Graduate Faculty Policy

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Approved by Graduate Management Team, July 5, 2019
Approved by GPERC, August 15, 2019
Consent given by Dean's Council, October 1, 2019
Approved by Graduate Council, October 4, 2019

<please also see the FAQ associated with this policy>

0. Prologue

Advising, teaching, supervising and mentoring graduate students is one of the great privileges of being faculty at a major research institution. Graduate students are more than just students we are tasked with teaching; they are the future leaders of our institutions, our state and our society. They are the first scholars to address the grand challenges that face us. They are integral members of our academic community. They connect us with the world around us. And they help stimulate new ideas and new ways of thinking.

The great privilege of working with graduate students comes with an equal responsibility that we address their education and training using best practices and providing them with teachers, research advisors, graduate committee members, supervisors and mentors with the highest qualifications.

1. Appointment types

1.1 For Appointed UA Faculty

The description in this section is for individuals appointed to regular faculty positions at the University including tenured/tenure track, continuing status/continuing eligible, career track faculty (e.g., professors of practice, research professors, clinical faculty, lecturers, etc.), and emeritus faculty with FTE at the University.

It does not include individuals without a regular faculty appointment at UA, such as post-doctoral fellows or visiting scholars (including people with Designated Campus Colleague status). It also does not include adjunct, visiting, or volunteer faculty, faculty who have left UA, or courtesy faculty without FTE at UA. For individuals with those categories, see section 1.2.

Categories D, M, ED, EM (described below in sections 1.1.2-1.1.5) and invited faculty count as “regular members” for the purposes of the construction of graduate committees.
For each faculty member, their appointment will be accompanied by a list of graduate programs in which the faculty member may perform the functions.

Faculty may have different levels of appointment in different programs. For example, a faculty member may be -D for one program and -M or -C for another.

1.1.1 Tenure-eligible/tenured faculty and Continuing Status eligible/Continuing Status academic professionals with faculty appointments are automatically members of the Graduate Faculty writ large, and shall be appointed to the appropriate rank in relevant programs based on their qualifications. Career track faculty are eligible to be appointed as members in appropriate programs based on their qualifications and the recommendation of the Graduate Program.

1.1.2 Member of the Graduate Faculty, GF-D (Doctoral and Terminal Degree Committees)

Rights: Membership on Ph.D., other doctoral degrees¹, masters and other terminal and non-terminal degree committees.

Typical qualifications as determined by program faculty:
- PH.D. or other appropriate terminal degree in the field or a related area (e.g. MD, JD, DVM, etc²).
- Evidence of recent activity in scholarship, creative activity or professional experience in the field or related discipline.
- Participation in the graduate program (such as any of the following: teaching, mentoring, service on policy, examination, admissions, curriculum and other graduate oriented committees). In the case of new and early career faculty these criteria may be waived with the recommendation of the Graduate Faculty Committee of the program.

*may receive special endorsement to chair doctoral and/or masters committees. See 1.1.4 below.

1.1.3 Member of the Graduate Faculty, GF-M (Masters Committees)

Rights: Membership on masters and other non-terminal degree.

Typical Qualifications as determined by program faculty:
- Masters, Masters-equivalent degree, Specialist Degree or other terminal degree in the field or related discipline.
- Evidence of recent activity in scholarship, creative activity or professional experience in the field or related discipline.

¹ Important note: membership in the Graduate Faculty does not apply to the first professional doctoral degree programs such as MD, DVM, JD, or PharmD. Qualification to serve as faculty for those degrees is determined by the academic colleges that offer them and often requires additional professional qualifications.

² Faculty with other terminal degrees (such as the MFA) might be appropriately appointed to either GF-M or GF-D status depending upon the norms and traditions of the discipline.
• Participation in the graduate program (such as any of the following: teaching, mentoring, funding students; service on policy, examination, admissions, curriculum and other graduate oriented committees). *In the case of new and early career faculty these criteria may be waived with the recommendation of the Graduate Faculty committee of the program.*

*may receive special endorsement to chair Masters committees. See 1.1.4 below.

1.1.4 **ENDORSEMENT TO CHAIR GRADUATE STUDENT COMMITTEES (GF-D*, GF-M*)**

Programs may request an endorsement on the GF-D and GF-M for the faculty member to chair committees at the relevant level. Faculty who are endorsed to chair a committee are expected to demonstrate the following:

a) An extended commitment to serve on a student’s committee (e.g. a long-term career track appointment, continuing status/continuing status eligible, or tenured/tenure eligible status.)

b) A record of providing mentoring and advising to students, such as, for example serving as regular members on graduate student committees or supervising research projects. *In the case of new and early career faculty, this requirement may be waived with the recommendation of the Graduate Faculty Committee of the program.*

c) Faculty without the endorsement to chair status may serve as co-chairs with a faculty member who has the endorsement.

1.1.5 **ENDORSEMENT FOR EMERITUS FACULTY. (-ED/-EM)**

Emeritus members are faculty or continuing status professionals who retire in good standing and who have been awarded Emeritus status by the President of the University of Arizona. Emeritus faculty retain the rights they held as regular graduate faculty (e.g. GF-D or GF-M), and are automatically members of the Graduate Faculty, so long as they continue evidence of currency in their field. The following additional conditions hold regarding the “Endorsement to chair status” for Emeritus faculty.

• Faculty who continue with a .25 FTE or higher employment status with the university may retain their “endorsement to chair”, without limit.

• During the first year of retirement, Emeritus members may retain their endorsement to be sole chair of a graduate student committee.

• After the first full year of retirement, an Emeritus member may serve as a co-chair (not sole chair) of a graduate student’s committee. This arrangement permits the Emeritus faculty member to continue as the student’s advisor serving alongside a current UA employee who can be held accountable for all institutional responsibilities and policies as co-chair.
1.1.6 **Invited Committee Members:**
A University of Arizona faculty member who does not normally serve as Graduate Faculty in a particular program may be appointed as an invited committee member for the purposes of a particular student’s committee, like a special member. But unlike special members, Invited Members count as “regular faculty” for the purposes of minimum regular faculty composition on committees. (Appointment form for invited members is made at the time a student files their committee appointment. Since invited faculty are already members of the Graduate Faculty, they do not need to file any additional paperwork)

1.1.7 **Graduate Faculty who are also Graduate Students**
In special cases where members of the Graduate Faculty enroll in a UA graduate program as part of their professional development, they may be permitted to retain their Graduate Faculty appointment in a program. However, they may not supervise, sit on graduate student committees for, or serve as the instructor of record for students that are peers in the graduate program in which they are enrolled.

1.1.8 **Graduate Course Instruction**
Faculty and instructors do not need to be members of the Graduate Faculty to teach Graduate Level classes and may be appointed as needed. However, they must have the minimum qualifications listed at: https://grad.arizona.edu/policies/academic-policies/who-can-teach-graduate-courses

1.2 **For people without a current UA faculty appointment:**

1.2.1 **Retired Faculty (Not Emeritus) and Other Faculty who have Resigned their Positions**
- Retired faculty who have Emeritus status are governed by section 1.1.4 above.
- Faculty who have retired without Emeritus status or who have otherwise resigned from their positions, may at the recommendation of their programs and approval of the Graduate College, retain their status as members of the graduate faculty, including endorsement to chair, for a period of up to one calendar year.
- After one year, former faculty may serve as special members (see 1.2.2 below). They may co-chair a graduate committee along with a current member of the Graduate Faculty. (Appointment form for special members is completed at the time a student files their committee appointment).

1.2.2 **Special Members**
Uniquely qualified individuals who are not appointed as faculty at the University of Arizona (for example, faculty at other universities, post-doctoral fellows, visiting researchers, Designated Campus Colleagues, or professionals from outside academia with exceptional knowledge in the area of research) may be appointed as special members to graduate committees. These appointments require special review by the Graduate College. (Appointment form for special members is made at the time a student files their committee appointment form.)
2. **Appointment Terms**

2.1 The term of appointments to the graduate faculty is for the number of years between Academic Program Reviews or the duration of the faculty member’s appointment to the university, whichever is shorter.

2.2 At the time of a program’s Academic Program Review (APR), faculty appointments shall be renewed upon the recommendation of the graduate program and approval of the Graduate College (see section 3 below)

2.3 TT/Tenured/CS/CS-eligible faculty shall have their GF status automatically renewed provided there are no serious problems with performance.

2.4 Faculty who are non-renewed, resign or retire from the university without emeritus status are subject to section 1.2.1

2.5 Membership in the Graduate Faculty ends immediately when a faculty member is terminated with cause from the University.

3. **Appointment and Reappointment Process.**

3.1 **Graduate Faculty Committee**

3.1.1 Each Graduate Program\(^3\) shall have a Graduate Faculty committee (GFC) that regularly reviews the qualifications of faculty and the faculty member’s suitability to serve roles in the Graduate Faculty. This committee reports to the program’s Director of Graduate Studies (DGS), Program chair/director, Department head, or School Director if appropriate, and Academic College Dean. The composition of the committee is up to the traditions and bylaws of each graduate program and may be the same as the program's executive committee, the graduate committee or other existing faculty body. Programs may include graduate student representatives if they feel it is appropriate.

3.1.2 The GFC shall develop a set of criteria for inclusion in the program’s Graduate Faculty. These criteria must be approved by the Academic College Dean and the Graduate College Dean. The criteria shall be based on academic qualifications rather than employment status. While the criteria should be rigorous, they should also be as inclusive as possible and value faculty expertise at all ranks and employment statuses.

3.1.3 Faculty may be appointed to the GF of any program on campus, if appropriately qualified, regardless of where they hold tenure or FTE.

3.1.4 Faculty may be appointed to multiple programs as Graduate faculty.

3.1.5 Program level criteria for membership that exclude early career faculty from participation in graduate education will be rejected.

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\(^3\) Or a coherent set of graduate programs that have close intersections and relationships. For example, a small college with multiple interrelated programs might choose to have a single GFC for them all. Existing graduate committees or executive committees might also serve this function. The exact structure of GFCs is left up to the program and academic college.
3.1.6 The GFC shall develop a plan for the mentorship of early career faculty, such that early career faculty are provided the opportunity to develop experience and skills in advising and mentoring graduate students.

3.2 New appointments:

3.2.1 Each spring, the Graduate College will issue a call for new members to the Graduate Faculty.

3.2.2 Tenured/Tenure-eligible/Continuing status/CS-eligible faculty shall automatically be appointed as members of the Graduate Faculty.

3.2.3 The GFC shall recommend to the DGS or Designee the level of appointment for each faculty member and whether or not the faculty has the endorsement to serve as chair.

3.2.4 The DGS or designee shall submit a recommendation to the Graduate College using the web form (See appendix B) along with a current CV.

3.2.5 The Graduate College will review the recommendations and make final appointments within 1 month of submission.

3.2.6 Programs may also make requests for new GF membership outside the annual call window.

3.3 Periodic Performance Review and Renewal

3.3.1 When a program submits documentation for their Academic Program Review (APR), they shall briefly review all faculty for continued membership in the GF for that program, as part of the normal APR self-study procedures.

3.3.2 Faculty are not expected to do any additional reporting. Status in the GF is reviewed as part of existing review mechanisms (such as annual peer review, P&T review, APR review).

3.3.3 Unless poor performance merits remediation, or excellence merits an increase in status, then tenured and tenure track/CS/CS-eligible faculty shall be automatically renewed without a change in status. Career track faculty should reviewed every 7 years at the time of the APR and at the time of their contract renewal.

3.3.4 Reappointments with a change in status are made with the full version of the form Appendix C.

3.3.5 Reappointments without a change in status are expected to be the default and are submitted using the short truncated version of the form in Appendix C or via a spreadsheet that contains the same information.

3.3.5 In the rare case remediation is required for poor performance the procedures in section 6 shall hold.

3.4 Other Appointment Provisions

3.4.1 Appointments for Special Member Status or as Invited Faculty Status are made at the time a student files their committee appointment form in GradPath.
3.4.2 Special member status involves submitting a CV for the external member and requires approval of both the program's DGS and the Graduate College.

3.4.3 Invited faculty members do not need to submit any additional documentation, and their inclusion on a committee only requires DGS approval.

3.4.4 GF-D, GF-M, categories (as defined above in sections 1.1.2-1.1.3) will be added to the UAccess Employee record. GF-ED, GF-EM (as described in section 1.1.5), invited faculty, and special members will be tracked by the Graduate Student Academic Service (GSAS) office in the Graduate College.

4. Responsibilities and Expectations of Graduate Faculty

4.1. Member of the Graduate Faculty are expected to inspire, support and advance the graduate students at the university and in their program(s). To this end, the following are expectations and responsibilities of the Graduate Faculty:

- Regularly teach, mentor, and/or advise graduate students as appropriate in the program, or as contracted for in the faculty member's appointment in the program, department or school.
- Regularly serve on some service committees in support of graduate education in the program, college, university and/or the discipline (e.g., curriculum, admissions, recruitment, special trainings and workshops for graduate students, student review, Graduate Council, or disciplinary service that supports students).
- Remain current with research and/or other scholarly, professional and creative practice in the discipline.
- Uphold and maintain the ethical standards of their discipline(s), programs, departments, schools, colleges and the University of Arizona.
- Provide appropriate supervision and advising on graduate coursework and research.
- Review graduate student work and provide feedback in a timely manner.
- Be responsive to communication requests from students and other faculty.
- Provide graduate students with information about their academic progress each semester.
- Help students complete their degrees in a timely manner.
- Provide appropriate support to current and former students in their professional careers (e.g. providing letters of recommendation, support in creating CVs etc).
- Provide a healthy educational climate that encourages learning and professional development and is free from any form of discrimination or harassment.
- Demonstrate appropriate use of position and power (e.g. authorship considerations, committee membership, funding decisions, graduate workload).
- If supervising GAs (TAs and RAs), provide the GA with clear expectations of workload and regular feedback.
- Foster professional development outside the classroom or laboratory.
4.2 The role of chair has additional special responsibilities

- Assume principal responsibility for advising PhD and/or Master’s students.
- Commit the time for this work and be accessible to the student. Faculty who plan on leaving the institution, taking a sabbatical or retiring should ensure that they will continue to be accessible to the student if they take on the role of chair.
- Establish appropriate benchmarks with the student to help ensure timely degree completion
- Take primary responsibility for the development and administration of the appropriate examinations, including thesis/dissertation work through completion of the degree
- In concert with the student’s committee, oversee and approve the candidate’s comprehensive exams, dissertation/thesis proposal, dissertation/thesis research, and final written dissertation/thesis/creative project.
- Uphold the standards and quality expected of graduate students in the specific graduate program.

5. Graduate Faculty Performance

Performance in the graduate faculty should be regularly evaluated for all GF members using existing review mechanisms. Quality performance should be recognized and performance that requires improvement should be addressed. Activities within the Graduate Faculty should be considered in all of the following processes:
- Program internal Annual Peer Review
- Promotion and Tenure and Continuing status/eligible process
- Academic Program Review

There is no additional review required beyond these already existing review venues.

6. Remediation for Poor Performance.

6.1 Remediation at the time of regular review.

6.1.1 Recommendations to lower or suspend GF status or to initiate remediation procedures

During the review of GF during the review processes described in section 5, if the GFC determines that a faculty member does not currently meet the standards for appointment at their current category, they may recommend that the faculty member be appointed at a different level and placed on remediation, suspended and placed on remediation or not be appointed at all. Such a recommendation is expected to be rare and only result from documented significant and persistent problems. Changes in GF status do not affect tenure or other contractual benefits or responsibilities.

- Within 30 days of the recommendation, the Faculty member must be informed in writing, with a copy to the Graduate College of the nature of the change of status, the reasons for the change in status and any remediation plan required to restore the status.
6.1.3 **Appeal of Remediation Review**
If a faculty member disputes the change of status, they may request a formal appeal hearing from an ad hoc appeal committee convened by the Graduate Dean. The procedures for this appeal are outlined in Appendix D.

Faculty may also request that the Graduate College or similar body (e.g. Academic Colleges) may first act as a mediator in an informal attempt at dispute resolution through negotiation and discussion. An informal attempt at resolution does not preclude a formal review hearing.

6.2 **Extraordinary Review and Remediation**

6.2.1 **Extraordinary Review Triggered by Student Grievances**
In the event that one or more formal student grievance procedures against a faculty member is successful (this only applies when the grievances are adjudicated through the formal procedures in [https://grad.arizona.edu/policies/academic-policies/grievance-policy](https://grad.arizona.edu/policies/academic-policies/grievance-policy)), then the Dean of the Graduate College may initiate an extraordinary review of the faculty member’s status in the GF.

6.2.2 **Extraordinary Review Triggered by Administrative Processes**
The Director of Graduate Studies, Department Head, Dean of an academic college, Dean of the Graduate College, or Provost may also request that the Graduate College conduct an extraordinary formal review of a faculty member’s status in the Graduate Faculty, provided they have strong evidence of systematic poor performance. (Examples include a clear pattern of student complaints, evidence of a pattern of student neglect or abuse, violation of UA policies, failure to maintain academic standards, failure to meet the terms of a remediation plan or contract, etc.; other situations may also merit review). The Graduate College may also independently initiate such a review if significant evidence merits it.

6.2.3 **Extraordinary Review Procedures**
In the event an extraordinary review is required, then the Dean of the Graduate College shall appoint a committee of members of the graduate faculty to review the case and make a recommendation about the faculty member’s GF status. Possible outcomes may include a reduction in status with a plan for remediation, a temporary suspension of status with a remediation plan, in extreme cases, revocation of status or no change in status. Such a recommendation is expected to be rare and only result from significant and persistent problems.

- Within 30 days of the recommendation, the Faculty member must be informed in writing of the nature of the change of status, the reasons for the change in status and any remediation plan required to restore the status.
- Such a recommendation is expected to be rare and only result from significant and persistent problems. Changes in GF status do not affect tenure status or other contractual benefits or responsibilities.
6.2.4 **APPEAL OF EXTRAORDINARY REVIEW**

The faculty member may appeal the results of the extraordinary review using the procedures in Appendix D, *except* the complainant is considered to be the Graduate College and the convening authority for the appeal is the Provost's office. The final decision rests with the Provost.

6.2.5 **OTHER VENUES FOR CONFLICT RESOLUTION.**

This policy does not preclude investigations, grievances and appeals for faculty through other university venues such as those covered under UHAP: [http://policy.arizona.edu/university-handbook-appointed-personnel](http://policy.arizona.edu/university-handbook-appointed-personnel) and the Office of Institutional Equity: [https://equity.arizona.edu](https://equity.arizona.edu)

Resolution of conflicts may also be pursued through the University Ombuds Office: [https://ombuds.arizona.edu](https://ombuds.arizona.edu)

Graduate Student grievances and appeals are addressed through the policies at [https://grad.arizona.edu/policies/academic-policies/grievance-policy](https://grad.arizona.edu/policies/academic-policies/grievance-policy)
Appendix A: Implementation

In order to ensure that this is not an undue burden on faculty, program coordinators, program committees or the Directors of Graduate Studies. We propose a 3 year roll out of this project:

Tenured, Tenure Track faculty shall be automatically moved in to the GF system in year 3..

Year 1:

a) The creation of the appropriate faculty appointments in the UAccess system for each program. Managed by the Graduate College but approved by the academic programs
b) The formation of Graduate Faculty Committees (GFC) in each graduate program or the assumption of that role by an existing graduate committee.
c) The formulation of special disciplinary-specific conditions on GF membership by each GFC to be filed with the graduate college and academic college deans' offices, if appropriate. A template will be provided.
d) Colleges and departments may also need to adjust their bylaws in this year.

Year 2:

a) Newly hired faculty, at all ranks and all employment status can be reviewed and nominated to the GF. Newly hired tenure line faculty will be automatically added to the GF system
b) Existing Faculty who currently hold "Tenure-Equivalent" status in the Graduate College (https://grad.arizona.edu/policies/academic-policies/graduate-student-committee-service#requesting-tenure-equivalency), may be nominated into the GF system.
c) Existing Faculty, who do not have tenure, tenure track (e.g. those in career track, clinical faculty, continuing status faculty, research faculty, etc.), may also be nominated in this year.

Year 3:

a) Any faculty who fall into the categories listed for Year 2, but were not nominated for some reason, may also be nominated in this year.
b) Tenure Track, Tenured, Continuing Status, Continuing Status Eligible faculty (at all ranks) shall be automatically moved into the GF system at this time.
Appendix B: Sample Initial Appointment Form (Online)

Do not use this form for people who are not current or new faculty at the University of Arizona. Graduate Committee Appointments for people who are not employed by the University of Arizona should be handled through the Special Member Form. Similarly, requests to appoint a UA faculty member as an invited faculty member to a particular student's committee should use the Special Member form.

1. Name of faculty member:
2. Employment ID of faculty member:
3. UA NetID of faculty member (and email if different):
4. Title/Rank of faculty member:
5. Highest/Terminal Degree of faculty member:
6. Name of Graduate Program making the recommendation:
7. Name and Net ID of the person submitting this form
8. Level of appointment to the graduate Faculty:
   - ☐ GF-D (Doctoral Committees, includes and subsumes GF-M)
   - ☐ GF-M (Masters Committees)
   - ☐ GF-ED (includes and subsumes GF-EM) – Must hold Emeritus Status
   - ☐ GF-EM – Must hold Emeritus Status
9. Do you wish to endorse this person to serve as the sole chair of Graduate? (Y/N)
10. Has the faculty member demonstrated on-going engagement with the discipline, as evidenced by scholarly/creative/professional contributions? (Y/N)
11. Has the faculty member demonstrated an on-going engagement with graduate education (teach classes, serve on committees, supervise students, or engage in other activities that support graduate students): (Y/N)\(^4\).
12. If the person holds a terminal degree other than the norm in the discipline, e.g. an MD or JD for a Ph.D. Program), then please explain how their qualifications are applicable here and why they are appropriate to advise on or supervise research/scholarly work/creative work. (Optional, max 500 words):
13. Other comments (Optional, max 500 words):
14. Please attach a recent CV to this form.

\(^4\) Committees (GF-D and GF-M only. GF-ED and GF-EM may have this status for one year, unless they maintain FTE at the university in which case it may be extended. After one year, Emeritus Faculty may be co-chairs with a member of the GF, who has the endorsement to chair)

\(^5\) If the faculty member is an early career faculty member and cannot have been expected to demonstrate a record in this regard, please note that you are recommending that this requirement be waived in the "other comments" box below.
Appendix C: Sample Reappointment Form (Online)

Use this form only for faculty that currently have an appointment to the Graduate Faculty. This form should be submitted at the time of the program’s APR or when a faculty member’s appointment changes or is renewed (e.g. when they are promoted, they become emeritus, etc). At the time of annual APR review, the program may instead submit a single spreadsheet with all the relevant information for all the faculty reappointments in the program without a change in status.

1. Name of faculty member:
2. Employment ID of faculty member:
3. UA NetID of faculty member (and email if different):
4. Title/Rank of faculty member:
5. Highest/Terminal Degree of faculty member:
6. Name of Graduate Program making the recommendation:
7. Name and Net ID of the person submitting this form
8. Do you wish to recommend a change in the status of this faculty member: Y/N

<if the faculty member’s status is not changing you do not need to complete the rest of this form>

9. Recommended new level of appointment to the Graduate Faculty if recommending a change:
   - ☐ GF-D (includes and subsumes GF-M)
   - ☐ GF-M
   - ☐ GF-ED (includes and subsumes GF-EM) – Must hold Emeritus Status
   - ☐ GF-EM – Must hold Emeritus Status
   - ☐ Suspend Membership in the GF with remediation (must be justified below)
10. Do you wish to endorse this person to serve as the sole chair of Graduate Committees: Y/N
11. Has the faculty member demonstrated on-going engagement with the discipline, as evidenced by scholarly/creative/professional contributions? Y/N
12. Has the faculty member demonstrated an on-going engagement with graduate education (teach classes, serve on committees, supervise students, or engage in other activities that support graduate students), if appropriate: Y/N.
13. If the person holds a terminal degree other than the norm in the discipline, e.g. an MD or JD for a Ph.D. Program), then please explain how their qualifications are applicable here and why they are appropriate to advise on or supervise research/scholarly work/creative work. (Max 500 words):
14. If there is a request to change the level of the appointment. Please explain the reason for the change here (max 500 words):
15. If there have been any significant problems with the performance of the nominee with respect to graduate education, please detail those here (Max 500 words):
16. If you are requesting that the change in the level be a reduction or removal of privileges, please advise on an appropriate remediation plan (max 500 words):
17. Other comments (max 500 words):
18. Please attach a recent CV to this form.
Appendix D: Appeal Procedures.

D1. APPEAL OF REMEDIATION REVIEW
If a faculty member disputes the change of status set out by the conditions in section 6.1, they may request an appeal hearing from an ad hoc appeal committee convened by the Graduate Dean.

D1.1 The request for an appeal hearing must be received by the Graduate Dean within 30 days of the notification described in 6.1.1. This request must include a detailed explanation of the foundation for the appeal.

D1.2 The ad hoc committee shall be composed of 5-8 members of the Graduate Faculty writ large. The committee members shall be composed of disinterested parties from outside the unit that initiated the change.

D1.3 The DGS of the program recommending or a representative of the GFC shall provide a written response to the appeal.

D1.4 All members of the hearing committee and all parties to the appeal will receive a copy of the appeal and the department's response. All parties may present evidence in the hearing. All parties may provide witnesses. Committee members may question anyone presenting evidence during the hearing. Only evidence presented at the hearing and those documents submitted up to the time of the hearing will be considered in the adjudication of the appeal.

D1.5 The burden of proof in the hearing lies with the unit requesting a change or suspension of status.

D1.6 At the hearing, the appellant will first present his/her case to the hearing committee. They may have one advisor present. That person will play an advisory role only and shall not present or participate in the presentation of the appellant’s case at the hearing. If the appellant elects to have an attorney as an advisor, the Graduate College must be notified at least two weeks before the scheduled hearing.

D1.7 The program or appropriate academic unit shall also present its case before the hearing committee. The appellant and the department or appropriate academic unit shall each have the right to rebuttal. There is an expectation that such interactions will be conducted in a professional manner.

D1.8 If the parties in the hearing fail to behave professionally, the chair of the committee may immediately suspend the hearing.

D1.9 After each party has presented its case and left the hearing room, the hearing committee will begin its deliberations. Additional meetings of the hearing committee may be required for deliberation. Within 15 class days, the chair will communicate the hearing committee's recommendation to the Dean of the Graduate College who will render the final decision. The Dean will inform the appellant and their home department and college in writing within 15 days of the report from the hearing committee and the final decision.

D1.10 The ad hoc committee may recommend reversing the change in status or leave the change in status in place with a clearly articulated remediation plan that will allow the faculty member guidance in how to get their GF status reinstated.
D1.11  Final decision rests with the Dean of the Graduate College. No further appeal is permitted.

D1.12  If the status is suspended or lowered, the faculty member can petition to the Dean of the Graduate have it reinstated no sooner than 4 academic semesters from the time of the final decision, except where the remediation plan dictates a shorter time-frame.

D2  APPEAL OF EXTRAORDINARY REVIEW
The faculty member may appeal the results of the extraordinary review using the same procedures as in D1, except the complainant is considered to be the Graduate College and the convening authority for the appeal is the Provost's office. The final decision rests with the Provost.
### Appendix E: Peer Institutions and Graduate Faculty

<table>
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<th>Solely Tenure Based</th>
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1. **What is a Graduate Faculty and how is it different to what we do now?**
   We are one of the few universities in the country who have not moved to the Graduate Faculty model. In our current system, only tenure-line faculty can serve as regular members on graduate committees. Faculty who are outside the tenure system are excluded and either are restricted to one-off “special member” status or a temporary status to serve for a limited in a limited capacity. The Graduate College determines who is qualified.

   In the Graduate Faculty (GF) model, the determination of who can serve on a committee is determined by their qualifications rather than how they are employed. Tenure-line faculty are automatically considered to be qualified. Non-tenure line faculty are admitted to the GF on the advice of programs on the basis of their qualifications. In this model the program faculty decide who is qualified. This greatly broadens the range of faculty that graduate students can work with and develop advising and mentoring relationships with. This system is more student-focused with explicit protections to ensure that faculty do their due diligence with respect to students.

2. **Why are you doing this change? Doesn’t the current system work? What are the benefits of doing this?**
   There are a wide variety of reasons why we’re doing this. It solves many problems. If it was just one problem, then other solutions might work. But the shift to the GF model addresses a whole number of issues all of which have their origins in the structure of the current system.

   1) First and most importantly the current does not recognize or reward the fact that the ability to effectively mentor, advise and evaluate graduate students requires not only advanced training, but specialized knowledge and skills, no matter what the faculty member’s tenure status is.
   2) We have highly qualified faculty who are not tenure track who should be recognized for their contributions to graduate education. This includes research faculty, clinical faculty, extension faculty, other faculty who are continuing status and CS eligible, professors of practice and other career track faculty. The GF model allows to be more inclusive of these faculty.
   3) The current system does not recognize that different programs have different needs from their participating faculty. The decisions about what faculty are qualified to teach graduate students in a particular program should be made locally by program faculty.
   4) The current system has a complicated non-transparent bureaucracy that is top down decisions about who can serve are made by the dean of the Graduate College. The GF model is more transparent to faculty and is faculty driven. Decisions about who can serve are made by academic programs.
   5) In the current model, there is no clear set of expectations about what it means to fulfill the various roles associated with graduate committee service or graduate student mentoring, evaluation, and advising.
6) There is currently no consistent method for evaluating, recognizing and rewarding exceptional faculty performance as a mentor, advisor or committee member.
7) In the extremely rare cases where a faculty member is not appropriately meeting expected norms for graduate advising and teaching there are currently no mechanisms for remediation, or in truly exceptional cases where the remediation has failed, removing the privileges of Graduate Faculty status.

3. **What are the Goals of the switch to the GF model?**
   By switching to the Graduate Faculty model we aim to accomplish the following goals:
   1) Broaden participation in graduate education to include all qualified faculty.
   2) Recognize the work involved in being a graduate faculty member.
   3) Recognize excellence and achievement among graduate faculty
   4) Develop a local faculty-driven process for determining who is qualified to serve as graduate faculty for a particular graduate program.
   5) Set clear standards and expectations for graduate faculty.
   6) Develop a set of peer-driven remediation processes to address the very rare poor performance of a faculty member.
   7) Align our processes and procedures with those of our peer institutions.

4. **Who decides who is GF in a particular program?**
   A committee of faculty from each program invite faculty from any department on campus to serve as the GF for students in that program. Experts in the field are the people best placed to decide who is qualified to mentor and advise graduate students.

5. **What are the criteria for determining who can serve on the GF of my program?**
   The Graduate College has a set of very broad criteria set out in section 1 of the policy. In the first year of the transition to the GF, each program will be asked to devise a short inclusive set of criteria for admission to the GF in their program. A template will be provided to programs to help them set these criteria. These criteria will be approved by the academic college dean and the Graduate College to ensure rigor, fairness, and inclusiveness.

6. **What faculty can serve in Interdisciplinary Programs and joint programs between departments and colleges?**
   See question 5 above. Membership in the GF will be determined by the program offering the degree. Very little will change for many of these interdisciplinary programs, except to include career track line faculty when appropriate. Faculty in GIDPs are already invited to participate in the program in a manner very similar to what is being proposed here for GF. We expect that interdisciplinary participation in traditional department-based programs will actually expand with the freedom to appoint faculty from outside units.

7. **Can a Faculty member serve on committees outside their program?**
   Yes. There are two possible mechanisms for this.
   a) If the faculty member is just doing a one-time service in another program, the graduate student can request that that faculty member be appointed as an "invited member" when they file their committee appointment form with the Graduate

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1 In cases where there are a number of closely related programs, a single committee might serve this function for multiple programs.
College. This is similar to "special member status", except the "invited member" counts as "regular members" for the purposes of minimum committee numbers and invited faculty don't have to provide any evidence of qualifications as they are already members of the GF writ large.

b) If the faculty member regularly serves on committees outside their units, they can be appointed to that program as GF.

8. **Can a program appoint faculty outside of their department to their graduate program?**

   Yes, membership on GF for a program is not limited to a particular Unit. Programs may invite faculty from other units to serve on their GF as regular members or as invited faculty if they choose.

9. **How can we include committee members who don’t work at UA?**

   People who do not work at UA (e.g. faculty at other universities, highly qualified professionals, faculty who have resigned from UA) cannot be part of the GF. However they can be appointed as "special members" to individual student’s committees. *This is the same as the current system.*

10. **How are Emeritus faculty accommodated?**

    Emeritus faculty retain their GF status automatically. They may continue to chair the committees of students for up to one year after their retirement. After one year they may continue to chair committees, but they must have a co-chair who is a current faculty member. *This is the same as the current system.*

11. **How are faculty who have resigned/retired from UA without emeritus status but still have graduate students here be accommodated?**

    Faculty who resign or retire without emeritus status, may continue to chair committees for one year after they leave UA. After one year they must be appointed as "special members" and they must work with a co-chair who is a current faculty member. *This is the same as the current system.*

12. **How does this affect Tenured/Tenure Eligible/Continuing Status/CS-eligible faculty? Do they have to apply?**

    Just as in the current system, Tenured and Tenure eligible faculty are automatically considered to be GF. They are prequalified for membership for programs housed in departments where they are appointed. They may be given additional appointments to serve in other programs.

    The GF system extends this privilege of pre-qualification to Continuing Status and CS-eligible faculty, which is not currently the case.

13. **Do Tenure-line/CS faculty have to be formally reviewed to have their status renewed?**

    No, unless there are serious problems with performance, or another change in status is required, Tenure-line and CS-line faculty are automatically renewed in their GF status every APR cycle. Periodic renewals are required to ensure that GF faculty lists are up to date, but except in very rare cases of poor performance, renewals are automatic.

14. **How does this impact Career Track faculty?**

    Career Track faculty who are appointed to the Graduate Faculty will for the first time be able to serve as a regular resource for our graduate students without special permission each time. This recognizes the many highly qualified CT faculty we have.
15. **How will early career faculty be protected and how can we ensure that they are fairly treated and that they’re involved in Graduate Education?**

There is a clear expectation set in the policy that early career track faculty are to be engaged in graduate advising and mentoring and that programs are expected to assist early career faculty in developing skills as committee members, mentors and advisors. The criteria developed by programs for admittance to the GF will be explicitly evaluated by Academic College deans and the Graduate College to ensure that early career faculty are treated fairly. The Graduate College will also construct regular audit reports on who is serving on graduate committees to ensure that early career faculty are being given appropriate opportunities to participate in Graduate education.

16. **Does this change who can teach Graduate Classes?**

No. Membership in the GF is not required to teach graduate classes so long as the instructor has the minimum qualifications listed at [https://grad.arizona.edu/policies/academic-policies/who-can-teach-graduate-courses](https://grad.arizona.edu/policies/academic-policies/who-can-teach-graduate-courses).

17. **Isn’t this going to create massive new reporting structures that we don’t really need? I do enough reporting as it is. Isn’t this just going to create more busy-work for me?**

No. There is explicitly no additional reporting allowed here. GF performance will be evaluated through already existing evaluative mechanisms such as annual 3/5 year peer review, P&T/CS review, and programmatic APRs and for career track faculty, at the time of contract renewal for Career Track faculty. No additional reporting is required or allowed.

18. **The last thing we need is more top-down bureaucracy. Can’t we do without this?**

This actually replaces a very non-transparent top-down bureaucracy with a transparent faculty driven process. But every effort will be made to minimize any additional workload on faculty. We wouldn’t do this if we didn’t think that the current system was very broken. The GF model solves many different problems. Individual ad hoc patches to these problems don’t adequately address the systematic issue that underlies them all: that the current system doesn’t work well.

19. **Isn’t this going to increase the administrative workload on programs?**

The current tenure-based system imposes a high administrative burden on programs. Far more faculty have to be approved as "special members" who do not have the rights and privileges that would best serve our students. In the GF system this burden would be reduced as GF membership only need be done once.

There is a small increase in administrative work when it comes to setting the criteria for program membership, but this is a one-time effort. It is also one that would need to be independently done because our current system imposes no criteria or expectations for faculty and is thus out of alignment with institutional practice that employees are given clear performance expectations and guidelines. Periodic review only occurs when such review would otherwise be required (for example, when the APR self-study is constructed.)

20. **What is the record keeping impact here?**

Graduate College will be responsible for managing all lists and data and keeping track of faculty status (as it currently does). This information will be available to DGSs and students constructing committees through GradPath.
21. **Won’t having a distinction between a program’s appointed GF faculty and having invited faculty create more paperwork and disincentivize including faculty to serve as one time members on a student's committee?**

No, although invited faculty are appointed at the same time as special members (i.e. when the student files their committee appointment form in GradPath), the appointment procedures for them are simpler. Since invited members are already members of the GF writ large, there is no need to submit any documentation. No special Graduate College approval is required. All that is required is that the DGS approve inclusion of this faculty member when they approve the committee appointment document as a whole in GradPath.

22. **I’m worried that other faculty in my program will use this as means to penalize me or restrict my access to Graduate Students. What provisions are there to protect me and my students?**

This issue is addressed at a number of levels.

First, programmatic criteria for inclusion in the GF and giving access to graduate students must be inclusive and fair. They must be approved by both the academic college dean and the graduate college and criteria that appear exclusionary will be rejected.

Second, if there is actual deficiency in your qualifications or performance, then these can often be resolved via a remediation plan. For example, some deficiencies can be remediated by participating in a mentorship training opportunity.

Third, if it appears that you will have your status in the GF reduced or suspended by your program you can request an informal resolution with the help of the academic or graduate college dean's offices as mediators.

Finally, if informal resolution processes are insufficient you may request a formal appeal procedure (see section 6 and appendix D of the policy).

23. **What are the conditions under which a faculty member loses their rights to supervise/sit on the committees? Can I appeal this? Who decides?**

Both formal and informal pathways are available to resolve conflict over GF status.

We recommend that faculty pursue an informal pathway first, and if that doesn’t work, pursue the formal route. Informal resolution involves negotiation and discussion among the conflicted parties. The Graduate College or similar entities (e.g. Academic Colleges, the Provost's office, etc) can serve as informal mediators in these discussion.

If a formal appeal is preferred or required, then a formal hearing can be used. The procedures for these formal hearings are outlined in Appendix D of the policy document. Depending on the level of the complaint, the final decision rests with either the Graduate Dean or the Provost.

24. **How was this policy been constructed? Has there been faculty input in the creation of this document? I feel like this has come out of the blue!**

a) The Graduate Dean was charged with the construction of this policy at the April 2019 Graduate Council meeting after a discussion of a number of interrelated procedural problems.

b) The Graduate Dean's office initiated conversations with a number of other Universities (both peer and non-peer) who have transitioned to the GF model, and sought out responses from the graduate deans of all our peer institutions. The Graduate College Dean's office then used documents from these other institutions as models for how to construct a GF model.
c) In the summer of 2019, once a draft of the model was constructed it was reviewed by focus groups of faculty and significant revisions were made on the basis of that input.

d) The proposal was approved by the Graduate College Management team (an administrative body) in July 2019.

e) The proposal was approved by the GPERC committee (a faculty governance body) in August 2019.

f) Dean's council does not vote on policies like this, but consent to continue the project was given on October 1, 2019.

g) After significant revisions (reflected in Version 2.0) of the policy, the Graduate Council approved this document on October 4, 2019.

25. **What are the approval steps for a major policy proposal like this?**

    a) Graduate Management Team (administrative) – July 2019
    
    b) GPERC (faculty governance) – August 2019
    
    c) Graduate Council (faculty governance) – Approved October 4, 2019
    
    d) CAAC (associate deans)
    
    e) Dean's Council (college deans) – Consent given October 1, 2019
    
    f) Faculty Senate (faculty governance)
    
    g) Office of General Council (Administrative review)
    
    h) Provost’s Council (Administrative)