee also felt that it was not policy, per se, but rather Best Practices, and discussed where it might best be housed to have the most potential for a positive impact. Chair Ohala agree to follow up in the next SEC meeting (nb. It was agreed at that meeting the it should not be part of UHAP Chapter 7, but will be presented at the next Senate meeting as an information item for feedback, including suggestions on where to house and maintain it).

Respectfully submitted,

Diane Ohala, Ph.D.
Chair, SAPC