Proposed Revisions of the University Handbook for Appointed Personnel
Definitions & Chapters 3–5

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University Policy Impact Statement

Proposed Policy Title: Revision of University Handbook for Appointed Personnel

Policy Sponsor: Vice President Laura Johnson, Vice President Allison Vaillancourt and Senior Vice President and Provost Andrew Comrie

Cabinet Review Date:

Policy Statement (What are we trying to do?)
Chapters three, four and five have been revised to align with ongoing efforts to improve support for nontenure faculty and clarify various procedures.

Policy Reason (Why are we trying to do it?)
In collaboration with the Faculty Senate, the University is clarifying roles, duties, and promotion opportunities for nontenure faculty. Clarifications will also be provided on how to consider Professional Conduct violations in annual and promotion reviews and on which administrators are to be given five-year reviews. Five-year and annual reviews will be enhanced by being guided by a revised set of leadership competencies.

What will be the major impact of the policy? The revisions will clarify and enhance procedures for annual and promotion reviews of faculty and continuing status professionals and annual and five-year reviews of administrators.

What concerns might be expressed by stakeholders? See attached.

Will there be a financial cost to implement? Describe. No financial cost.
Will the policy affect any of the following?

Existing UA Policy  YES ☒ NO ☐ Compliance with federal regulations/laws  YES ☐ NO ☒

Existing UA Procedures YES ☒ NO ☐ Compliance with state regulations/laws  YES ☐ NO ☒

Existing Board Policy YES ☐ NO ☒ General public  YES ☐ NO ☒

If yes, have steps been taken to publish the Notice of Intended Rule-making in a newspaper of general circulation for 10 days and allow for a 30-day comment period?

YES ☐ NO ☒

Describe the impact on any items that are checked YES.

See Following Page
Policy Impact and Summary of Changes
University Handbook for Appointed Personnel

The University Handbook for Appointed Personnel (UHAP) was substantially revised in 2014 to improve personnel policies in chapter 3 for tenure and nontenure-track faculty; chapter 4A, B, and C for continuing status, academic and service professionals; and chapter 5 for administrators.

Revisions have been made to improve support for nontenure-track (NTT) faculty, following upon related efforts by the Faculty Senate and the Provost’s Office.

- **Adjunct and visiting titles** are more clearly limited to faculty with part-time and limited appointments (UHAP 3.102),
- **Annual reviews** of NTT are used to advise on promotion options (3.2.01.4), and
- **Promotion opportunities** are set out for lecturers and NTT ranked professors (3.3.03).

Procedures on research misconduct and other professional code of conduct violations have been added to annual and promotion reviews (3.2.01.3 and 4A.2.01.b) and (3.3.02.b and d and 4A.3.02.b and d). The Senate-approved Statement on Professional Conduct in UHAP 7.01.01 is used to set the expectation that faculty will uphold “scholarly standards,” “maintain intellectual honesty,” and respect the “dignity of others,” including their “right to express differing opinions.”

Less significant revisions have also been made in chapters 3 and 4:
- If all faculty and continuing professionals are involved the peer review process, then a committee must be appointed to oversee the process (3.2.01 and 4A.2.01.5).
- If candidates request a delay in their mandatory reviews, that request will go directly to the Disability Resource Center (3.3.01.b and 4A.3.01.b).
- Requests for delays in mandatory reviews will not generally be considered in the year of reviews (3.3.01.a and 4A.3.01.a).
- Chapter 4 was also edited to align policies for continuing-status professionals and tenure-track faculty, for example by adding provisions for endowed positions (4A.1.01.i).

Chapter 5 was revised to clarify who gets five-year reviews and better support the leadership development of administrators. The overhaul of UHAP in 2014 created ambiguities about who gets five-year reviews, which had long been done for department heads, directors and deans, but were also being done for vice presidents. To support this extension of the process, references to “other administrators” were added in the 2014 revisions. This term created ambiguities about whether associate deans, associate provosts, and other administrators are required to have five-year reviews. The current revisions specify reviews are required for department heads, school directors, deans, vice provosts, and vice presidents. Expectations for these and other administrative leaders were set out in the 2014 revisions of UHAP. The revised expectations are integrated into the provisions for annual and five-year reviews of administrators (5.2.02 and 5.3.01). These expectations are used in administrators’ self-assessments; the 360° surveys of faculty, staff, students, and stakeholders; and, follow-up coaching and remediation, where necessary.

The revisions are available at [policy.arizona.edu](http://policy.arizona.edu). In the top right corner, click on “Policies under Revision” and then “Proposed Revisions of University Handbook for Appointed Personnel,” which provides a PDF with the policy impact statement, a summary of the revisions, and redline versions indicating the revisions of the UHAP Definitions and chapters 3, 4, and 5.
UHAP Definitions

ABOR means the Arizona Board of Regents.

ABOR-PM means the Arizona Board of Regents Policy Manual.

Academic professional employees means employees whose Notice of Appointment incorporates the ABOR Conditions of Service for Academic Professionals (ABOR-PM 6-302) who are non-classified employees involved with applied, basic, and integrative research or teaching programs, who require professional and intellectual freedom, and who report to a person holding a position below the level of Vice President. These individuals include librarians, cooperative extensionists, museum curators, conservators, and researchers.

Adjunct means a title that is given only to nontenure-eligible faculty members on an appointment that is less than .75 FTE or less than a full academic or fiscal year, and which is not expected to be renewed beyond a single fiscal or academic year should generally not be used for full fiscal or academic year appointments that are reasonably expected to extend beyond a single academic or fiscal year, though units have discretion whether or not to use adjunct when such appointments are at less than .75 FTE. Adjunct should never be used for full fiscal or academic year appointments at .75 FTE or greater.

Administrative personnel and administrators means employees whose Notice of Appointment incorporates the ABOR Conditions of Administrative Service (ABOR-PM 6-101, et seq.) as the conditions of their employment.

Appointment means employment that is evidenced by either a Notice of Appointment or a Notice of Reappointment.

Clinical Professors means nontenured, nontenure-eligible employees whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, et seq.) who have established themselves by professional experience and expertise over a sustained period of time to be qualified to teach or manage practicum, internship, or practice components of degree programs. Their primary responsibilities include teaching or managing students in the practice requirements of their degree programs in a manner that advances the educational mission of the University in a significant or substantial way. Clinical Professors are neither tenured nor tenure-eligible.

Committee on Academic Freedom and Tenure (CAFT) means a faculty committee that conducts inquiries and hearings regarding recommendations against, or complaints and grievances by or against members of the General Faculty in accordance with ABOR-PM Sections 6-201 and 6-302.

Continuing-eligible academic professional employees means probationary status full-time employees whose Notice of Appointment incorporates the ABOR Conditions of Service for Academic Professionals (ABOR-PM 6-302).

Continuing status academic professional employees means employees whose Notice of Appointment incorporates the ABOR Conditions of Service for Academic Professionals (ABOR-PM 6-302) who have an expectation that the President will renew their appointment for successive
appointment periods unless such reappointment is precluded because of their retirement, resignation, dismissal for just cause, or release for budgetary or reorganization reasons.

**Day** means a calendar day. In computing any time period under these policies, the time period expires on the last day of that time period, except when that last day falls on a Saturday, a Sunday, or a University-recognized holiday, in which case the time period will run until 5:00 p.m. of the next day that is not a Saturday, a Sunday, or a University-recognized holiday.

**Discrimination** means the failure to treat persons equally if the motivation for doing so is based, at least in part, on a protected classification, including race, color, religion, sex, national origin, age, disability, veteran status, sexual orientation, gender identity, genetic information, or any other classification protected by local, state, or federal law.

**Discriminatory action** means an employment action that is taken on the basis of a protected classification, including race, color, religion, sex, national origin, age, disability, veteran status, sexual orientation, gender identity, genetic information, or any other classification protected by local, state, or federal law.

**Faculty members** means employees whose Notice of Appointment incorporates the Conditions of Faculty Service (ABOR-PM 6-201, et seq.). Faculty members include instructors, lecturers, senior lecturers, principal lecturers, assistant professors, associate professors, professors, professors of practice, research professors, clinical professors, Regents' Professors, or any other employees who otherwise are designated in their Notice of Appointment as holding a faculty position. Faculty members are responsible for the teaching, research, and public service goals and objectives of the University. Faculty members may be tenured, tenure-eligible, or nontenure-eligible. Any person appointed to a faculty position designated as "visiting," "adjunct," "research," "clinical," or such other title(s), will not be tenured or tenure-eligible and will have no expectation of continued employment beyond the end of his or her current appointment period.

**Full-time** means, with respect to tenure eligibility, that an individual holds a .51 or greater full-time equivalent (FTE), regardless of funding.

**Full-time Equivalent (or FTE)** means a numerical designator for an appointment based on 100 per cent.

**General Faculty** means faculty members who hold half-time or more tenured or tenure-eligible appointments; academic professional employees who hold half-time or more continuing status or continuing-eligible academic professional appointments; lecturers (including senior and principal lecturers) who hold half-time or more multiple-year appointments; clinical professors, research professors, and professors of practice who hold half-time or more multiple-year appointments; and any individuals identified in this definition having Emeritus status. Members of the General Faculty are afforded all rights set forth in as defined in Article II of the Constitution of the General Faculty of the University of Arizona.

**Harassment** means a specific form of discrimination. Harassment is unwelcome behavior, based on a protected classification, that is sufficiently severe or pervasive to create an intimidating, hostile, or offensive environment for academic pursuits, employment, or participation in ABOR or University sponsored programs or activities. Additionally, sexual harassment, whether between individuals of the
same or different sex, also includes unwelcome conduct of a sexual nature that is made, either explicitly or implicitly, a condition of an individual's education, employment, or participation in ABOR or University-sponsored programs or activities, or the submission to or rejection of such conduct is a factor in decisions affecting that individual's education, employment, or participation in ABOR or University sponsored programs or activities.

**Instructor** means employees whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, *et seq.*) who are non-tenured and nontenure-eligible, and whose primary responsibility is teaching undergraduate or clinical courses.

**Just cause** for removal, dismissal, suspension, or other disciplinary action includes, but is not limited to:

- Demonstrated incompetence or dishonesty in professional activities related to teaching, service, research, publication, or other creative endeavors;
- Unsatisfactory performance over a specified period of time and failure to improve that performance to a satisfactory level after being provided a reasonable opportunity to do so by the University;
- Substantial neglect of or refusal to carry out properly assigned duties;
- Personal conduct that substantially impairs the individual's fulfillment of properly assigned duties and responsibilities;
- Engaging in acts involving moral turpitude;
- Misrepresentation in securing an appointment, promotion, or tenure at the University; or
- A proven violation of ABOR or University rules and regulations (including the Code of Conduct or any other disciplinary rules). Such violations will be assessed according to the gravity of the offense, its repetition, or its negative consequences upon others.

**Lecturers, Senior Lecturers, or Principal Lecturers** means employees whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, *et seq.*) who are non-tenured and nontenure-eligible, and whose primary responsibility is teaching undergraduate or clinical courses.

**Multiple-year Appointment** means an appointment to a faculty position as a lecturer, senior lecturer, or principal lecturer, assistant/associate/full professor of practice, assistant/associate/full research professor or assistant/associate/full clinical professor, or an appointment as an academic professional employee for a period longer than one academic or fiscal year but not more than three academic or fiscal years.

**Nontenure-eligible faculty** means those members of the faculty whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, *et seq.*) who are not eligible for tenure.

**Notice or Notify** means written notification, given within the appropriate time limit, by: 1) hand-delivery to the employee; 2) regular mail, either to the employee's last known address or to an address to which the employee has specifically requested such notices be sent; or 3) to the employee's official University e-mail account.
Notice of Appointment means the document, signed by the University President, making an initial appointment for an employee. After an employee's original hiring, a Notice of Appointment will issue only upon the occurrence of the following: the appointment of an individual hired as an "Adjunct" or "Visiting" faculty member; the change of or addition to an employee's title; an employee's change in department, college or division; a change in an employee's conditions of service; the awarding of tenure or continuing status; a promotion; or a rehire. Other actions, including salary adjustments and changes in status (e.g., leave without pay, sabbatical leave, change in FTE) will not require a new Notice of Appointment.

Notice of Reappointment means the document, signed by the University President, renewing an employee's appointment.

Part-time means, with respect to tenure eligibility requirements, less than .51 FTE employment with the University.

Personnel matter means a matter related to compensation, appointment, renewal, retention, nonrenewal, award or denial of tenure, promotion, resignation, suspension, dismissal, discipline, and release of appointed personnel.

President means the President of the University of Arizona or the President's designated representative.

Probationary status mean the status of a continuing-eligible employee who will be reviewed for continuing status in accordance with procedures outlined in ABOR-PM 6-302.

Professional and intellectual freedom means the right and responsibility to exercise judgment within the standards of the employee's profession. Professional and intellectual freedom is defined as "academic freedom" for employees involved in teaching or research.

Professional employees are defined under ABOR-PM 6-301, General Provisions and Definitions for Conditions of Service for Academic and Service Professionals.

Professors of Practice means nontenured, nontenure-eligible employees whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, et seq.) who have established themselves by expertise, achievements, and reputation over a sustained period of time to be distinguished professionals in an area of practice or discipline.

Promotion and tenure criteria mean those written standards established by each department and the University.

Research Professors means nontenured, nontenure-eligible employees whose Notice of Appointment incorporates the ABOR Conditions of Faculty Service (ABOR-PM 6-201, et seq.) who have established themselves by expertise, achievements, and reputation over a sustained period of time to be distinguished scholars and researchers. The primary responsibilities of such employees are to engage in, be responsible for, or oversee a significant area of research or scholarship in a manner that advances the mission of the University in a significant and substantial way.
Service professional employees means employees whose Notice of Appointment incorporates the ABOR Conditions of Service for Service Professionals (ABOR-PM 6-303). They include non-faculty, non-classified employees whose professional activities support the mission of the University in one or more of the following ways: 1) applying specialized, technical or advanced knowledge or experience that typically requires formal advanced education; 2) performing creative, innovative, or imaginative work; 3) providing middle to upper level management of operations through the direct leadership of personnel; 4) having significant impact on the selection, compensation, or evaluation of employees; 5) planning and effectiveness of the work environment; 6) making independent decisions in matters of significance at the University’s request; and 7) exercising professional discretion and expertise.

Tenure-eligible faculty means having an opportunity to be reviewed for tenure.

Termination means the cessation of the employment relationship between the University and the employee for any reason.

Unconstitutional action means a violation of constitutional due process or equal protection or a denial of rights under the First Amendment to the United States Constitution.

University means the University of Arizona.

Visiting is a title that applies to faculty members with temporary nontenure-eligible appointments whose appointments are not expected to be renewed multiple times and who have sufficient stature with respect to research, creative activities, or professional or personal achievements such that a "visiting" title is appropriate.
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CHAPTER 3: PERSONNEL POLICIES AND PROCEDURES FOR FACULTY

3.1 DUTIES AND APPOINTMENTS OF FACULTY

Each member of the faculty is appointed subject to the responsibilities detailed in Arizona Board of Regents Policy ManualOR PM 6-201. Duties of a faculty member, including teaching assignments, schedules, and other instructional or research responsibilities, will be assigned by the President or an appropriate administrator, such as a vice president, dean, or immediate administrative head. Duties and responsibilities will be related to the expertise and competence of the faculty member. Teaching, research, and service performance will be subject to evaluations by the President or an appropriate administrator. Performance will be considered in decisions relating to compensation, retention, promotion, tenure, terminations, and renewals of appointments.

All faculty members will receive a Notice of Appointment or Reappointment, which is the University’s official employment contract. Appointments may be for an academic year, a fiscal year, a portion of such academic or fiscal year, or for a multiple-year term for certain designated titles (see Section 3.1.02.a). Renewals of appointments for all faculty members on academic year appointments occur on or about August 15. Renewals of appointments for all faculty members on fiscal year appointments occur on July 1. No oral or written communication made prior to or after the execution of a Notice of Appointment or Reappointment that is inconsistent with the Conditions of Faculty Service in ABOR-PM 6-201 will become a part of the conditions of employment. Appointments and renewals of appointments will be for the period designated in the Notice of Appointment or Reappointment. Appointments become effective when approved by the President.

If faculty members require a license or certification to complete their duties, their appointments are conditional upon obtaining and maintaining the license or certification. Additionally, appointments of faculty members who provide clinical services as members of University Physicians Healthcare or another faculty practice plan affiliated with the College of Medicine are conditioned upon maintaining such membership in good standing.

If an appointment depends upon funding from a source other than state appropriations, that fact will be stated in the Notice of Appointment or Reappointment. Such appointments may be reduced in FTE and/or salary or terminated to the extent the nonstate funding is no longer available. Termination based on lack of funds does not apply to tenured appointments.

A faculty member with tenure will be so indicated on the Notice of Appointment or Reappointment by the designation “with tenure.” A faculty member without tenure will be so indicated on the Notice of Appointment or Reappointment by the designation “tenure-eligible” or “nontenure-eligible.”

The University is not required to provide performance reviews or notices of nonrenewal for employees with “adjunct” or “visiting” appointments or to employees whose appointments are not intended to extend beyond six months.

3.1.01 Appointments of Tenured and Tenure-eligible Faculty

a. Length of Appointments

Except for approved delays, a tenure-eligible faculty member’s appointment will not be renewed more than five successive times, including any terminal year appointment, i.e., for a maximum of seven academic or fiscal years of service, regardless of rank or ranks held during the years of tenure-eligible service.
b. Computing Prior Service and Scheduling Tenure Reviews of Faculty Appointments

The schedules for retention, tenure, and promotion reviews vary according to the rank of the faculty member being appointed and the years of prior service at the University or another institution, if any. The schedule for retention and promotion reviews of tenure-eligible professors is in Section 3.3.01. If faculty members have prior service at the University or at another educational institution as a tenure-eligible assistant or associate professor, they may request that the Provost consider that prior service in scheduling their mandatory tenure reviews. At the time of appointment, faculty members will be notified in writing regarding how much of their prior service will be counted in scheduling their mandatory tenure reviews.

c. Assurance of Appointments with Tenure

An individual who holds a tenured appointment is assured that the President will offer an appointment to that individual for each succeeding fiscal or academic year until retirement, resignation, dismissal for just cause, or termination for budgetary reasons or as the result of educational policy change.

d. Legal Effect of Appointments with Tenure

It is within neither the President’s nor ABOR’s power to commit the State of Arizona to an obligation for which an appropriation has not been made. The use of the term “with tenure” neither constitutes nor implies a legal obligation that the President or ABOR is not empowered to undertake. In practice, renewals of appointments of tenured faculty members have been approved and funds have been allocated annually for these appointments.

e. Effect of Retirement, Resignation, and Part-time Employment on Tenured and Tenure-eligible Appointments

Tenured faculty members who retire or resign from the University relinquish their tenured status. Persons already granted tenure do not forfeit their tenured status by reason of changing to part-time employment, but tenure-eligible status may be forfeited by a change or appointment to part-time employment. Changes to part-time status are permissible only when approved by the immediate administrative head, dean, and Provost.

f. Effect of Administrative Appointments on Tenure and Other Rights
Members of the faculty serving in an administrative position will not lose academic rank or tenure status but will have no expectation of continued employment in administrative service. When a tenure-eligible candidate receives an administrative appointment, there will be a clear written understanding concerning the individual’s faculty status, including when the faculty appointment is to be renewed or terminated how the schedule for any upcoming promotion reviews will be affected. Any change in rank or tenure status during the term of an administrative appointment is subject to the normal review procedures outlined elsewhere in University policy.

g. Changes in Appointments and Rehires of Tenure-eligible and Tenured Faculty

Tenure-eligible faculty members may apply and be considered for other available appointed positions in the University before the year of their mandatory review. In the year of their mandatory review, they will not be considered for a change to a different faculty appointment, either tenure-eligible or nontenure-eligible, other than that of nontenure-eligible positions in the same discipline.

Individuals who were denied tenure or whose appointment was not renewed for other than reorganization or budgetary reasons will not be considered for other available appointed positions at the University, except as a result of an appeal to the President, which includes a determination by the President that the individual has distinctive expertise that meets strategic needs of the University.

Individuals whose faculty service was terminated for cause or who resigned in lieu of dismissal or investigation by any institution governed by ABOR will not be considered for employment in any position at the University, nor will they be considered for affiliate, associate, volunteer, or emeritus status.

3.1.02 Appointments of Nontenure-eligible Faculty

To recognize variations in the teaching, research, service, outreach, and other duties of nontenure faculty, the University provides units with flexibility in using specified types of nontenure-eligible faculty appointments to fit differing employment conditions:

- Because annual performance reviews and 90 day notices of nonrenewal are not required for faculty with adjunct or visiting appointments, these types of positions should only be used for appointments that are temporary in nature or at a reduced FTE.
- **Adjunct** should generally not be used for full fiscal or academic year appointments that are reasonably expected to extend beyond a single academic or fiscal year, though units have discretion whether or not to use *adjunct* when such appointments are at less than .75 FTE. **Adjunct** should never be used for full fiscal or academic year appointments at .75 FTE or greater.
- Visiting appointments should be given to faculty members whose nontenure track appointments are not expected to be renewed multiple times and who have sufficient stature with respect to research, creative activities, or professional or personal achievements such that a “visiting” title is appropriate.
- Appointments as instructor are generally made to nontenure-eligible faculty whose workload is limited to teaching in a particular area.
- Faculty with appointments as lecturer may be promoted to senior lecturer and principal lecturer without university-level review.
- Professorial appointments of nontenure-eligible faculty may carry the title of *research, clinical, professor of practice*, and other titles approved by the Provost. **These titles require**
the full review process outlined in 3.3.03 for promotion, and may only be promoted following the full review outlined in 3.3.03. Units making nontenure-eligible appointments to positions of instructor, lecturer, instructor, and professor must have procedures for renewals and promotion that are approved by the Provost.

When justified by increased responsibilities such as expanded teaching or supervisory duties, instructors or lecturers at any rank may be converted to other nonenture-eligible ranked titles (such as nontenure-eligible assistant professor), provided their annual performance reviews under Section 3.2 meet the criteria in Section 3.3.03.b. Such appointments are to be made following standard procedures.

a. Length and Types of Appointments

Nontenure-eligible faculty appointments may be for a period of up to one fiscal or academic year or for multiple years for certain designated titles, as specified below. Adjunct and visiting titles should only be given to nontenure-eligible faculty members as described in 3.1.02, above.

Nontenure-eligible faculty appointments may be for a period of up to one fiscal or academic year or for multiple years for certain designated titles. Adjunct titles are given only to nontenure-eligible faculty members on an appointment that is less than a full academic or fiscal year, or that is less than .75 FTE and is or less than a full academic or fiscal year that is not expected to be renewed beyond a single fiscal or academic year. Visiting faculty titles are given to faculty members with temporary nontenure-eligible appointments for a period of up to one fiscal or academic year. [suggested language to replace this sentence: Adjunct and visiting titles are given only to nontenure-eligible faculty members as described in 3.1.02, above.

ABOR-PM 6-201 states that nontenure-eligible faculty members in-with designated titles may be awarded multiple-year appointments of up to three years and the total number of such appointments may not exceed fifteen percent of all tenured and tenure-eligible appointments. Designated titles for such faculty include lecturer, senior lecturer, or principal lecturer. Multiple-year appointments may also be awarded to individuals holding faculty titles such as assistant, associate, or full clinical or research professors; assistant, associate, or full professors of practice; and other such titles specified by the University approved by the Provost for nontenure-eligible appointments. Multiple-year appointments of nontenure-eligible faculty require approval of the Provost. Nontenure-eligible faculty with designated titles may be renewed an indefinite number of times subject to annual performance evaluations reflecting satisfactory levels of teaching, research, and service as appropriate. Faculty who perform at outstanding levels should be advised of promotion opportunities. Criteria for appointments and promotions of nontenure-eligible faculty are included in Section 3.3.03.

Nontenure-eligible faculty appointments may be renewed an indefinite number of times subject to annual performance evaluations reflecting satisfactory levels of teaching, research, and service as appropriate.

“Adjunct” may not be used in titles for faculty on full-time annual appointments. All nontenure-eligible faculty members who are appointed with an “Adjunct” or “Visiting” title on their Notices of Appointment or Reappointment or who have an appointment period of six months or less have no expectation of employment beyond the appointment period stated on their Notice of Appointment or Reappointment. Furthermore Therefore, the University is not required to provide notices of
nonrenewal to employees with “Adjunct” or “Visiting” appointments or appointments the University has indicated are not intended to extend beyond six months.

b. Changes in Appointments Funded by Nonstate Funds

If a nontenure-eligible faculty member’s appointment is funded fully or partially by nonstate funds, i.e., funds from a source other than state appropriations, and any of those nonstate funds become unavailable, the faculty member’s salary and/or FTE may be reduced or terminated to the extent such nonstate funds become unavailable. If such changes in appointments are to be made, faculty will be notified according to the procedures specified in Section 3.4.03.

c. Changes in Appointments and Rehires of Nontenure-eligible Faculty

Nontenure-eligible faculty members may apply for other available positions at the University. Similarly, faculty members who have resigned or were not reappointed for budgetary reasons, or as a result of reorganization, also may apply for other available positions at the University.

Individuals whose faculty service was terminated for cause or who resigned in lieu of dismissal or investigation by any institution governed by ABOR will not be considered for employment in any position at the University, nor will they be considered for affiliate, associate, volunteer, or emeritus status.

3.1.03 Additional Faculty Appointments and Titles

a. Regents’ Professors

The title of Regents’ Professor may be awarded to current or newly recruited tenured professors of exceptional achievement that has brought them national or international distinction. The title serves as recognition of the highest merit. Candidates will be reviewed on the basis of whether their teaching, public service, and research, scholarship, or creative work have gained national or international recognition among leaders in the field. After appropriate recommendation and review at the department and college level, Following an appropriate review, an appointment will be made by the President, subject to approval by ABOR. The appointment carries a salary increment and a special annual allocation of funds for research or other professional activities.

b. Other Distinguished Professorships

The University has established several distinguished professorships, including University Distinguished Professors, University Distinguished Outreach Faculty, and 1885 Distinguished Scholars. The eligibility requirements and procedures for these awards are listed on the Provost’s webpage.
c. Endowed Professorships

An endowed professorship is a recognition bestowed on exceptionally distinguished and valued faculty members. To endow a professorship or appoint a faculty member to such a professorship, a college must have provisions for such procedures as appointing candidates, specifying the duties and privileges of the professorship, administering research or other related funding, determining the effects of changes in appointment such as retirement, and reviewing holders of the professorship. Such reviews may be required to renew a term appointment or to fulfill the requirements of annual or post-tenure reviews. Endowments may be established in coordination with the University Development Office of Arizona Foundation and following procedures outlined in University policy. Unless otherwise requested by donors, endowed professorships should be created following the provisions for Named Professorships.

d. Named Professorships

As with Regents’ Professors and endowed professorships, named professorships are a recognition bestowed on exceptionally distinguished and valued faculty at the University. Named professorships can be offered to honor individuals whose exceptional achievements have earned an outstanding reputation or rendered exceptional services to the institution. To establish a named professorship or appoint a faculty member to such a professorship, a college must have provisions for such procedures as appointing candidates, specifying the duties and privileges of the professorship, administering research or other related funding, determining the effects of changes in appointment such as retirement, and reviewing holders of the professorship. Such reviews may be required to renew a term appointment or to fulfill the requirements of annual or post-tenure reviews. Faculty will be selected for named professorships according to the following criteria and process.

1. Selection Criteria for Named Professorships

Candidates for named professorships will have established a record of original, substantive, and influential research, scholarship or creative achievement. Appropriate measures may include, but are not limited to, the quality and quantity of publications, invitations to participate in significant national and international activities, frequency of citations in the scholarly literature, demonstrable impact on the way in which a discipline views its subject matter, peer-selected awards and prizes, leadership roles in national and international organizations, externally funded peer-reviewed research awards, quality and number of graduate students, and support of prominent scholars in the field as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with business and community partners, including translational research, commercialization activities, and patents.

Candidates’ teaching may be assessed according to whether they have achieved a record of substantial, superior, and consistent recognition for excellence. Appropriate measures include, but are not limited to, student evaluations, peer evaluations, teaching awards, honors, and the degree to which teaching materials (e.g., cases, textbooks) developed by the individual are adopted by other institutions. Recommendations may be solicited from external sources, colleagues in the college or University, and students who have taken the individual candidate’s courses, particularly from students who have graduated and can evaluate their education from the viewpoint of its contribution to their careers and lives.

Achievements in service to departments, colleges, university, or professional organizations may be assessed according to whether the candidate has established a record of sustained involvement and recognized leadership. Appropriate measures include, but are not limited to, membership on and
chairing of committees, temporary or continued assumption of administrative duties, major participation in decision-making bodies, and service as a journal editor or on editorial boards. Service to the community is measured by a record of leadership on community boards, public service lectures, collaborations with businesses and state agencies, and similar activities.

2. Process for Appointing Faculty to Named Professorships

Appointments to named professorships will be made by the dean of the college, who will receive recommendations from a committee formed to evaluate the candidates. The dean’s office will prepare a brief portfolio for each candidate, which will include nominating letters from two faculty colleagues, a current vita, and a summary statement prepared by the nominators with the assistance of the candidate. This summary of no longer than two pages will address the professor’s principal scholarly, teaching, and service achievements as well as the impact of these achievements on the college, the University, and the professor’s discipline.

3.1.04 Emeritus Faculty Status

With the approval of the President, faculty who retire from the University in good standing after serving 15 years or more may be given the title of emeritus. This status also may be granted to other retiring faculty upon recommendation of their immediate administrative head and dean and the endorsement of the President.

Emeritus faculty will be entitled to library services, email, and access to parking privileges, as well as all other benefits which may be granted by the University to retirees. Departments will endeavor to meet reasonable scholarly and academic needs of emeritus faculty in a manner consistent with continuing contributions to the mission of the department and University, within limits governed by the availability of resources, and balanced against other needs and priorities. Each department will negotiate specific agreements for each individual case, for a specific period of time, and document these agreements in writing.

Emeritus status is granted and continued at the discretion of the President and may be withdrawn when circumstances warrant. Emeritus faculty who do research or conduct other University business will be held to the same standards of responsible conduct as any other faculty and will face the same sanctions as other faculty when they do not follow compliance guidelines.

3.2 ANNUAL PERFORMANCE REVIEWS OF FACULTY

This Section applies to annual performance reviews of all faculty members, except those nontenure-eligible faculty members who are appointed with an “Adjunct” or “Visiting” title on their Notices of Appointment or Reappointment and/or those nontenure-eligible faculty members whose Notices of Appointment or Reappointment provide a short-term appointment period of six months or less. Tenured faculty members also will be subject to the procedures set forth in ABOR-PM 6-201(H).

Faculty members of the University are evaluated with respect to all personnel matters on the basis of excellence in performance. Annual performance reviews are intended:

1. To involve faculty members in the design and evaluation of objectives and goals of their academic programs and in the identification of the performance expectations central to their own personal and professional growth;
2. To assess actual performance and accomplishments in the areas of teaching, research, and professional service through the use of peer review;

3. To promote the effectiveness of faculty members through an articulation of the types of contributions they might make that enhance the University;

4. To provide a written record of faculty performance to support personnel decisions;

5. To recognize and maximize the special talents, capabilities, and achievements of faculty members;

6. To correct unsatisfactory ratings in one or more areas of responsibility through specific improvement plans designed to correct the deficiencies in a timely manner;

7. To fulfill ABOR-PM 6-201(H) post-tenure review for tenured faculty members, to fulfill ABOR-PM 6-201(H) post-tenure review; and

8. To fulfill ABOR-PM 6-201(D)(4) and (D)(5) review for renewal requirements for nontenure-eligible faculty members with multiple-year appointments (such as assistant, associate, or full clinical or research professors; assistant, associate, or full professors of practice; and other such titles approved by the Provost), to fulfill ABOR-PM 6-201(D)(4) and (D)(5) review for renewal.

All faculty members who are found to be performing overall as meeting expectations in the annual performance review may be eligible for salary increases and other awards that may exist or be established at the unit, college, or University levels.

To audit the annual reviews conducted within departments, colleges will have their own faculty status committee that is either elected or appointed according to provisions approved by the faculty in the college.

3.2.01 Annual Performance Review Process

Each faculty member’s performance will be evaluated in writing on a scheduled basis at least once every 12 months. The annual performance review will evaluate the faculty member’s performance in his or her department or unit consistent with that unit’s responsibilities, and University and ABOR policies. Every annual review of teaching will consist of peer and student input, including student evaluations of faculty classroom performance in all classes, and other expressions of teaching performance.

The assessment of performance will include an evaluation by both a peer review committee of the department, program, or instructional unit and the immediate administrative head. If peer reviews are conducted by all members of the faculty, then a peer review committee must be formed to oversee the review process and advise the head or director on individual reviews that require remediation or other action. The peer review committee is to be elected unless decided otherwise by the faculty of the unit. Deliberations, evaluations, and recommendations of peer review committees are confidential, as are any evaluations or recommendations received by them. However, the immediate administrative head will provide the faculty member with a summary of the peer evaluation upon request, a summary of the results of any peer evaluation will be communicated to the individual evaluated upon request when the
The results of the performance evaluations are reviewed with the individual by his or her administrative head.

The following procedures are involved in the annual performance review of faculty members. Within these general policies, departmental faculty and the immediate administrative head will set the schedule and procedures for annual performance reviews:

1. The first step is information gathering. The faculty member must provide information to the immediate administrative head and peer review committee in a timely manner. In the area of teaching, student evaluation of faculty classroom performance in all classes is required.

2. Peer evaluation, through procedures and criteria determined by the faculty and head, is required. With non-tenure-eligible faculty, peer review may be conducted by other non-tenure-eligible faculty in the department, program, or instructional unit. The information gathered in the first step, and any other materials that may be deemed relevant, are utilized in the peer review. Results of the peer evaluation are transmitted directly to the immediate administrative head confidentially.

3. The immediate administrative head, working with the peer committee, evaluates the faculty member on the basis of information provided by the faculty member, peer evaluators, students, and such other information as is available, including findings that the faculty member has violated codes of professional conduct, as detailed in the Statement on Professional Conduct in UHAP 7.01.01. The unit head then provides the faculty member with a preliminary written evaluation.

4. The administrative head and faculty member meet by March 31, if possible, to discuss the head’s written evaluation, assignments, and expectations for the next annual review. If the faculty member so requests, the discussion at this meeting will also include a summary of the results of the evaluation conducted by the peer review committee if requested. If the faculty member is tenure-eligible, then this meeting will include a discussion of the faculty member’s progress toward tenure and promotion. Other tenure-track and non-tenure-eligible professors and lecturers should be advised on how their contributions align with the expectations for promotion set out in their unit’s criteria. If such faculty members are making exceptional contributions, they should be encouraged to apply for promotion.

4. As soon as possible thereafter, the faculty member will receive the final written evaluation. The faculty member provides comments as desired, signs the final written evaluation, and returns it to the administrative head within 10 days of the meeting described in step 4 above. The signed final written evaluation will become a part of the faculty member’s departmental records.

If the faculty member fails to provide annual performance review information to the immediate administrative head and peer review committee by the deadline established by the administrative head, the faculty member will receive an overall unsatisfactory performance rating unless the administrative head determines that good cause exists for an exception.

5. If the faculty member disagrees with the evaluation, the faculty member may appeal within 30 days of receipt of the final written evaluation as detailed in Section 3.2.03.
If the faculty member fails to provide annual performance review information to the immediate administrative head and peer review committee by the deadline established by the administrative head, the faculty member will receive an overall unsatisfactory performance rating unless the administrative head determines that good cause exists for an exception.

When a faculty member or other individual holds more than one appointment involving that involves an administrative, professional, or other faculty assignments, the related duties will be assessed by a supervising administrator, while the faculty member’s teaching, research and other service duties will be considered by the appropriate peer review committee. The annual performance review will address contributions under each of these assignments.

Annual performance reviews may be considered in the promotion and tenure process, but such evaluations are not determinative on promotion and tenure decisions. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion and tenure. Progress towards promotion and tenure requires scholarly accomplishment over a period of years in the broader range of faculty responsibilities, and includes evaluation by external referees, which is not a part of the annual review process. Criteria and decisions regarding promotion and tenure are detailed in Section 3.3.

3.2.02 Annual Performance Review Criteria

Written evaluation criteria will be developed by faculty of the department or unit, together with the unit head, to document the performance expectations for faculty members. The recommended categories for evaluation are truly exceptional, exceeds expectations, meets expectations, needs improvement, and unsatisfactory. The stated expectations will differentiate between satisfactory and unsatisfactory performance and must align with the mission of the department or unit, college or division and the norms of the discipline. These expectations must be approved by the college dean and the Provost.

Criteria for reviews of annual performance must consider teaching effectiveness, research and scholarly growth, creative activity, service, and outreach. Evaluation criteria may provide for recognition of long-term faculty activities and outcomes. Concentration of effort in one of the three major areas of faculty responsibilities (teaching, research, and service) is permissible, and may even be encouraged. Guidelines and evaluation procedures within departments will be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated, a systematic assessment of both student and peer opinion will constitute one component of the evaluation.

Each annual review will emphasize performance in the current year, while also considering teaching effectiveness, service contributions and research productivity over the past three to five calendar years. Reviews will consider performance patterns over the entire period of review, which will be determined by the unit. For example, previous ratings of needs improvement that have not been redressed may justify an unsatisfactory rating.

3.2.03 Appeals of Annual Performance Reviews

Faculty members who disagree with their annual performance reviews may appeal their review to the next administrative level, ordinarily the dean of the appropriate college. Such appeals must be made in writing to the next administrative level within 30 days from the date of the final written annual review.
The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on the appeal will be completed in writing within 30 days, with copies provided to the faculty member and the unit or other administrative head involved in the initial annual performance review.

3.2.04 Unsatisfactory Ratings of Nontenure-eligible and Tenure-eligible Faculty

If a nontenure-eligible or tenure-eligible faculty member receives an overall annual performance review rating of unsatisfactory, his or her immediate supervisor or department head, in consultation with the annual peer review committee, may either develop a remediation plan for the faculty member, which includes specific benchmarks to improve the faculty member’s performance over the next review period, or may choose to initiate other actions in accordance with University policy, which could include termination.

3.2.05 Post-tenure Reviews of Unsatisfactory Ratings

Tenured faculty members who receive annual performance review ratings of unsatisfactory in any area of responsibility are required to enter one of two processes, either the Faculty Development Plan or the Performance Improvement Plan, depending upon the extent of the deficiency or deficiencies.

a. The Faculty Development Plan

A tenured faculty member who receives an annual performance review rating of overall satisfactory but with an unsatisfactory rating in any single area of performance (for example, teaching) will enter into a Faculty Development Plan (FDP) at the unit level, except as set forth in section 3.2.05.b below. The faculty member’s administrative head, in consultation with the peer review committee, also may develop a Faculty Development Plan as set forth below for a faculty member who receives a rating of needs improvement in more than one area.

1. Objective and Process

(a) The objective of the FDP is to address an unsatisfactory rating in a single area of performance before it becomes sufficiently serious to impair the faculty member’s overall performance.

(b) Corrective action can involve a plan to improve the unsatisfactory performance and/or to redirect the faculty member’s work responsibilities to areas of particular strengths.

(c) The plan, developed at the unit level in collaboration with the faculty member, may have a maximum of one-year duration and will include appropriate interim monitoring and feedback.

2. Outcomes

(a) Improvement to a level that meets expectations in the unsatisfactory area within one year will make the faculty member eligible for consideration for any awards that become available during that year.
(b) If the administrative head and the peer committee determine in the next evaluative period that sufficient progress in the unsatisfactory area has not occurred in one year within the terms of the plan, an unsatisfactory rating will be assigned to the faculty member’s overall performance for that evaluative period and the Performance Improvement Plan (PIP) process described below will apply.

(c) If the faculty member refuses to participate in developing the FDP, an unsatisfactory rating will be assigned to the faculty member’s overall performance for that evaluative period and the PIP process described below will apply.

(d) The faculty member may request a review of the finding that he or she has failed to achieve a satisfactory level of performance in the FDP to the next administrative level.

b. The Performance Improvement Plan

A tenured faculty member who receives an annual performance review rating of overall unsatisfactory will enter directly into the Performance Improvement Plan (PIP) process. An overall unsatisfactory rating may result from: (a) two or more areas of performance rated as unsatisfactory; (b) one area of performance rated as unsatisfactory, depending on the emphasis assigned to that area or the extent of the deficiency; (c) the faculty member’s failure to provide annual performance review information to the immediate administrative head and peer review committee by the established deadline (unless the administrator extends the deadline for providing that information based upon good cause); or (d) the faculty member’s failure to achieve a satisfactory outcome in a FDP.

1. Objective and Process

The objective of the PIP is to enable the faculty member to resume his or her place as a fully contributing member of the faculty. The faculty member must take responsibility for meeting to develop the PIP and submitting any necessary materials in a timely manner, and for following the PIP once it is developed.

(a) Within 30 days of receiving the annual performance review rating or the outcome of an appeal of that review, the faculty member and the immediate administrative head will develop the PIP in consultation with the peer review committee and with approval by the dean.

(b) The PIP will specify its anticipated duration, and will be implemented as soon as possible after it has been developed but no later than the semester following the overall unsatisfactory annual performance review rating. For deficiencies in any area (teaching, service or research), the PIP will generally be effective no longer than one year. In those rare circumstances where the nature of the deficiency cannot be fully remedied in one year, the PIP may extend beyond one year but in no event will a PIP exceed three years in duration. The Provost must approve any PIP that exceeds one year in duration. The PIP will generally:

- Describe specific deficiencies;
- Provide a list of reasonable outcomes needed to correct deficiencies;
- Describe the process to be followed to achieve outcomes;
- Provide the timeline for accomplishing the process, including at least annual or more frequent reviews;
- Describe benchmarks and expectations;
- Describe the criteria to be used in evaluating progress in the PIP;
• Address the resources needed to facilitate the PIP; and
• Describe any alteration in job responsibilities that may be necessary to implement the PIP.

c) The University will make reasonable efforts to provide appropriate resources to facilitate the PIP’s implementation and success.

d) The faculty member’s performance within the context of the PIP will be evaluated as early as possible, but no later than one year after the PIP is put into effect. This special evaluation will be carried out by the department or unit head and the departmental peer review committee in place at the time of the evaluation, and approved by the dean.

2. Outcomes

The PIP concludes when any one of the following occurs:

(a) The faculty member achieves overall satisfactory performance as required by the PIP and as documented by the special evaluation and approved by the dean.

(b) The faculty member fails to demonstrate adequate progress relative to the PIP’s benchmarks and performance goals, which will constitute just cause for dismissal, and result in a recommendation for dismissal, in accordance with ABOR-PM 6-201(J).

(c) The faculty member fails to participate in the PIP process or fails to submit required materials when requested, which will lead to a recommendation for dismissal, in accordance with ABOR-PM 6-201(J).

3.2.06 Audits and Reporting

In order to audit the annual performance review process, the dean of each college and an elected faculty committee convened by the dean will review a sufficient number of tenured cases each year to ensure that over a maximum of five years every tenured file is reviewed. This dean’s level audit will determine the adequacy, fairness, and integrity of the process. If deemed appropriate as a result of the audit, the dean may refer files back to the unit peer committee.

The Provost will review the annual review process and the dean’s level audit outcomes, and from that review will report on the number of satisfactory (or better) and unsatisfactory ratings of annual reviews, by unit, to the Faculty Senate each year.

3.3 PROMOTION AND TENURE

This section applies to the promotion and tenure review processes for tenure-eligible faculty, tenured faculty, and nontenure-eligible faculty. Decisions relating to promotion, tenure, and renewal will be made in accordance with University rules and procedures. Final decisions on promotion, tenure and renewal will be made by the University President after considering all evaluations, recommendations, and other evidence submitted. Attainment of tenure can only occur through specific notification by the President and may not result from inaction or inadvertence.

3.3.01 Scheduling Promotion and Tenure Reviews

A faculty member who is facing a mandatory tenure review cannot waive the right to a tenure review or to a third-year or other renewal review. There must be a review, even in the absence of a promotion
and tenure dossier, unless the faculty member submits a letter of resignation with the resignation date set no later than the end of what would be the terminal year if promotion and tenure were denied. Directions on preparing dossiers are provided on the Provost’s webpage.

[http://provost.arizona.edu/]

a. Tenure Clock Delays for Tenure-eligible Faculty
The Provost has the sole authority to grant requests to extend the promotion clock for tenure-eligible faculty based upon good cause shown for either personal or professional reasons, as set forth below. The Provost’s decision is not subject to further review.

A faculty member should submit a written request for a promotion clock delay as early as possible after the events or circumstances that form the basis for the request. Faculty members may be asked to provide documentation supporting such a request. Requests for delays will not generally be considered after June 30 in the year when a mandatory review is scheduled. The University will not subject a faculty member who has been granted a promotion clock delay under this section to additional scholarship or service requirements above and beyond those ordinarily required to qualify for retention or promotion.

1. Personal Reasons

(a) Birth or Adoption. The Provost will approve and grant timely requests for promotion clock delays based upon the birth or adoption of a faculty member’s child. Faculty members should submit such requests directly to the Provost.

(b) Faculty Member’s Individual Medical Condition. The Provost will consider timely requests for promotion clock delays based upon a faculty member’s own serious health condition or disability. A faculty member submitting such a request should contact the Provost’s Office, which will make a referral to the Disability Resource Center (DRC). The DRC will work with the faculty member and the Provost on the request for a reasonable accommodation. Faculty members may provide will be asked to provide supporting documentation to the Provost or, alternatively, the faculty member may choose to provide supporting medical documentation directly to the Disability Resource Center (DRC). Before making a negative determination on a request based upon a faculty member’s individual medical condition, the Provost will consult with the DRC.

(c) Other Personal Reasons. The Provost will consider timely requests for promotion clock delays based upon other personal reasons that prevent a faculty member from meeting his or her research, teaching, or service obligations. Such personal reasons may include, but are not limited to, the assumption of significant and ongoing care responsibilities as a result of the serious health condition or disability of a faculty member’s spouse, domestic partner, parent, or child; or the death of the faculty member’s spouse, domestic partner, or child. Faculty members should submit such requests directly to the Provost.

2. Professional Reasons

(a) Adverse Professional Circumstances. The Provost will consider timely requests for promotion clock delays based upon exceptionally adverse professional circumstances or impediments that are beyond a faculty member’s control and that prevent a faculty member from meeting his or her
research, teaching, or service obligations. Faculty members should submit such requests directly to 
their director or head. Both the appropriate dean and the head or director must support the request, 
which the dean will then submit to the Provost for consideration.

(b) **Prestigious External Commitments.** The Provost will consider timely requests for promotion 
clock delays based upon a faculty member’s prestigious external commitments that bring credit to the 
institution but that require inordinate time to perform, provided that the University has authorized such 
commitments. Faculty members should submit such requests directly to their director or head. Both the 
appropriate dean and the head or director must support the request, which the dean will then submit to 
the Provost for consideration.

### b. The Schedule for Promotion, Retention, and Tenure Reviews of Tenure-eligible Assistant Professors

A tenure-eligible assistant professor may be recommended for promotion, for nonrenewal, or for other 
changes in status after annual performance reviews in any year up to the sixth year of tenure-eligible 
service, or a subsequent year if a time clock delay has been granted. If faculty members go up for 
promotion and tenure before their mandatory year, they may go up again without prejudice. 
Exceptions to the timetable for tenure and retention reviews are described in Section 3.3.01.a.

No later than the end of the third year in rank (unless adjusted for any approved delays), tenure-eligible 
assistant professors will undergo a retention review. For retention reviews, departments may seek 
additional assessments from outside the department and/or University regarding a candidate’s 
professional accomplishments, stature as viewed by peers, and scholarly potential. After that review, 
their administrative head will inform them that they are being recommended for reappointment as an 
assistant professor or for nonrenewal at the expiration of the subsequent year of service in rank. In 
some cases, assistant professors who are reappointed in rank may be required to undergo another 
retention review in the following year. If a decision is made to reappoint faculty members, their head 
must provide them with a written evaluation identifying any problem areas which may preclude the 
granting of tenure. Reappointment in rank may be made without college or University review, but all 
tenure-eligible assistant professors will be formally evaluated at this stage by their head and their unit’s 
Standing Committee on Faculty Status. If an administrative head recommends that a faculty member 
not be reappointed after the departmental level review, the faculty member will be reviewed at the 
college and University level according to the process described in Section 3.3.02. A college may also 
require college review of all retention cases.

No later than the end of the sixth year in rank, or a subsequent year if a time clock delay has been 
granted, tenure-eligible assistant professors will be reviewed for promotion and tenure according to 
the process in Section 3.3.02. After the departmental and college levels in the review process, faculty 
members will be informed in writing by both their administrative head and by their dean that they are 
being recommended for: (a) promotion to the rank of associate professor with tenure or (b) 
appointment as assistant professor for a terminal year.

### c. The Schedule for Promotion, Retention, and Tenure Reviews of Tenure-eligible and Tenured 
Associate Professors

1. **Tenure-eligible Associate Professors**
If faculty members have prior service at the University or at another educational institution as a tenure-eligible assistant or associate professor, they may request that the Provost consider that prior service in scheduling their mandatory tenure reviews. At the time of appointment, faculty members will be notified in writing regarding how much of their prior service will be counted in scheduling their mandatory tenure reviews, as noted in Section 3.1.01.b.

If individuals are initially appointed as tenure-eligible associate professors at the University, and they have not served at another educational institution in the rank of assistant or associate professor, they will be governed by the same time schedule for notification of renewal, promotion, or tenure decisions as assistant professors, as detailed in Section 3.3.01.b. Before the end of their sixth year in rank, or a subsequent year if a time clock delay has been granted, such tenure-eligible associate professors are to be reviewed for tenure or nonrenewal. Tenure-eligible associate professors may also request to be considered for a change to a nontenure-eligible appointment. Such a change must be approved by the department head or immediate supervisor, the dean and the Provost, in accordance with UHAP 3.1.01.g.

A faculty member appointed at the rank of tenure-eligible associate professor who has had prior service at another educational institution that is counted under Section 3.1.01.b may go up for promotion, tenure, or nonrenewal at any time during the second through fourth year of service at the University. Before the end of the fourth year of service as an associate professor at the University, the faculty member will be informed in writing by the immediate administrative head that he or she is beingof recommendation recommended for: (a) tenure effective the fifth year or (b) appointment as an associate professor for a fifth and terminal year. Although a decision on tenure or nonrenewal in faculty rank must be made no later than the fourth year, promotion is not required as a condition of continued employment.

2. Tenured Associate Professors

An associate professor with tenure may go up for promotion to the rank of professor at any time. Promotion is not required as a condition of continued employment. If the faculty member’s immediate administrative head does not recommend the faculty member for promotion to tenured full professor before the end of the fifth year of service in the rank of tenured associate professor at the University, his or her immediate administrative head should notify the faculty member in writing of the right to be reviewed during the sixth year for promotion to tenured full professor. If the faculty member decides not to be reviewed for promotion to tenured full professor, the administrative head will consult with the faculty member regarding his or her plans for promotion and follow up to support the faculty member’s ongoing development as part of the annual review process.

d. The Schedule for Promotion, Retention, and Tenure Reviews of Tenure-eligible Full Professors

If an individual is initially appointed as a tenure-eligible full professor at the University, he or she may be recommended for tenure or for nonrenewal at any time during the first through third year of service in this rank. Normally a faculty member will not be granted tenure effective the first year in his or her position, but may be granted tenure effective the second year. Tenure-eligible full professors also may request to be considered for a change to a nontenure-eligible appointment. Such a change must be approved by the department or immediate administrative head, the dean, and the Provost, in accordance with UHAP 3.1.01.g. All tenure-eligible full professors will be informed in
writing before the end of their third year that they are being recommended for: (a) tenure, effective their fourth year or (b) appointment as a professor without tenure for a fourth and terminal year.

3.3.02 Promotion and Tenure Process for Tenure-eligible and Tenured Faculty

a. Standing Committees

Provided there are sufficient numbers of faculty members to warrant such a committee, each college, department, or other unit will have a Standing Advisory Committee on Faculty Status to advise the dean and immediate administrative head before recommendations on reviews for tenure, promotion, and nonrenewal are forwarded to higher levels. Each such committee will include at least three tenured faculty members from the unit. If a unit does not have sufficient faculty members to constitute such a committee, then the faculty and administrative head will consult with the appropriate dean on forming such a committee from other units. In promotion or tenure matters the advisory committees will be so constituted that recommendations will be made only by faculty members holding rank superior to the rank of the faculty member being considered, except in the case of full professors where the committee members will each be a full professor. Standing Advisory Committees generally will meet without the administrator whom they advise.

The Provost will appoint a University Standing Advisory Committee on Faculty Status composed of at least nine members representing diverse backgrounds and academic disciplines. The committee will advise the Provost in all promotion and tenure considerations. In accordance with University-level criteria, the committee will carefully and systematically review all pertinent materials provided by departments and colleges, and will ensure that high standards of accomplishment and professional performance are maintained.

Deliberations, evaluations, and recommendations of peer review Standing Advisory Committees are confidential, as are any evaluations or recommendations received by them.

b. Criteria

Promotion and tenure require excellent performance and the promise of continued excellence in 1) teaching, 2) service, and 3) research, creative work, and scholarship. The University values an inclusive view of scholarship in the recognition that knowledge is acquired and advanced through discovery, integration, application, and teaching. Given this perspective, promotion and tenure reviews, as detailed in the criteria of individual departments and colleges, will recognize original research contributions in peer-reviewed publications as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with business and community partners, including translational research, commercialization activities, and patents.

Promotion and tenure reviews will consider the assigned workload duties of candidates in making assessments of contributions in the areas of teaching, research, and service. The University values collaboration among colleagues, both externally and internally, and the candidate’s contributions to such collaborations will be considered in promotion and tenure reviews. The University expects the highest standards of professional conduct, as detailed in the Statement on Professional Conduct in UHAP 7.01.01- This Statement sets out the expectation that faculty will uphold scholarly standards, maintain intellectual honesty, and “respect the dignity of others,” including their “right to express differing opinions.”
Within these general guidelines, promotion and tenure criteria are to be developed by the faculty members and the administrative head in each unit and approved by and filed with the dean and Provost. Members of Standing Advisory Committees at all levels are expected to familiarize themselves with all promotion and tenure criteria applicable to the individuals they are to consider. Each unit will review promotion and tenure criteria annually, and current copies of those criteria will be maintained in the offices of the administrative head, college dean, the and Provost, and the Faculty Center.

Immediate administrative heads and Standing Advisory Committees will meet with tenure-eligible faculty members annually to review promotion and tenure criteria and to answer questions. Tenure-eligible faculty members are expected to familiarize themselves with the promotion and tenure criteria applicable to their units. Tenure-eligible faculty members experiencing or anticipating difficulties in meeting tenure criteria will discuss the matter with their administrative head and their standing advisory committee at the earliest date possible.

Annual performance reviews may be considered in the promotion and tenure process, but such annual performance reviews may be useful to consider when individuals have been reprimanded for violating the expectations set out in the Statement on Professional Conduct in UHAP 7.0101. While annual performance reviews may be considered, such reviews are not determinative on promotion and tenure decisions. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion and tenure. The granting of progress towards promotion and tenure requires scholarly accomplishment over a period of years in the broader range of faculty responsibilities, and includes evaluation by external referees, which is not a part of the annual review process.

c. Levels of Review

Dossiers for the promotion or tenure will be prepared following the guidelines outlined by the Provost’s office. Directions on preparing dossiers are provided on the Provost’s webpage.

Decisions regarding promotion, tenure, or nonrenewal of tenure-eligible faculty members, and promotion of tenured faculty members, will involve the following levels of review in a multiple-department college:

1. Departmental Standing Advisory Committee on Faculty Status (where the department contains sufficient personnel to warrant such a committee);
2. Department or unit head;
3. College Standing Advisory Committee on Faculty Status;
4. Dean of college;
5. University Standing Advisory Committee on Faculty Status; and
6. Provost.
In a single department college, only levels 3 through 6 are required.

A dean will designate a faculty member to act as the administrative head when a department or program temporarily has no administrative head.

At the time a recommendation regarding renewal, nonrenewal, tenure, or promotion, or continuing status is transmitted by the immediate administrative head, the dean or division administrator to the next administrative level, the faculty member involved should be advised in writing of the nature of the recommendation. The faculty member is not entitled to a statement of the reasons for the recommendation.

d. Decisions on Promotion, Tenure, and Renewal

The Provost will decide whether an individual will be promoted, granted tenure, or not renewed. The Provost will consider the recommendations that have been made as well as any violations of policies that demonstrate that the candidate has failed to meet the expectations set out in the Statement on Professional Conduct in UHAP 7.01.01, including the expectations that faculty will uphold “scholarly standards,” “maintain intellectual honesty,” and respect the “dignity of others,” including their “right to express differing opinions.” In the case of nonrenewal of a tenure-eligible faculty member after their second year of tenure-eligible employment, a terminal contract will be offered for the next appointment period. A nontenured faculty member whose appointment is not renewed or who is denied promotion or tenure is, upon request, entitled to a statement of the reasons for that action. Tenured faculty who are denied promotion also will be entitled to a statement of the reasons for that action, should they request such reasons. However, the denial of promotion or tenure or the decision not to renew need not be construed as due to failure or poor performance on the candidate’s part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing position; the need to shift a position or resources to another department or unit; or the opportunity for an alternative program in teaching, research, or service may dictate that the individual not be promoted, granted tenure, or renewed.

e. Appeals to the President

In cases where the Provost has decided not to renew or has denied promotion or tenure to a tenure-eligible faculty member or promotion to a tenured faculty member, the faculty member may appeal the nonrenewal or denial to the President. Such appeals must be submitted in writing to the Office of the President within 30 days after the date of the Provost’s decision. The President may extend this timeline for good cause. The President’s review will generally be limited to the record compiled under Section 3.3.02.c. However, the President may seek or may ask the departmental Standing Advisory Committee on Faculty Status to seek additional assessment from outside the department and/or the University regarding the candidate’s professional accomplishments, stature as viewed by peers, and scholarly potential. If requested, these assessments are to be commented on successively by all levels of review previously involved, and then forwarded for the President’s consideration. Outside assessments will be solicited with the promise of confidentiality. In selecting peers to provide such assessments, the spirit of the guidelines and procedures used by the candidate’s home department will be followed.

Within 90 days of the President’s receipt of the written appeal, the President will issue a written decision to the faculty member and will provide copies of the decision to the Provost, the appropriate
dean or division director, and the immediate administrative head. The President will issue a decision in writing to the faculty member involved, with copies to the Provost, the appropriate dean, and the immediate administrative head, within 90 days of the President’s receipt of the written appeal. The President’s decision is final. However, the Committee on Academic Freedom and Tenure may subsequently consider allegations that the decision was the result of due process violations, unlawful discrimination, or other unconstitutional actions and may recommend further review or action. If alleged unlawful discrimination is the basis for appeal, the University’s internal process for addressing employment discrimination complaints must first be utilized. The President may then direct that such additional review or action be taken; otherwise, the matter is not subject to further review.

3.3.03 Promotion Reviews of Nontenure-eligible Faculty

Nontenure-eligible faculty members in designated titles may be reviewed for promotion. Promotions from lecturer to senior or principal lecturer require a review by a departmental committee, a recommendation by the relevant head or director, and the approval of the appropriate dean or vice president. Promotion A more extensive review is required for promotions that may occur only after peer evaluation at the department and college levels. Promotion reviews may also be conducted of nontenure-eligible faculty in designated professorial titles such as assistant or associate professors of practice, research or clinical assistant or associate professors, or other such titles specified by the University for nontenure-eligible professorial appointments. Promotions for such appointments may occur only after reviews at the department and college levels with approval by the Provost as noted in UHAP 3.3.03.c.

a. Standing Committees

Each college, department, or other unit will have a Standing Advisory Committee on Faculty Status to advise the dean and administrative head before recommendations on reviews for promotion are forwarded to higher levels. Such committees may be formed of tenured and nontenured faculty. If a unit does not have sufficient faculty members to constitute such a committee, then the faculty and head will consult with the appropriate dean on forming such a committee from other units. Such advisory committees will be so constituted that recommendations will be made only by faculty members holding rank superior to the rank of the faculty member being considered, except in the case of promotion to full professor where the committee members will each be a full professor. Standing Advisory Committees generally will meet without the administrator whom they advise. Deliberations, evaluations, and recommendations of peer review committees are confidential, as are any evaluations or recommendations received by them.

b. Criteria

Within the general guidelines included below, promotion criteria are to be developed by faculty members and approved by deans. Promotion requires excellent performance and the promise of continued excellence in teaching, research, and service as determined by the specific duties assigned to the individual faculty member. The University expects the highest standards of professional conduct, as detailed in the Statement on Professional Conduct in UHAP 7.01.01. This Statement sets out the expectation that faculty will uphold scholarly standards, maintain intellectual honesty, and “respect the dignity of others,” including their “right to express differing opinions.”
Members of Standing Advisory Committees at all levels are expected to familiarize themselves with all promotion criteria applicable to the individuals they are to consider. Current copies of those criteria will be maintained in the offices of the administrative head, college dean, and Provost.

Nontenure-eligible faculty members being considered for promotion are expected to familiarize themselves with the promotion criteria applicable to their units. Annual performance reviews may be considered in the promotion process, but satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion. Progress towards promotion requires accomplishment over a period of years in the broader range of faculty responsibilities, and may include evaluation by external referees, which is not a part of the annual review process.

c. Levels of Review

Dossiers for the promotion of nontenure-eligible faculty other than lecturers and instructors will be prepared following the same guidelines as those for tenure-eligible or tenured faculty, though external reviews may not be required in some colleges. Directions on preparing dossiers are provided on the Provost’s webpage.

[http://provost.arizona.edu/]

Reviews of nontenure-eligible faculty dossiers will involve the following levels in a multiple-department college:

1. Departmental Standing Advisory Committee on Faculty Status (where the department contains sufficient personnel to warrant such a committee);

2. Department or unit head;

3. College Standing Advisory Committee on Faculty Status;

4. Dean of college; and

5. Provost.

In a single department college, only levels 3 through 5 are required. A dean will designate a faculty member to act as the administrative head when a department or program temporarily has no administrative head.

The Provost will consider the recommendations that have been made as well as any violations of policies that demonstrate that the candidate has failed to meet the expectations set out in the Statement on Professional Conduct in UHAP 7.01.01, including the expectations that faculty will uphold “scholarly standards,” “maintain intellectual honesty,” and respect the “dignity of others,” including their “right to express differing opinions.” The Provost’s decision on the promotion of a nontenure-eligible faculty member is not subject to further review or appeal.

d. Instructors

There is no promotion path for instructors. However, when justified by annual performance reviews and increased responsibilities such as expanded teaching or supervisory duties, instructors may also be
converted to other non-tenure-eligible titles (such as lecturer or nontenure-eligible assistant professor), provided their annual performance reviews under Section 3.2 meet the criteria in Section 3.3.03.b. Such appointments are to be made following standard procedures.

e. Lecturers

Promotion to lecturer, senior lecturer, or principal lecturer may be made following reviews by a departmental Standing Advisory Committees and a Department or unit head with the approval of the appropriate dean. When justified by increased responsibilities such as expanded teaching or supervisory duties, lecturers at any rank may also be converted to other non-tenure-eligible ranked titles (such as nontenure-eligible assistant professor), provided their annual performance reviews under Section 3.2 meet the criteria in Section 3.3.03.b. Such appointments are to be made following standard procedures.

d. Lecturers and Instructors

Promotion to lecturer, senior lecturer, or principal lecturer may be made at the departmental level following reviews by a departmental Standing Advisory Committees and a Department or unit head with the approval of the appropriate dean.

Lecturers, including senior and principal lecturers, and instructors may be promoted to nontenure-eligible assistant professor after a minimum of three years of service, provided their annual performance reviews under Section 3.2 meet the criteria in Section 3.3.03.b.

f. Assistant Professors

Appointment and promotion to nontenure-eligible assistant professor will require evidence of promise, adequate training, depth of knowledge in a particular specialty, and capacity to undertake high quality teaching, research, and service. Promotion to nontenure-eligible associate professorship is possible after a minimum of three years of service in assistant rank.

g. Associate Professors

Appointment or promotion to nontenure-eligible associate professor will require evidence of an established and productive career in addition to the qualifications required of a nontenure-eligible assistant professor. Such an individual will be known at the state, regional, and national level for his or her particular expertise, and will contribute to the departmental program in a significant fashion. Annual reappointments may be made an indefinite number of times, subject to satisfactory performance evaluations. Nontenure-eligible associate professors may go up for promotion to the rank of nontenure-eligible professor at any time.

h. Professors

Appointment or promotion to nontenure-eligible professor will require outstanding qualifications regarding expertise and experience in addition to the qualifications required of a nontenure-eligible associate professor. Such an individual must have achieved national recognition through peer organizations and will bring distinction to the department. Nontenure-eligible professors may be
reappointed annually provided they continue to meet the criteria for the rank and perform satisfactorily as determined by annual performance evaluations.

3.4 SUSPENSIONS AND TERMINATIONS OF APPOINTMENTS

This section applies to resignations, suspensions, dismissals, nonrenewals, and releases, including both voluntary releases and those arising from program changes and financial emergencies. Further information on dismissals and releases due to budgetary and program changes is found in ABOR-PM 6-201(J) and (K).

3.4.01 Resignations

Faculty members who intend to resign will notify their immediate administrative head in writing of their intention as early as possible.

3.4.02 Suspensions or Dismissals

Suspension or dismissal will not occur until the faculty member has been given an opportunity for any applicable hearing under ABOR-PM 6-201. Dismissal refers to termination for just cause of (1) a tenured faculty member or (2) a tenure-eligible or nontenure-eligible faculty member prior to the expiration of an appointment.

The dismissal of tenured faculty members is governed by ABOR-PM 6-201(J)(1) and ABOR-PM 6-201(L)(3).

The dismissal of nontenured faculty members is governed by ABOR-PM 6-201(J)(2) and ABOR-PM 6-201(L)(3).

3.4.03 Nonrenewals of Nontenure-eligible Faculty Appointments

a. Decisions to Nonrenew

The immediate administrative head will make decisions on nonrenewal, termination, or reduction in salary and/or FTE of nontenure-eligible faculty members.

A nontenure-eligible faculty member whose appointment is not renewed is not entitled to a statement of the reasons for that action. Decisions to nonrenew need not be construed as due to failure or poor performance on the faculty member’s part. Nonrenewals may be due to program changes or budgetary needs that are unrelated to the individual faculty member’s performance. A department or program may need a different area of specialization or new emphases, or the unit may not be able to continue to fund a position.

1. State and Nonstate Funded Appointments

(a) Fully State Funded Appointments

If a nontenure-eligible faculty member’s Notice of Appointment or Reappointment states that the appointment is funded fully by state sources, the faculty member will be provided with at least 90
days’ notice of nonrenewal or reduction in salary and/or FTE, prior to the renewal date. If the University fails to provide at least 90 days’ notice, the faculty member’s appointment will be extended for a period of at least 90 days following the date on which the University provides such notice. These notice provisions do not apply to “Adjunct” or “Visiting” appointments or appointments that are for a period of six months or less.

(b) Partial or Fully Nonstate Funded Appointments

If a nontenure-eligible faculty member’s Notice of Appointment or Reappointment states that the appointment is funded fully or partially by nonstate sources and any of those nonstate sources is no longer available, the nonstate funded portion of the appointment may be reduced or terminated during the appointment to the extent such nonstate funds become unavailable; however, such faculty members will be provided with at least 30 days’ notice prior to termination or salary and/or FTE reduction. For all other reasons and for any portion of the appointment funded by state sources, the faculty member will receive the same notice as state funded appointments. These notice provisions do not apply to “Adjunct” or “Visiting” appointments or appointments that are for a period of six months or less.

2. Multiple-year Appointments

All nontenure-eligible faculty members who hold a multiple-year appointment will be provided the same amount of notice of nonrenewal as described for state funded and nonstate funded appointments in Section 3.4.03.a.1(a) and (b). Faculty will be reviewed for renewal as set forth in Section 3.2, but notice of nonrenewal will be given as set forth above depending on their source of funding.

b. Appeals

Nontenure-eligible faculty members may appeal a decision to nonrenew their appointments by submitting a written request to the dean, or if the dean made the decision to nonrenew, to the Provost within 15 days of receiving the notification of nonrenewal. The subsequent decision by the dean or Provost will not be subject to further administrative review. Decisions to reduce a nontenure-eligible faculty member’s salary and/or FTE or to terminate an appointment because funding is not available are not subject to appeal. These appeal provisions do not apply to “Adjunct” or “Visiting” appointments or appointments for a period of six months or less.

3.4.04 Nonrenewals of Tenure-eligible Faculty Appointments

a. Decisions to Nonrenew and Notification

As with promotion or tenure reviews, tenure-eligible faculty members will be informed in writing of recommendations regarding nonrenewal when they are transmitted by the administrative head or dean to the next administrative level. Decisions regarding nonrenewal of tenure-eligible faculty follow the process in Section 3.3.02, including the levels of review as described in 3.3.02.c. If the Provost decides to nonrenew a tenure-eligible faculty member’s appointment, a terminal contract will be offered for the next appointment period if such faculty member has been employed as a tenure-eligible faculty member for at least two years.

Upon request, a tenure-eligible faculty member is entitled to a statement of the reasons for the president’s decision to nonrenew the faculty member’s appointment. However, the decision not to
renew need not be construed as due to failure or poor performance on the faculty member’s part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing position; the need to shift a position or resources to another department or unit; or the opportunity for an alternative program in teaching, research, or service may dictate that the individual not be renewed.

b. Appeals

In cases where the Provost has decided not to renew a tenure-eligible faculty member, the faculty member may appeal the nonrenewal to the President within 30 days after the date of the Provost’s decision. Such appeals will follow the procedures described in 3.3.02.e.

3.4.05 Release of Faculty Due to Reorganization or Financial Emergency

The provisions of ABOR-PM 6-201(K) govern any determination that is made that reorganization or financial emergency requires the release of a tenured faculty member or the release of a tenure-eligible or nontenure-eligible faculty member prior to the end of an appointment period.

[https://public.azregents.edu/Policy%20Manual/6-201-Conditions%20of%20Faculty%20Service.pdf](http://azregents.asu.edu/rrc/Policy-Manual/6-201-Conditions-of-Faculty-Service.pdf)

3.4.06 Voluntary Release of Right to Continued Employment

The provisions of ABOR-PM 6-213 govern the process and circumstances under which the University President may offer severance pay to a tenured faculty member in exchange for the voluntary release of a right to continued employment.

CHAPTER 4: PERSONNEL POLICIES AND PROCEDURES FOR ACADEMIC AND SERVICE PROFESSIONAL EMPLOYEES

CHAPTER 4A: PERSONNEL POLICIES AND PROCEDURES FOR CONTINUING STATUS AND CONTINUING-ELIGIBLE ACADEMIC PROFESSIONAL EMPLOYEES

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CHAPTER 4: PERSONNEL POLICIES AND PROCEDURES FOR ACADEMIC AND SERVICE PROFESSIONAL EMPLOYEES

This chapter covers the conditions of employment for professional employees whose Notices of Appointment specify they are academic or service professional employees. As detailed in Arizona Board of Regents Policy Manual (ABOR-PM) 6-301 and 6-302, academic professional employees are non-classified employees involved with research or teaching programs who require professional and intellectual freedom and who report to a person below the level of vice president, including librarians, cooperative extensionists, museum curators, and researchers. As detailed in ABOR-PM 6-301 and 6-303, service professionals are non-classified employees whose professional activities support the mission of the Board of Regents (hereafter “Board”) and the University in one or more of the following ways: applying specialized, technical or advanced knowledge or experience that typically requires formal advanced education; performing creative, innovative, or imaginative work; providing middle to upper-level management of operations through the direct leadership of personnel; having significant impact on the selection of employees, compensation, or evaluation of employees; planning and effectiveness of the work environment; making independent decisions in matters of significance at the University; and exercising professional discretion and expertise.

The Notice of Appointment or Reappointment is the University’s official employment contract. The President or his or her designee will determine the type of appointment for academic and service professional employees. The Notice of Appointment for academic professional employees will designate whether they are “continuing-eligible,” “continuing status,” “limited appointment,” “year-to-year,” or “multiple-year.” The Notice of Appointment for service professional employees will designate whether their appointment is “academic year,” “fiscal year,” or “limited appointment.” Renewals of appointments for all academic professional employees on academic year appointments occur on or about August 15. Renewals of appointments for professional employees on fiscal year appointments occur on July 1. No oral or written communication made prior to or after the execution of a Notice of Appointment or Reappointment that is inconsistent with the Conditions of Service for Academic and Service Professionals in ABOR-PM 6-301, et seq. or University Policy, will become a part of the conditions of employment. Appointments and renewals of appointments will be for the period designated in the Notice of Appointment or Reappointment. Appointments become effective when approved by the President. Academic and service professional employees may hold multiple appointments. However, the total appointments can be no more than one full-time equivalent.

If an appointment depends on funding from a source other than state appropriations, that fact will be stated in the Notice of Appointment or Reappointment. Such appointments may be reduced in FTE and/or salary or terminated to the extent the nonstate funding is no longer available. Termination based on lack of funding does not apply to continuing status appointments.

If academic or service professional employees require a license or certification to complete their duties, their appointments are conditional upon obtaining and maintaining the license or certification.

All references to the President in this Chapter will include the President’s designee.
CHAPTER 4A: PERSONNEL POLICIES AND PROCEDURES FOR CONTINUING STATUS AND CONTINUING-ELIGIBLE ACADEMIC PROFESSIONAL EMPLOYEES

4A.1 DUTIES AND APPOINTMENTS OF CONTINUING STATUS AND CONTINUING-ELIGIBLE ACADEMIC PROFESSIONAL EMPLOYEES

Each continuing status or continuing-eligible academic professional employee is appointed subject to the responsibilities detailed in the ABOR-PM 6-302, Conditions of Service for Academic Professionals. Duties and responsibilities of a continuing status or continuing-eligible academic professional employee will consist of those duties assigned by the President. All duties and responsibilities will be carried out under the direction of the President. Duties and responsibilities will be related to the expertise and competence of a continuing status or continuing-eligible academic professional employee.

Performance of assigned duties by continuing status and continuing-eligible academic professional employees will be subject to evaluation by an appropriate administrator who will consult a peer group in conducting such evaluations. Performance will be considered in decisions relating to compensation, retention, advancement/promotion or termination.

Continuing status and continuing-eligible academic professional employees will receive a Notice of Appointment or Reappointment, which is the University’s official employment contract. Continuing status and continuing-eligible academic professional employees may be offered an appointment for an academic year or for a fiscal year or a portion thereof. No oral or written communication made prior to or after the execution of a Notice of Appointment that is inconsistent or in conflict with Board or University policy will become a part of the conditions of employment.

4A.1.01 APPOINTMENTS OF CONTINUING STATUS AND CONTINUING-ELIGIBLE ACADEMIC PROFESSIONAL EMPLOYEES

a. Length of Appointments

1. Continuing status

An individual who is awarded a continuing status appointment will hold such appointment in the college or department in which such appointment was approved. Continuing status academic professional employees will have an expectation that the President will renew their appointment for successive appointment periods, except when such a recommendation is precluded by reason of retirement, resignation, release for budgetary reasons or reorganization, dismissal for just cause, or as a result of educational policy change.

2. Continuing-eligible

Continuing-eligible academic professional employees are employed under a year-to-year “probationary” appointment, as defined in the Definitions section, and will have no expectation of employment beyond the end of the current appointment period, but will be reviewed for continuing status in accordance with procedures outlined in this Chapter. Except for approved delays, a continuing-eligible academic professional employee’s appointment will not be renewed more than five successive times, i.e., for a maximum of seven academic or fiscal years of service, regardless of rank or ranks held during the years of continuing-eligible service.

ab. Computing Prior Service of Continuing Status and Continuing-eligible Academic Professional Employees
Prior service within a position designated as a continuing-eligible academic professional employee may be considered in determining the type of appointment offered.

A person employed under a year-to-year appointment may be subsequently employed under a continuing-eligible appointment. In such event, the extent to which the person’s prior service under year-to-year appointments is considered in any review for continuing status will be determined by the University Provost. The University Provost’s decision will be final in all cases and is not subject to further administrative review.

**b.** Legal Effect of Appointments with Continuing Status

Neither the President nor the Board has the power to commit the State of Arizona to an obligation for which an appropriation has not been made. The use of the term “with continuing status” neither constitutes nor implies a legal obligation that the President or the Board is not empowered to undertake. In practice, renewals of appointments of continuing status academic professional employees have been approved and funds have been allocated annually for these appointments.

**cd.** Effect of Retirement, Resignation and Part-time Employment on Continuing Status

Continuing status academic professional employees who retire or resign from the University relinquish their continuing status. Employees who already have been granted continuing status do not forfeit their status by reason of changing to part-time employment. Changes to part-time status for continuing status academic professional employees are permissible only when approved by the immediate administrative head, dean and Provost.

**de.** Effect of Part-Time Employment on Continuing-Eligible Status

Changes to part-time status for continuing-eligible academic professional employees are permissible only when approved by the immediate administrative head, dean and Provost. Continuing-eligible status may be forfeited by a change or appointment to part-time employment.

**ef.** Effect of Additional Appointments on Continuing Status or Continuing-eligible Status and Other Rights

Continuing status and continuing-eligible academic professional employees with additional appointments will not lose their continuing status or continuing-eligible status as a result of receipt of such additional appointment. When a continuing status or continuing-eligible academic professional employee receives an additional appointment, there will be a clear written understanding concerning the individual’s status, including when the additional appointment is to be renewed or terminated—and how the schedule for any upcoming promotion reviews will be affected. A continuing-eligible academic professional employee who achieves is promoted in rank during the term of an administrative appointment during the term of such additional appointment is will be subject to the normal normal review procedures outlined elsewhere in University policy.

**fg.** Changes in Appointments and Rehires of Continuing Status or Continuing-eligible Academic Professional Employees
Continuing-eligible academic professional employees may apply and be considered for other available appointed positions in the University before the year of their mandatory review. In the year of their mandatory review, they will not be considered for a change to a different appointment, except to that of non-continuing-eligible positions in the same discipline.

Individuals who were denied continuing status or whose appointment was not renewed for other than reorganization or budgetary reasons will not be considered for other available appointed positions at the University, except as a result of an appeal to the President, which includes a determination by the President that the individual has distinctive expertise that meets strategic needs of the University.

Individuals whose service was terminated for cause or who resigned in lieu of dismissal or investigation by any institution governed by the Board will not be considered for employment in any position at the University, nor will they be considered for affiliate, associate, volunteer, or emeritus status.

gh. Distinguished Professorships

The University has established several distinguished professorships, including University Distinguished Professors, University Distinguished Outreach Faculty, and 1885 Distinguished Scholars. The eligibility requirements and procedures for these awards are listed on the Provost’s webpage.

[http://provost.arizona.edu/awards.htm]

hi. Endowed Positions

An endowed position is a recognition bestowed on exceptionally distinguished and valued continuing status academic professional employees. To endow a position or appoint a continuing status academic professional employee to such a position, a college must have provisions for such procedures as appointing candidates, specifying the duties and privileges of the position, administering research or other related funding, determining the effects of changes in appointment such as retirement, and reviewing holders of the position. Such reviews may be required to renew a term appointment. Endowments may be established in coordination with the University of Arizona Foundation and following procedures outlined in University policy. Unless otherwise requested by donors, endowed positions should be created following the provisions for Named Professorships in 3.1.03d.

ij. Emeritus Status

With the approval of the President, continuing status academic professional employees who retire from the University in good standing after serving 15 years or more may be given the title of emeritus. This status also may be granted to other retiring continuing status professional employees upon recommendation of their immediate administrative head and dean and the endorsement of the President. Those individuals who have been given the title of emeritus will be entitled to library services, email, and access to parking privileges, as well as all other benefits which may be granted by the University to retirees. Departments will endeavor to meet reasonable scholarly and academic needs of individuals with emeritus status in a manner consistent with continuing contributions to the mission of the department and University, within limits governed by the availability of resources, and balanced against other needs and priorities. Each department will negotiate specific agreements for each individual case, for a specific period of time, and document these agreements in writing.
Emeritus status is granted and continued at the discretion of the President and may be withdrawn when circumstances warrant. Individuals with emeritus status who do research or conduct other University business will be held to the same standards of responsible conduct as any other researcher and will face the same sanctions as other researchers when they do not follow compliance guidelines.

4A.2 ANNUAL PERFORMANCE REVIEWS OF CONTINUING STATUS AND CONTINUING-ELIGIBLE ACADEMIC PROFESSIONAL EMPLOYEES

This section applies to annual performance reviews of continuing status and continuing-eligible academic professional employees. In accordance with Board policy, such employees are expected to participate and cooperate in evaluations to assess and enhance their performance. These employees will have an opportunity to participate in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.

Continuing status and continuing-eligible academic professional employees are evaluated with respect to all personnel matters on the basis of excellence in performance. The annual performance review is intended to support continuing status and continuing-eligible academic professional employees in achieving excellence in the performance of their duties and responsibilities.

The evaluation procedures should pursue the following objectives:

a. To involve continuing status and continuing-eligible academic professional employees in the formulation of objectives and goals related to their program areas and their own personal and professional growth.

b. To assess actual performance and accomplishments in the areas of their employee’s responsibilities through the use of peer review.

c. To promote the effectiveness of continuing status and continuing-eligible academic professional employees through an articulation of the types of contributions they might make that enhance the University community that will lead to greater personal and professional growth, recognition, and rewards.

d. To provide a written record of continuing status and continuing-eligible academic professional employees’ performance to support personnel decisions such as reappointment, merit increases, transfers, reemployment, promotions, and continuing appointment.

e. To recognize special talents, capabilities and achievements of continuing status and continuing-eligible academic professional employees.

f. To correct unsatisfactory ratings in one or more areas of responsibility through specific improvement plans designed to correct the deficiencies in a timely manner.

All continuing status or continuing-eligible professional employees who are found to be performing overall as meeting expectations in the annual performance review may be eligible for salary increases and other awards that may exist or be established at the unit, college, or University levels.

Continuing status and continuing-eligible academic professional employees are evaluated with respect to all personnel matters on the basis of excellence in performance. The annual performance review is intended to
support continuing status and continuing eligible academic professional employees in achieving excellence in the performance of their duties and responsibilities.

Annual performance reviews follow specific procedures outlined in Section 4A.2.01. For continuing-eligible academic professional employees, the mandatory successive renewal process, which occurs in the third and sixth years, follows procedures outlined in Section 4A.3.01.

**4A.2.01 Annual Performance Review Process**

Each continuing status or continuing-eligible academic professional employee’s performance, personal progress, and future potential will be evaluated in writing on a scheduled basis at least once every 12 months.

**a. Elements of the Performance Evaluation**

Elements of the evaluation will include, but will not be limited to, the following:

1. Written evaluation criteria will be developed through participation of the continuing status or continuing-eligible academic professional employee to express performance expectations. Procedures and instruments for evaluation of continuing status and continuing-eligible academic professional employees will be developed by departments and organizational units. Evaluation procedures within organizational units will be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.

2. An assessment of the continuing status or continuing-eligible academic professional employee’s performance will include an assessment by the immediate administrative head.

3. The evaluation of the continuing status or continuing-eligible academic professional employee’s past performance and expectations for the future will be discussed with the continuing status or continuing-eligible academic professional employee. A written statement recording the sense of this discussion will be provided to the continuing status or continuing-eligible academic professional employee. The continuing status or continuing-eligible academic professional employee will be given the opportunity to add his or her comments to this statement as a part of the official record.

4. The annual performance review will evaluate the continuing status or continuing-eligible academic professional employee’s performance in his or her department consistent with that department’s responsibilities, University, and Board policies. For continuing status and continuing-eligible academic professional employees whose responsibilities include teaching, the annual review will include peer and student input, including student evaluations of classroom performance in all classes, and other expressions of teaching performance.

5. The assessment of performance will include an evaluation by both a peer review committee of the unit and an assessment by the immediate administrative head. The peer review committee will be elected unless decided otherwise by the members of the unit. Peer review committees will be composed to utilize consistent standards in evaluating all teaching and independent research. Deliberations, evaluations, and recommendations of such committees are confidential, as are any evaluations or recommendations they may receive. However, upon request, the immediate administrative head will provide the continuing status or continuing-eligible academic professional employee a summary of the peer evaluation. A summary of the results of any peer evaluation will be communicated to the individual evaluated upon request when the results of a performance evaluation are reviewed with the individual by his or her immediate administrative head.
b. **Procedures for the Performance Evaluation**

The following procedures are involved in the annual performance review of continuing status and continuing-eligible academic professional employees:

1. The first step is information gathering, where the continuing status or continuing-eligible academic professional employee provides information to the immediate administrative head and peer review committee in a timely manner. In the area of teaching, student evaluation of classroom performance in all classes is required.

2. Peer evaluation, through procedures and criteria determined by continuing status and continuing-eligible academic professional employees and the immediate administrative head, is required. The information gathered in 4A.2.01.b.1, and any other materials that may be deemed relevant, are utilized in the peer review. Results of the peer evaluation are transmitted directly to the immediate administrative head confidentially.

3. The immediate administrative head evaluates the continuing status or continuing-eligible academic professional employee on the basis of information provided by the continuing status or continuing-eligible academic professional employee, peer evaluators, students and such other information as is available, including findings that the academic professional employee has violated codes of professional conduct, as detailed in the Statement on Professional Conduct in UHAP 7.01.0. The immediate administrative head then provides the continuing status or continuing-eligible academic professional employee with a preliminary written evaluation.

4. The immediate administrative head meets typically with the continuing status or continuing-eligible academic professional employee by March 31, if possible, to discuss the immediate administrative head’s written evaluation, assignments, and expectations for the next annual review. If the continuing status or continuing-eligible academic professional employee so requests, the discussion at this meeting will include a summary of the results of the evaluation conducted by the peer review committee. If the employee is continuing-eligible, then this meeting will include a discussion of the continuing-eligible academic professional employee’s progress toward continuing status and promotion.

5. **As soon as possible thereafter, the continuing status or continuing-eligible professional employee will receive the final written evaluation.** The continuing status or continuing-eligible academic professional employee provides comments as desired, signs the final written evaluation, and returns it to the immediate administrative head within 10 days of the meeting described in 4A.2.01.b.4. above. The signed final written evaluation will become a part of the employee’s departmental records.

6. If the continuing status or continuing-eligible academic professional employee is found to be performing in an unsatisfactory manner or fails to provide annual performance review information to the immediate administrative head and peer review committee by the established deadline after receiving appropriate notification, the continuing status or continuing-eligible academic professional employee will receive an overall unsatisfactory performance rating unless the immediate administrative head determines that good cause exists for an exception.

7. If the continuing status or continuing-eligible academic professional employee receives an overall unsatisfactory performance rating, a plan for remediation and/or further action may be developed in accordance with the procedures outlined below.
7. If the continuing status or continuing-eligible academic professional employee disagrees with the evaluation, he or she may appeal within 30 days of receipt of the final written evaluation as detailed in Section 4A.2.03.

If the continuing status or continuing-eligible academic professional employee is found to be performing in an unsatisfactory manner or fails to provide annual performance review information to the immediate administrative head and peer review committee by the established deadline after receiving appropriate notification, the continuing status or continuing-eligible academic professional employee will receive an overall unsatisfactory performance rating unless the immediate administrative head determines that good cause exists for an exception.

When an administrator or other individual holds more than one appointment involving administrative, faculty, or other professional employee assignments, the annual performance review will address contributions under each of these assignments. When an academic professional holds an appointment that involves an administrative assignment, the related duties will be assessed by the appropriate administrator, while the faculty duties will be assessed by the peer review committee.

Annual performance reviews may be considered in the promotion and continuing status process, but such evaluations are not determinative on promotion and continuing status decisions. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion and continuing status. Progress toward Continuing status and promotion or continuing status requires excellence in performance over a period of years in all the duties and responsibilities assigned to the individual, and include evaluation by external peer reviewers, which is not a part of the annual review process. Criteria and decisions with regard to promotion and continuing status are detailed in Section 4A.3.

4A.2.02 Annual Performance Review Criteria for Continuing Status and Continuing-eligible Academic Professional Employees

Written evaluation criteria will be developed through participation of continuing status and continuing-eligible academic professional employees within each department or other organizational unit, together with the immediate administrative head, to express their performance expectations. The recommended categories for evaluation are truly exceptional, exceeds expectations, meets expectations, needs improvement, and unsatisfactory. The stated expectations will differentiate between satisfactory and unsatisfactory performance and must be in accordance with the mission and goals of the department, and college or division, within the norms of the discipline, and must be approved by the college dean or division administrator, and the Provost.

Depending upon assigned responsibilities, criteria for annual performance may consider teaching effectiveness, research and scholarly growth, creative activity, academic professional activity, and service and outreach. Evaluation criteria may provide for recognition of long-term activities and outcomes. Concentration of effort in one or more of the duties and responsibilities of a continuing status or continuing-eligible academic professional employee during a particular year is permissible, and may even be encouraged. Guidelines and evaluation procedures within departments will be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated, a systematic assessment of both student and peer opinion will constitute one component of the evaluation.

Each annual review will include the past review year of the continuing status or continuing-eligible academic professional employee’s performance. The review period may include the past three to five years of performance, with substantial emphasis on the most recent year for evaluation of teaching. The time period will be determined by the unit.
4A.2.03 Appeals of Annual Performance Reviews for Continuing Status and Continuing-eligible Academic Professional Employees

Continuing status and continuing-eligible academic professional employees who disagree with their annual performance reviews may appeal their review to the next administrative level. Such appeals must be made in writing within 30 days from the date that the final of the written annual performance review evaluation was received and must state with specificity: (a) the findings to be appealed; (b) the points of disagreement; (c) the facts in support of the appeal; and (d) the corrective action sought.

The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on the appeal will be completed in writing within 30 days, with copies provided to the continuing status or continuing-eligible academic professional employee and the immediate administrative head involved in the initial annual performance review.

4A.2.04 Unsatisfactory Ratings of Continuing-eligible Academic Professional Employees

If a continuing-eligible academic professional employee receives an overall annual performance review rating of unsatisfactory or fails to complete an annual review in a timely manner when provided with appropriate notification, his or her immediate administrative head, in consultation with the annual performance peer review committee, may either develop a remediation plan for the continuing-eligible academic professional employee, which includes specific benchmarks to improve the continuing-eligible academic professional employee’s performance over the next review period, or may initiate other actions in accordance with University policy, which could include termination.

4A.2.05 Less than Satisfactory Ratings of Continuing Status Academic Professional Employees

An overall unsatisfactory rating may result from: (a) two or more areas of performance rated as unsatisfactory; (b) one area of performance rated as unsatisfactory, depending on the emphasis assigned to that area or the extent of the deficiency; or (c) the continuing status academic professional employee's failure to provide annual performance review information to the immediate administrative head and peer review committee by the established deadline, unless the administrator has extended the deadline for providing that information based upon good cause.

If a continuing status academic professional employee receives an overall annual performance review rating of overall satisfactory but with either an unsatisfactory rating in any single area of performance (for example, teaching), a needs improvement rating in one or more areas of performance, an overall unsatisfactory performance rating, or fails to complete an annual review in a timely manner when provided with appropriate notification, he or she will enter into a Performance Improvement Plan (PIP).

If an academic professional with continuing status who receives a performance review rating of overall satisfactory, but with an unsatisfactory rating in any single area of performance (for example, teaching), his or her immediate administrative head, in consultation with the annual performance peer review committee, will develop a remediation plan. This plan will include benchmarks to improve the employee’s performance over the next review period or may redirect the employee’s work responsibilities to areas of particular strength.

Academic professionals with continuing status who receive overall annual performance review ratings of unsatisfactory are required to enter directly into a Performance Improvement Plan. An overall unsatisfactory rating may result from: (a) two or more areas of performance rated as unsatisfactory; (b) one area of performance rated as unsatisfactory, depending on the emphasis assigned to that area or the extent of the
deficiency; or (c) the continuing status academic professional employee’s failure to provide annual performance review information to the immediate administrative head and peer review committee by the established deadline, unless the administrator has extended the deadline for providing that information based upon good cause.

a. Objective and Process for a Performance Improvement Plan

The objective of the Performance Improvement Plan (PIP) is to enable the continuing status academic professional employee to become a fully contributing member of his or her department. The continuing status academic professional employee must take responsibility for meeting to develop the PIP and submitting any necessary materials in a timely manner, and for following the PIP once it is developed.

1. Within 30 days of receiving the annual performance review rating or outcome, the continuing status academic professional employee and the immediate administrative head will develop the PIP in consultation with the departmental peer review committee and with approval by the dean or division administrator.

2. The PIP will specify its anticipated duration, and will be implemented as soon as possible after it has been developed but no later than the semester following the overall unsatisfactory annual performance review rating. For deficiencies in any area (teaching, service, or research), the PIP will generally be effective no longer than one year. In those rare circumstances where the nature of the deficiency cannot be fully remedied in one year, the PIP may extend beyond one year but in no event will a PIP exceed three years in duration. The Provost must approve any PIP that exceeds one year in duration. The PIP will generally:

- Describe specific deficiencies;
- Provide a list of reasonable outcomes needed to correct deficiencies;
- Describe the process to be followed to achieve outcomes;
- Provide the timeline for accomplishing the process, including at least annual or more frequent reviews;
- Describe benchmarks and expectations;
- Describe the criteria to be used in evaluating progress in the PIP;
- Address the resources needed to facilitate the PIP; and
- Describe any alteration in job responsibilities that may be necessary to implement the PIP.

3. The University will make reasonable efforts to provide appropriate resources to facilitate the PIP’s implementation and success.

4. The continuing status academic professional employee’s performance within the context of the PIP will be evaluated as early as possible, but no later than one year after the PIP is put into effect. This special evaluation will be carried out by the immediate administrative head and the departmental peer review committee in place at the time of the evaluation, and approved by the dean or division administrator.

b. Outcomes of the Performance Improvement Plan

The PIP concludes when any one of the following occurs:
1. The continuing status academic professional employee achieves overall satisfactory performance as required by the PIP and as documented by the special evaluation and approved by the dean or division administrator.

2. The continuing status academic professional employee fails to demonstrate adequate progress relative to the PIP’s benchmarks and performance goals, which will constitute just cause for dismissal, and result in a recommendation for dismissal, in accordance with ABOR-PM 6-302(G) and (I).

3. The continuing status academic professional employee fails to participate in developing the PIP or fails to submit required materials when requested, which will lead to a recommendation for dismissal, in accordance with ABOR-PM 6-302(G) and (I).

4A.3 PROMOTION AND CONTINUING STATUS

This section applies to the promotion and continuing status review processes for continuing-eligible and continuing status professionals. Decisions relating to promotion, continuing status, and renewal will be made in accordance with University rules and procedures. Final decisions on promotion, continuing status and renewal will be made by the University President after considering all evaluations, recommendations, and other evidence submitted. Attainment of continuing status can only occur through specific notification by the President and may not result from inaction or inadvertence. The promotion must be to a position or rank previously established and approved by the Provost, the responsibilities of which have been defined by the department, and the college or division. A promotion recommendation should originate with the immediate administrative head and be reviewed at all appropriate administrative levels through the Office of the Provost.

Peer reviews by the Standing Advisory Committee on continuing status (Subsection 4A.3.02 a) will be part of the promotion review process for continuing status and continuing-eligible academic professional employees at the college or division level and, if possible, at the departmental level. Continuing status academic professional employees who conduct peer reviews must hold rank superior to the rank of the candidate being considered. Peer review may be sought outside the University.

Promotion normally is effective at the beginning of the fiscal or academic year, as appropriate, following recommendation and approval. The Provost will make a final determination regarding promotion. Attainment of continuing status can only occur through specific notification by the President and may not result from inaction or inadvertence.

4A.3.01 Scheduling Continuing Status and Promotion Reviews

A continuing-eligible academic professional employee may be recommended for promotion, for nonrenewal, or for other changes in status after annual performance reviews in any year up to the sixth year of continuing-eligible service, or a subsequent year if a time clock delay has been granted. If continuing-eligible academic professional employees go up for promotion and continuing status before their mandatory year, they may go up again without prejudice. Exceptions to the timetable for continuing status and retention reviews are described in Section 4A.3.01.a.

Except for approved delays, a continuing-eligible academic professional employee’s appointment will not be renewed more than five successive times, i.e., for a maximum of seven academic or fiscal years of service, including any terminal year appointment, regardless of rank or ranks held during the years of continuing-eligible service.

Before No later than the end of their third (or as adjusted for any approved delays) year of service (unless adjusted for any approved delays), continuing-eligible academic professional employees will undergo a retention review. For retention reviews, departments may seek additional assessments from outside the
department and/or University regarding a candidate’s professional accomplishments, stature as viewed by peers, and scholarly potential. After that review, the candidate will be informed by their immediate administrative head that they are being recommended for: (a) reappointment in their current rank up to and including year six (or later in the case of an approved delay); (b) continuing status, with or without promotion; or (c) nonrenewal with a terminal year appointment at the expiration of the subsequent year of service in rank. Reappointment in rank may be made without college or University review, but all continuing-eligible academic professional employees will be formally evaluated at this stage by their employee’s head and their unit’s Standing Advisory Committee.

Annual reappointments in rank for each year up to and including year five (or later in the case of an approved delay) may be made without review at the college and University levels, but must be based on the annual evaluations made by the department Standing Advisory Committee on continuing status and by the immediate administrative head. The continuing-eligible academic professional employee is to receive written copies of these evaluation reports, which will include reference to any problem areas. In year six (or later in the case of an approved delay), a continuing-eligible academic professional employee will be reviewed through the normal review process at the department, college or division, and University levels.

No later than the end of their sixth year in rank, or a subsequent year if a time clock delay has been granted (or as adjusted for any approved delays) of service, continuing-eligible academic professional employees will be reviewed for promotion and continuing status according to the process in Section 4A.3.02. Continuing-eligible academic professional employees will be informed in writing by their immediate administrative head that they are being recommended for: (a) continuing status, with or without promotion; or (b) nonrenewal with a terminal year appointment. This does not preclude consideration for promotion at other times, nor does it preclude a decision of nonrenewal prior to or at the next triennial review in successive years.

Annual reappointments in rank for each year up to and including year five (or later in the case of an approved delay) may be made without review at the college and University levels, but must be based on the annual evaluations made by the department Standing Advisory Committee on continuing status and by the immediate administrative head. The continuing-eligible academic professional employee is to receive written copies of these evaluation reports, which will include reference to any problem areas. In year six (or later in the case of an approved delay), a continuing-eligible academic professional employee will be reviewed through the normal review process at the department, college or division, and University levels.

Continuing-eligible academic professional employees may be considered and recommended for continuing status during any year of service, but they must be considered during their sixth (or later in the case of an approved delay) year of service if, by then, continuing status has not been awarded.

An academic professional employee who is facing a mandatory continuing status review cannot waive the right to the review or to a third-year or other renewal review. There must be a review, even in the absence of a promotion and continuing status dossier, unless the continuing-eligible academic professional submits a letter of resignation with the resignation date set no later than the end of what would be the terminal year if promotion and continuing status were denied. Directions on preparing dossiers are provided on the Provost’s webpage.

a. Continuing Status Clock Delays for Continuing-eligible Academic Professional Employees

The Provost has the sole authority to grant requests to extend the promotion clock for continuing-eligible academic professional employees, based upon good cause shown for either personal or professional reasons, as set forth below. The Provost’s decision is not subject to further review.

A continuing-eligible academic professional employee should submit a written request for a promotion clock
delay as early as possible after the events or circumstances that form the basis for the request. Continuing-eligible academic professional employees may be asked to provide documentation supporting such a request. The University will not subject a continuing-eligible academic professional employee who has been granted a promotion clock delay under this Section to additional scholarship or service requirements above and beyond those ordinarily required to qualify for retention or promotion.

3. **Personal Reasons**

(a) **Birth or Adoption.** The Provost will approve and grant timely requests for promotion clock delays based upon the birth or adoption of a continuing-eligible academic professional employee’s child. Continuing-eligible academic professional employees should submit such requests directly to the Provost.

(b) **Continuing-eligible Academic Professional Employee’s Individual Medical Condition.** The Provost will consider timely requests for promotion clock delays based upon a continuing-eligible academic professional employee’s own serious health condition or disability. A continuing-eligible academic professional employee submitting such a request should contact the Provost’s Office, which will make a referral to the Disability Resource Center (DRC). The DRC will work with the continuing-eligible academic professional and the Provost on the request for a reasonable accommodation. The continuing-eligible academic professional employee will be asked to provide supporting documentation directly to the Disability Resource Center (DRC). Before making a negative determination on a request based upon a continuing-eligible academic professional employee’s individual medical condition, the Provost will consult with the DRC.

(c) **Other Personal Reasons.** The Provost will consider timely requests for promotion clock delays based upon other personal reasons that prevent a continuing-eligible academic professional employee from meeting his or her assigned duties. Such personal reasons may include, but are not limited to, the assumption of significant and ongoing care responsibilities as a result of the serious health condition or disability of a continuing-eligible academic professional employee’s spouse, domestic partner, parent, or child; or the death of the continuing-eligible academic professional employee’s spouse, domestic partner, or child. Continuing-eligible academic professional employees should submit such requests directly to the Provost.

2. **Professional Reasons**

(a) **Adverse Professional Circumstances.** The Provost will consider timely requests for promotion clock delays based upon exceptionally adverse professional circumstances or impediments that are beyond a continuing-eligible academic professional employee’s control and that prevent a continuing-eligible academic professional employee from meeting his or her assigned duties. Continuing-eligible academic professional employees should submit such requests directly to their immediate administrative head. Both the appropriate dean or division administrator and the immediate administrative head must support the request, which the dean or division administrator will then submit to the Provost for consideration.

(b) **Prestigious External Commitments.** The Provost will consider timely requests for promotion clock delays based upon a continuing-eligible academic professional employee’s prestigious external commitments that bring credit to the institution but that require inordinate time to perform, provided that the University has authorized such commitments. Continuing-eligible academic professional employees should submit such requests directly to their immediate administrative head. Both the appropriate dean or division administrator and the immediate administrative head must support the request, which the dean or division administrator will then submit to the Provost for consideration.
b. **The Schedule for Promotion of Academic Professionals with Continuing Status**

An academic professional with continuing status at the rank of associate may go up for promotion to full at any time. Promotion is not required as a condition of continued employment. If the immediate administrative head does not recommend the employee for promotion to full before the end of the fifth year of service in the associate rank at the University of Arizona, his or her employee’s immediate administrative head should notify the employee in writing of the right to be reviewed during the sixth year for promotion to full. If the employee decides not to be reviewed for promotion to full, the administrative head will consult with the employee regarding his or her employee’s plans for promotion and follow up to support the employee’s ongoing development as part of the annual review process.

4A.3.02 Promotion and Continuing Status Review Process

a. **Standing Committees**

Provided there are sufficient numbers of continuing status academic professional employees to warrant such a committee, each department, college or division will have a Standing Advisory Committee on continuing status to advise the immediate administrative head before recommendations on reviews for continuing status, promotion, and nonrenewal are forwarded to higher levels. Each such committee will include at least three continuing status academic professional employees from the department. In promotion or continuing status matters, the Standing Adivisory Committees will be so constituted that recommendations will be made only by those holding rank superior to the rank of the academic professional being considered, except in the case of an individual seeking promotion to full where the committee members will each have the rank of full. If a department does not have sufficient continuing status academic professional employees at the appropriate rank to constitute such a committee, then the continuing status academic professional employees and immediate administrative head will consult with the appropriate dean or division director on forming such a committee by drawing some academic professionals with continuing status from other units.

The Provost will appoint a University Standing Advisory Committee on Continuing Status to advise him or her regarding the granting of continuing status. This committee will have a rotating membership, composed of a minimum of five continuing status academic professional employees, representing diverse backgrounds and academic disciplines.

Standing Advisory Committees generally will normally meet without the administrator whom they advise. Deliberations, evaluations, and recommendations of Standing Advisory peer review Committees are confidential, as are any evaluations or recommendations received by them.

b. **Criteria**

Continuing status requires excellent performance and the promise of continued excellence in the candidate’s assigned duties, which may include teaching, outreach, service, research, creative work, and scholarship. The University values an inclusive view of scholarship in the recognition that knowledge is acquired and advanced through discovery, integration, application, and teaching. Given this perspective, continuing status and promotion reviews, as detailed in the criteria of individual units, departments, and colleges, will recognize a wide range of original research-based contributions in peer-reviewed publications as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with business and community collaborators, including translational research, commercialization activities, and patents. The University expects the highest standards of professional conduct, as detailed in the Statement on Professional Conduct in UHAP 7.01.01. This Statement sets out the expectation that academic professionals will uphold scholarly standards, maintain intellectual honesty, and “respect the dignity of others,” including their “right to express differing
Decisions on continuing status will be based upon written criteria developed within each department or other administrative unit with participation of appropriate continuing status academic professional employees and approved by the dean or division administrator and the Provost. Each unit will review these criteria annually and current copies of such criteria will be maintained in the offices of the immediate administrative head, the dean or division administrator, and the Provost.

Immediate administrative heads and Standing Advisory Committees will meet with continuing-eligible academic professional employees annually to review promotion and continuing status criteria and to answer questions. Continuing-eligible academic professional employees are expected to familiarize themselves with the promotion and continuing status criteria applicable to their units. Continuing-eligible academic professional employees experiencing or anticipating difficulties in meeting continuing status criteria will discuss the matter with their administrative head and their Standing Advisory Committee at the earliest date possible.

Annual performance reviews may be considered in the promotion and continuing status process, but such evaluations are not determinative on promotion and continuing status decisions. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion and continuing status. The granting of promotion and continuing status requires excellence in performance over a period of years in all the duties and responsibilities assigned to the individual, and includes evaluation by external referees, which is not a part of the annual review process.

The immediate administrative head and the unit Standing Advisory Committee on Continuing Status should meet with the continuing-eligible academic professional employees at least once a year to review continuing-eligibility criteria and to answer questions. Continuing-eligible academic professional employees are expected to familiarize themselves with the continuing-eligibility criteria applicable to their units. Continuing-eligible academic professional employees experiencing or anticipating difficulties in meeting applicable continuing-eligibility requirements should discuss the matter with their immediate administrative head and unit Standing Advisory Committee on Continuing Status at the earliest date possible.

c. Levels of Review

Dossiers for the promotion of continuing-eligible academic professional employees will be prepared following the guidelines outlined by the Provost’s office. Directions on preparing dossiers are provided on the Provost’s webpage.

Decisions regarding promotion, continuing status, or nonrenewal of continuing-eligible academic professional employees will involve the following levels of review in a multiple department college or division:

1. Departmental Standing Advisory Committee on continuing status (where the department contains sufficient personnel to warrant such a committee);
2. Immediate Administrative Head;
3. College or Division Standing Advisory Committee on continuing status;
4. Dean or Division Administrator;
5. University Standing Advisory Committee on Continuing Status; and
6. Provost.
In a unit in which insufficient continuing status academic professional employees exist to form a standing committee, only review levels 2 through 6 are required. In a single department, college, or division, only levels 3 through 6 are required. The dean’s or division administrator’s designee will act as the immediate administrative head in cases in which a department temporarily has no immediate administrative head.

At the time a recommendation regarding renewal, nonrenewal, continuing status, or promotion is transmitted by the immediate administrative head, the dean or division administrator to the next administrative level, the continuing status academic professional employee involved should be advised in writing of the nature of the recommendation. The continuing status academic professional employee member is not entitled to a statement of the reasons for the recommendation.

**d. Decisions on Nonrenewal, Promotion, and Continuing Status**

The Provost will decide whether an individual will be promoted, granted continuing status, or not renewed. The Provost will consider the recommendations that have been made as well as any violations of policies that demonstrate that the candidate has failed to meet the expectations set out in the Statement on Professional Conduct in UHAP 7.01.01, including the expectations that continuing-eligible and continuing status professionals will uphold “scholarly standards,” “maintain intellectual honesty,” and respect the “dignity of others,” including their “right to express differing opinions.” In the case of nonrenewal of a continuing-eligible academic professional employee after their second year of continuing-eligible employment, a terminal contract will be offered for the next appointment period.

The Provost will decide whether to nonrenew, to promote continuing status or continuing-eligible academic professional employees, and to grant continuing status to continuing-eligible academic professional employees as the last step in the levels of review in Section 4A.3.02.c. A continuing-eligible academic professional employee who has been denied continuing status will be offered a terminal year contract.

Continuing status professionals who are denied promotion will be given a statement of the reasons for that action, should they request such reasons. However, the denial of promotion or continuing status or the decision not to renew need not be construed as due to failure or poor performance on the candidate’s part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing position; the need to shift a position or resources to another department or unit; or the opportunity for an alternative program in teaching, research, or service may dictate that the individual not be promoted, granted continuing status, or renewed.

**e. Appeals to the President**

In cases where the Provost has decided not to renew or not to grant promotion or continuing status to a continuing-eligible academic professional employee, or not to promote a continuing status academic professional employee, the continuing status or continuing-eligible academic professional employee may appeal the denial to the President. Such appeals must be filed in writing with the Office of the President within 30 days after the date of the Provost’s decision. The President may extend this timeline for good cause. The President’s review will generally be limited to the record compiled under Section 4A.3.02. However, the President may seek or may ask the departmental-Standing Advisory Committee on Continuing Status to seek additional assessment from outside the department and/or the University regarding the candidate’s professional accomplishments, stature as viewed by peers, and scholarly potential. If requested, these assessments are to be commented on successively by all levels of review previously involved, and then forwarded for the President’s
consideration. Outside assessments will be solicited with the promise of confidentiality. In selecting peers to provide such assessments, the spirit of the guidelines and procedures used by the candidate’s home department will be followed.

**Within 90 days of the President’s receipt of the written appeal, the President will issue a written decision to the continuing status or continuing-eligible academic professional employee and will provide copies of the decision to the Provost, the appropriate dean or division director, and the immediate administrative head. The President’s decision is final. However, the Committee on Academic Freedom and Tenure may subsequently consider allegations that the decision was the result of due process violations, unlawful discrimination, or other unconstitutional actions and may recommend further review or action. If alleged unlawful discrimination is the basis for appeal, the University’s internal process for addressing employment discrimination complaints must first be utilized. The President may then direct that such additional review or action be taken; otherwise, the matter is not subject to further review.**

Within 90 days of the President’s receipt of the written appeal, the President will issue a written decision to the continuing status or continuing-eligible academic professional employee and will provide copies of the decision to the Provost, the appropriate dean or division director, and the immediate administrative head. The President’s decision is final unless the Committee on Academic Freedom and Tenure subsequently recommends that further review or action be taken by the President. In that case, the President may direct that additional review or action be taken; otherwise, the matter is not subject to further review.

### 4A.4 SUSPENSIONS AND TERMINATIONS OF APPOINTMENTS

This section applies to resignations, suspensions, dismissals, nonrenewals, and releases, including both voluntary releases and those arising from program changes and financial emergencies. Further information on dismissals and releases due to budgetary and program changes is found in ABOR-PM 6-302(G), (H), and (I).
4A.4.01 Resignations

Continuing status and continuing-eligible academic professional employees who intend to resign will notify their immediate administrative head in writing of their intention as early as possible.

4A.4.02 Suspensions or Dismissals

The suspension or dismissal of continuing status academic professional employees will be governed by ABOR-PM 6-302(G) and 6-302(I). Just cause is required to dismiss a continuing status or continuing-eligible academic professional employee, and will not occur until such employee has been given an opportunity for a hearing as prescribed by ABOR-PM 6-302(I). The Committee on Conciliation established under the Constitution and Bylaws of the General Faculty of the University of Arizona will constitute the conciliation committee required under ABOR-PM 6-302(I)(3) and the Committee on Academic Freedom and Tenure established under the Constitution and Bylaws of the General Faculty of the University of Arizona will constitute the committee to conduct formal hearings required under ABOR-PM 6-302(I)(4). The rules and procedures provided in the Constitution and Bylaws for the respective committees will govern the conduct of the hearings except where specific provisions of ABOR-PM 6-302(I) provide otherwise.

4A.4.03 Decisions on Nonrenewal

Decisions to nonrenew a continuing-eligible professional employee will be made by the President upon recommendation of the Provost following the levels of review in Section 4A.3.02.c. The continuing eligible academic professional is not entitled to a hearing either prior to or subsequent to the President’s decision. A nonrenewed continuing-eligible academic professional employee will be given at least a 90-day notification of the nonrenewal prior to the end of the appointment period. Failure to provide a 90-day notification of a nonrenewal will not constitute an automatic renewal of an appointment. If the University fails to provide at least 90 days’ notice, the continuing-eligible academic professional employee’s appointment will be extended for a period of at least 90 days following the date on which the University provides such notice.

4A.4.04 Notice of Recommendation

At the time a recommendation regarding renewal, nonrenewal, promotion, or continuing status is transmitted by the immediate administrative head, the dean, or division administrator to the next administrative level, the continuing status or continuing-eligible academic professional employee involved should be advised in writing of the nature of the recommendation. The continuing status or continuing-eligible academic professional employee is not entitled to a statement of the reasons for the recommendation.

4A.4.05 Reasons for Nonrenewals or Denial of Promotion or Continuing Status of Continuing-Eligible Academic Professional Employees

a. Decisions to Nonrenew and Notification

As with promotion or continuing status reviews, continuing-eligible academic professional employees will be informed in writing of recommendations regarding nonrenewal when they are transmitted by the administrative head or dean to the next administrative level. Decisions regarding nonrenewal of continuing-eligible academic professionals follow the process in Section 4A.3.02, including the levels of review as described in 4A.3.02.c. If the Provost decides to nonrenew a continuing-eligible academic professional employee’s appointment, a terminal contract will be offered for the next appointment period if the individual has been employed as a continuing-eligible academic professional for at least two years.
Upon request, a continuing-eligible academic professional employee is entitled to a statement of the reasons for the President’s decision to nonrenew the employee’s appointment. However, the decision not to renew need not be construed as due to failure or poor performance on the faculty member’s part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing position; the need to shift a position or resources to another department or unit; or the opportunity for an alternative program in teaching, research, or service may dictate that the individual not be renewed.

The Provost will decide whether an individual will be promoted, granted continuing status, or not renewed. In the case of nonrenewal of a continuing-eligible academic professional employee after their second year of continuing-eligible employment, a terminal contract will be offered for the next appointment period. A continuing-eligible academic professional employee whose appointment is not renewed or who is denied promotion or continuing status may request a statement of reasons for that action, and upon request, will be provided a statement of reasons. The denial of promotion or continuing status or the decision not to renew need not be construed as due to failure or poor performance on the employee’s part. Considerations such as the need for a different area of specialization or for new emphases; the lack of a continuing status position; the need to shift a position or resources to another department or unit; or the opportunity for an alternative program may dictate that the individual not be promoted, granted continuing status, or renewed.

b. Appeals

In cases where the Provost has decided not to renew a continuing-eligible faculty member, the faculty member may appeal the nonrenewal to the President within 30 days after the date of the Provost’s decision. Such appeals will follow the procedures described in 4A.3.02.e.

4A.4.06 Release of Continuing Status and Continuing-eligible Academic Professional Employees

Termination of the appointment of a continuing status academic professional employee or a continuing-eligible academic professional employee because of institutional financial emergency or reorganization will be designated a “release.” The Provost will be informed of all release actions before implementation of the action.

a. Release Due to Institutional Financial Emergency

Release of continuing status and continuing-eligible academic professional employees may occur when deemed necessary by the President due to a financial emergency as declared by the Board in accordance with the provisions of ABOR PM 6-301(H)(2).

b. Release Due to Reorganization

Release of continuing status or continuing-eligible academic professional employees may occur when a reorganization is deemed necessary due to a budget or program decision requiring program discontinuance, curtailment, modification, or redirection and when such a reorganization plan is approved by the Board in accordance with the provisions of ABOR PM 6-301(H)(3).
CHAPTER 4B: PERSONNEL POLICIES AND PROCEDURES FOR ACADEMIC PROFESSIONAL EMPLOYEES

4B.1 DUTIES AND APPOINTMENTS OF ACADEMIC PROFESSIONAL EMPLOYEES

Each academic professional employee is appointed subject to the responsibilities detailed in ABOR-PM 6-302, Conditions of Service for Academic Professionals. Duties and responsibilities of an academic professional employee will consist of those duties assigned by the President. All duties and responsibilities will be carried out under the direction of the President. Duties and responsibilities will be related to the expertise and competence of the academic professional employee.

Performance of assigned duties by academic professional employees will be subject to evaluation by an appropriate administrator who may consult a peer group in conducting such evaluations. Performance will be considered in decisions relating to compensation, retention, advancement/promotion, termination or a decision not to reappoint.

Academic professional employees will receive a Notice of Appointment or Reappointment, which is the University’s official employment contract. Academic professional employees may be offered an appointment for an academic year or for a fiscal year or a portion thereof, or may receive a multiple-year appointment, which may be renewed at the end of the appointment period for another multiple-year appointment or for a one-year academic or fiscal year, or any portion thereof. No multiple-year appointment will become effective until approved by the President. There is no limit on the number of renewals. No oral or written communication made prior to or after the execution of a Notice of Appointment or Notice of Reappointment that is inconsistent or in conflict with this policy will become a part of the conditions of employment.

Appointments that are dependent on continuation of funding from a specific source other than state appropriations will so state in the Notice of Appointment. Such appointments may be reduced in FTE and/or salary or terminated to the extent the nonstate funding is no longer available. Academic professional employees appointed to positions supported by non-state funds may be designated by contract as having other conditions relative to (a) 90 day notice of non-renewal of appointment and (b) fringe benefits.

4B.1.01 Appointments of Academic Professional Employees

a. Length of Appointments

1. Year-to-year

Academic professional employees employed under a year-to-year appointment will have no expectation of employment beyond the end of the current appointment period and are not eligible for continuing status. There is no limit to the number of appointment periods to which an academic professional employee who is employed under a year-to-year contract may be appointed. Such appointments may be for a period of less than one year.

A person employed under a year-to-year appointment may be subsequently employed under a continuing-eligible appointment. In such event, the extent to which the person’s prior service under year-to-year appointments is considered in any review for continuing status will be determined by the University. The University’s decision will be final in all cases and is not subject to further administrative review.
2. Multiple-year

Multiple-year appointments may be for a period longer than one academic or fiscal year but not more than three academic or fiscal years. Individuals on multiple-year appointments will have no expectation of employment beyond the end of the appointment period.

3. Part-time

The University may permit academic professional employees to hold part-time positions.

4B.2 ANNUAL PERFORMANCE REVIEWS OF ACADEMIC PROFESSIONAL EMPLOYEES

This section applies to annual performance reviews of academic professional employees. In accordance with ABOR-PM 6-304, such employees are expected to participate and cooperate in evaluations to assess and enhance their performance. These employees will have an opportunity to participate in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.

Academic professional employees are evaluated with respect to all personnel matters on the basis of excellence in performance. The annual performance review is intended to support academic professional employees in achieving excellence in the performance of their duties and responsibilities.

The evaluation procedures should pursue the following objectives:

- a. To involve academic professional employees in the formulation of objectives and goals related to their program areas and their own personal and professional growth.

- b. To assess actual performance and accomplishments in the areas of the employee's responsibilities.

- c. To promote the effectiveness of academic professional employees through an articulation of the types of contributions they might make to the University community that will lead to greater personal and professional growth, recognition, and rewards.

- d. To provide a written record of academic professional employees’ performance to support personnel decisions such as reappointment, merit increases, transfers, reemployment and promotions.

- e. To recognize special talents, capabilities and achievements of academic professional employees.

Academic professional employees are evaluated with respect to all personnel matters on the basis of excellence in performance. The annual performance review is intended to support academic professional employees in achieving excellence in the performance of their duties and responsibilities.

Annual performance reviews follow specific procedures outlined in Section 4B.2.01.

4B.2.01 Annual Performance Review Process

The University is not required to provide performance reviews for employees with appointments the University has indicated are not intended to extend beyond six months. Other academic professional employees’
performance, personal progress, and future potential will be evaluated in writing on a scheduled basis at least once every 12 months.

a. Elements of the Performance Evaluation

Elements of the evaluation will include, but will not be limited to, the following:

1. Written evaluation criteria will be developed through participation of the academic professional employee to express their performance expectations. Procedures and instruments for evaluation of academic professional employees will be developed by departments and organizational units. Evaluation procedures within organizational units will be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.

2. An assessment of the academic professional employee’s performance will include an assessment by the immediate administrative head.

3. The evaluation of the academic professional employee’s past performance and expectations for the future will be discussed with the academic professional employee by the academic professional employee’s immediate administrative head. A written statement recording the sense of this discussion will be provided to the academic professional employee. The academic professional employee will be given the opportunity to add his or her comments to this statement as a part of the official record.

4. The annual performance review will evaluate the academic professional employee’s performance in his or her department consistent with that department’s responsibilities, University and Board policies. For academic professional employees whose responsibilities include teaching, the annual review will include peer and student input, including student evaluations of classroom performance in all classes, and other expressions of teaching performance.

5. The assessment of performance may include an evaluation by a peer review committee of the unit, as well as an assessment by the immediate administrative head. The peer review committee is to be elected unless decided otherwise by the members of the unit. Peer review committees may be composed to utilize consistent standards in evaluating all teaching and independent research. Deliberations, evaluations, and recommendations of such committees are confidential, as are any evaluations or recommendations they may receive. However, upon request, a summary of the results of any peer evaluation will be communicated to the individual by his or her immediate administrative head.

b. Procedures for the Performance Evaluation

The following procedures are involved in the annual performance review of academic professional employees:

1. The first step is information gathering, where the academic professional employee provides information to the immediate administrative head in a timely manner. In the area of teaching, student evaluation of classroom performance in all classes is required.

2. Peer evaluation may be included by following procedures and criteria determined by academic professional employees and the immediate administrative head. The information gathered in 4B.2.01.b.1, and any other materials that may be deemed relevant, are utilized in the peer review. Results of the peer evaluation are transmitted directly to the immediate administrative head confidentially.
3. The immediate administrative head evaluates the academic professional employee on the basis of information provided by the academic professional employee, peer evaluators, students and such other information as is available. The immediate administrative head then provides the academic professional employee with a preliminary written evaluation.

4. The immediate administrative head meets typically with the academic professional employee by March 31, if possible, to discuss the immediate administrative head’s written evaluation, assignments, and expectations for the next annual review.

5. As soon as possible thereafter, the academic professional employee will receive the final written evaluation. The academic professional employee provides comments as desired, signs the final written evaluation, and returns it to the immediate administrative head within 10 days of the meeting described in 4B.2.01.b.4 above. The signed final evaluation will become a part of the employee’s departmental records.

6. If the academic professional employee is found to be performing in an unsatisfactory manner or fails to provide annual performance review information to the immediate administrative head by the established deadline after receiving appropriate notification, the academic professional employee will receive an overall unsatisfactory performance rating unless the immediate administrative head determines that good cause exists for an exception.

7. If the academic professional employee receives an overall unsatisfactory performance rating, a plan for remediation and/or further action may be developed or the immediate administrative head may take other actions in accordance with University policy.

8. If the academic professional employee disagrees with the evaluation, he or she may appeal within 30 days of receipt of the final written evaluation as detailed in Section 4B.2.03.

When an individual holds more than one appointment involving administrative, faculty, or other professional employee assignments, the annual performance review will address contributions under each of these assignments.

Annual performance reviews may be considered in the promotion process, but such evaluations are not determinative on promotion. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion. Progress toward promotion requires excellence in performance over a period of years in all the duties and responsibilities assigned to the individual, and may include evaluation by external referees or peer reviewers, which is not a part of the annual review process. Criteria and decisions with regard to promotion are detailed in Section 4B.3.

4B.2.02 Annual Performance Review Criteria for Academic Professional Employees

Written evaluation criteria, as established in Section 4B.2.01 will differentiate between satisfactory and unsatisfactory performance and must be in accordance with the mission and goals of the department, college or division, within the norms of the discipline, and must be approved by the college dean or appropriate vice president, and the Provost.

Depending upon assigned responsibilities, criteria for annual performance may consider teaching effectiveness, research and scholarly growth, creative activity, academic professional activity, and service and outreach. Evaluation criteria may provide for recognition of long-term activities and outcomes. Concentration of effort in
one or more of the duties and responsibilities of an employee during a particular year is permissible, and may even be encouraged. Guidelines and evaluation procedures within departments will be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated, a systematic assessment of both student and peer opinion, if applicable, will constitute one component of the evaluation.

Departments will establish review periods that must include the past year of the academic professional employee’s performance, but which also may include the past three to five years of performance. Such time periods will be established by the department and will apply to all academic professional employees in that department. For academic professional employees whose responsibilities include teaching, substantial emphasis will be placed on the most recent year for evaluation of teaching.

4B.2.03 Appeals of Annual Performance Reviews for Academic Professional Employees

Academic professional employees who disagree with their annual performance reviews may appeal their review to the next administrative level. Such appeals must be made in writing to the next administrative level within 30 days from the date of the final written annual performance review evaluation was received and must state with specificity: (a) the findings to be appealed; (b) the points of disagreement; (c) the facts in support of the appeal; and (d) the corrective action sought.

The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on the appeal will be completed in writing within 30 days, with copies provided to the employee and the administrative head involved in the initial annual performance review.

4B.2.04 Unsatisfactory Ratings of Academic Professional Employees on Year-to-Year Appointments

If an academic professional employee holding a year-to-year appointment receives an overall annual performance review rating of unsatisfactory or fails to complete an annual review in a timely manner when provided with appropriate notification, the immediate administrative head may initiate actions in accordance with University policy, which could include termination.

4B.2.05 Less than Satisfactory Ratings of Academic Professional Employees on Multiple-year Appointments

An overall unsatisfactory rating may result from: (a) two or more areas of performance rated as unsatisfactory; (b) one area of performance rated as unsatisfactory, depending on the emphasis assigned to that area or the extent of the deficiency; or (c) the academic professional employee’s failure to provide annual performance review information to the immediate administrative head by the established deadline, unless the administrator has extended the deadline for providing that information based upon good cause.

If an academic professional employee on a multi-year appointment receives an overall unsatisfactory rating, his or her immediate administrative head may initiate appropriate action in accordance with University policy, which could include termination. If an academic professional employee on a multiple-year appointment receives an annual performance review rating of overall satisfactory but receives an unsatisfactory rating in any single area of performance (for example, teaching), or a needs improvement rating in one or more areas of performance, his or her immediate administrative head also may initiate appropriate action in accordance with University policy, which could include termination.
a. Objective and Process for a Remediation Plan for Academic Professional Employees on Multiple-year Appointments

If an academic professional employee’s immediate administrative head directs an academic professional employee who has a multiple-year appointment to enter into a remediation plan based upon a less than satisfactory rating on his or her annual performance review, the academic professional employee must take responsibility for meeting with his or her immediate administrative head to develop the plan and submitting any necessary materials in a timely manner, and for following the plan once it is developed.

1. Within 30 days of receiving the annual performance review rating or outcome, the academic professional employee and the immediate administrative head will develop the plan with the approval of the dean or division administrator.

2. The plan will specify its anticipated duration, and will be implemented as soon as possible after it has been developed but no later than the semester following the overall less than satisfactory annual performance review rating. For deficiencies in any area (teaching, service, or research), the plan generally will be effective no longer than one year. In those rare circumstances where the nature of the deficiency cannot be fully remedied in one year, the plan may not extend beyond the current appointment period. The plan will generally:

   - Describe specific deficiencies;
   - Provide a list of reasonable outcomes needed to correct deficiencies;
   - Describe the process to be followed to achieve outcomes;
   - Provide the timeline for accomplishing the process, including at least annual or more frequent reviews;
   - Describe benchmarks and expectations;
   - Describe the criteria to be used in evaluating progress in the plan;
   - Address the resources needed to facilitate the plan; and
   - Describe any alteration in job responsibilities that may be necessary to implement the plan.

3. The University will make reasonable efforts to provide appropriate resources to facilitate the plan’s implementation and success.

4. The academic professional employee’s performance within the context of the plan will be evaluated as early as possible. This special evaluation will be carried out by the immediate administrative head and be approved by the dean or division administrator.

b. Outcomes of the Remediation Plan

The remediation plan concludes when any one of the following occurs:

1. The academic professional employee achieves overall satisfactory performance as required by the plan and as documented by a special evaluation that is approved by the dean or division administrator.

2. The academic professional employee fails to demonstrate adequate progress relative to the plan’s benchmarks and performance goals, which will constitute just cause for dismissal, and result in a recommendation for dismissal, in accordance with ABOR-PM 6-302(G) and (I).
3. The academic professional employee fails to participate in developing a plan if directed to do so or fails to submit required materials when requested, which will lead to a recommendation for dismissal, in accordance with ABOR-PM 6-302(G) and (I).

4B.3 PROMOTION

After the initial year of service, an academic professional employee may be considered for promotion during any subsequent year on the basis of excellent performance. Consideration for promotion may be initiated by the employee or the employee’s immediate administrative head. The promotion must be to a position or rank previously established and approved by the Provost, the responsibilities of which have been defined by the department, and the college or division. A promotion recommendation should originate with the immediate administrative head and be approved by the dean or division administrator.

Promotion normally is effective at the beginning of the fiscal or academic year, as appropriate, following recommendation and approval. An appropriate administrator will make a final determination regarding promotion. Promotion can only occur through specific notification of an appropriate administrator and may not result from inaction or inadvertence.

4B.3.01 Denial of Promotion

An academic professional employee who is not promoted is not entitled to a statement of reasons for that action. The decision to deny promotion need not be construed as due to failure or poor performance on the employee’s part. Considerations such as the need for a different area of specialization or for new emphases, the need to shift a position or resources to another department or unit, or the opportunity for an alternate program may dictate that the individual not be promoted.

An academic professional employee who has been denied promotion may appeal the denial to the Provost. Such appeals must be filed in writing with the Office of the Provost within 30 days after the date of the dean or division administrator’s decision. The Provost may extend this timeline for good cause. The Provost’s review will generally be limited to any record compiled under Section 4B.3. However, the Provost may seek additional assessments from outside the department and/or the University regarding the candidate’s professional accomplishments, stature as viewed by peers, and scholarly potential. Outside assessments will be solicited with the promise of confidentiality. In selecting peers to provide such assessments, the spirit of the guidelines and procedures used by the candidate’s home department will be followed.

Within 90 days of the Provost’s receipt of the written appeal, the Provost will issue a written decision to the academic professional employee and will provide copies of the decision to the dean or division administrator, and the immediate administrative head. The Provost’s decision is final.

4B.4 SUSPENSIONS AND TERMINATIONS OF APPOINTMENTS

This section applies to resignations, suspensions, dismissals, nonrenewals, and releases, including both voluntary releases and those arising from program changes and financial emergencies. Further information on dismissals and releases due to budgetary and program changes is found in ABOR-PM 6-302(G), (H), and (I).

4B.4.01 Resignations

Academic professional employees who intend to resign will notify their immediate administrative head in writing of their intention as early as possible.
4B.4.02 Suspensions or Dismissals

The suspension or dismissal of academic professional employees will be governed by ABOR-PM 6-302(G) and 6-302(I). Just cause is required to dismiss an academic professional employee, and will not occur until such employee has been given an opportunity for a hearing as prescribed by ABOR-PM 6-302(I). The Committee on Conciliation established under the Constitution and By-Laws of the General Faculty of the University of Arizona will constitute the conciliation committee required under ABOR-PM 6-302(I)(3) and the Committee on Academic Freedom and Tenure established under the Constitution and By-Laws of the General Faculty of the University of Arizona will constitute the committee to conduct formal hearings required under ABOR-PM 6-302(I)(4). The rules and procedures provided in the Constitution and By-Laws for the respective committees will govern the conduct of the hearings except where specific provisions of ABOR-PM 6-302(I) provide otherwise.

4B.4.03 Decisions on Nonrenewal

For academic professional employees who have multiple-year appointments, review for renewal will be conducted during the year prior to the final year of such appointment.

In a college or division with multiple departments or units, any decision not to renew an academic professional employee’s appointment will be initiated by a recommendation of the immediate administrative head to the dean or division administrator. The dean or division administrator will review the recommendation to nonrenew the appointment and make a decision whether to accept the recommendation.

In a single unit college or division, the dean or division administrator will make the decision not to renew an academic professional employee’s appointment.

The dean’s or division administrator’s decision will be final in all cases and is not subject to further administrative review.

4B.4.04 Notice of Nonrenewal

The University is not required to provide notices of nonrenewal for employees with appointments the University has indicated are not intended to extend beyond six months.

Year-to-year academic professional employees whose positions are funded by state appropriations, are entitled to no less than 90 days’ notice of nonrenewal prior to the end of the contract period. Failure of the University to provide timely notice of nonrenewal to a state-funded academic professional employee will have the limited effect of extending the end of the appointment period to 90 days following the giving of notice.

If an academic professional employee’s Notice of Appointment or Reappointment states that the appointment is funded fully or partially by nonstate sources and any of those nonstate sources is no longer available, the nonstate funded portion of the appointment may be reduced or terminated during the appointment to the extent such nonstate funds become unavailable; however, such academic professional employee will be provided with at least 30 days’ notice prior to termination or salary and/or FTE reduction. Otherwise, the academic professional employee is entitled to the same notice as state funded academic professional employees on year-to-year appointments.

For academic professional employees who have multiple-year appointments, notice of nonrenewal will be given as set forth above depending on their source of funding.
4B.4.05 Reasons for Nonrenewal

An academic professional employee whose appointment is not renewed will not be entitled to a statement of reasons for that action. The decision not to renew an appointment, however, need not be construed as due to failure or poor performance on the employee’s part. Considerations such as the need for a different area of specialization or for new emphases, the need to shift a position or resources to another department or unit, or the opportunity for an alternate program may dictate that the individual not be renewed or promoted.

4B.4.06 Release of Academic Professional Employees

Termination of the appointment of an academic professional employee because of institutional financial emergency or reorganization will be designated a “release.” The Provost will be informed of all release actions before implementation of the action.

a. Release Due to Institutional Financial Emergency

Release of academic professional employees may occur when deemed necessary by the President due to a financial emergency as declared by the Board in accordance with the provisions of ABOR PM 6-302(H)(2).

b. Release Due to Reorganization

Release of academic professional employees may occur when a reorganization is deemed necessary due to a budget or program decision requiring program discontinuance, curtailment, modification, or redirection and when such a reorganization plan is approved by the Board in accordance with the provisions of ABOR PM 6-302(H)(3).
CHAPTER 4C: PERSONNEL POLICIES AND PROCEDURES FOR SERVICE PROFESSIONAL EMPLOYEES

4C.1 DUTIES AND APPOINTMENTS OF SERVICE PROFESSIONAL EMPLOYEES

Each service professional employee is appointed subject to the responsibilities detailed in ABOR-PM 6-301, General Provisions and Definitions for Conditions of Service for Academic and Service Professionals, and 6-303, Conditions of Service for Service Professionals. Duties and responsibilities of a service professional employee will consist of those duties assigned by the President. All duties and responsibilities will be carried out under the direction of the President. Duties and responsibilities will be related to the expertise and competence of the service professional employee.

Performance of assigned duties by service professional employees will be subject to evaluation by an appropriate administrator or supervisor. Performance will be considered in decisions relating to compensation, retention, termination or a decision not to reappoint.

Service professional employees will receive a Notice of Appointment or Reappointment, which is the University’s official employment contract. Service professional employees may be offered an appointment for an academic year, a fiscal year or a limited appointment, which may be renewed at the end of the appointment period for another academic year, fiscal year, or limited appointment. There is no limit on the number of renewals. No oral or written communication made prior to or after the execution of a Notice of Appointment or Notice of Reappointment that is inconsistent or in conflict with this policy will become a part of the conditions of employment.

Appointments that are dependent for continuation of funding from a specific source other than state appropriations will so state in the Notice of Appointment. Such appointments may be reduced in FTE and/or salary or terminated to the extent the nonstate funding is no longer available. Service professional employees appointed to positions supported by non-state funds may be designated by contract as having other conditions relative 90 day notice of non-renewal of appointment.

4C.1.01 Length of Appointments of Service Professional Employees

Service professional employees will have no expectation of employment beyond the end of the current appointment period and are not eligible for continuing status. There is no limit to the number of appointment periods to which a service professional employee may be appointed. Such appointments may be for an academic year, fiscal year, or limited appointment. The University may permit service professional employees to hold part-time positions.

4C.2 ANNUAL PERFORMANCE REVIEWS OF SERVICE PROFESSIONAL EMPLOYEES

This section applies to annual performance reviews of service professional employees. In accordance with ABOR-PM 6-304, service professional employees are expected to participate and cooperate in evaluations to assess and enhance their performance. These employees will have an opportunity to participate in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.
The evaluation procedures should pursue the following objectives:

a. To involve service professional employees in the formulation of objectives and goals related to their program areas and their own personal and professional growth.

b. To assess actual performance and accomplishments in the areas of the employee’s responsibilities.

c. To promote the effectiveness of service professional employees through an articulation of the types of contributions they might make to the University community that will lead to greater personal and professional growth, recognition, and rewards.

d. To provide a written record of service professional employees’ performance to support personnel decisions such as reappointment, merit increases, transfers and reemployment.

e. To recognize special talents, capabilities and achievements of service professional employees.

Service professional employees are evaluated with respect to all personnel matters on the basis of excellence in performance. The annual performance review is intended to support service professional employees in achieving excellence in the performance of their duties and responsibilities.

Annual performance reviews follow specific procedures outlined in Section 4C.2.01.

4C.2.01 Annual Performance Review Process

Service professionals’ performance, personal progress, and future potential will be evaluated in writing on a scheduled basis at least once every 12 months, except for those with appointments intended to last less than six months.

a. Elements of the Performance Evaluation

Elements of the evaluation will include, but will not be limited to, the following:

1. Written evaluation criteria will be developed through participation of the service professional employee to express their performance expectations. Procedures and instruments for evaluation of service professional employees will be developed by departments and organizational units. Evaluation procedures within organizational units will be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.

2. An assessment of the service professional employee’s performance will include an evaluation by the immediate administrative head or supervisor.

3. The evaluation of the service professional employee’s past performance and expectations for the future will be discussed with the service professional employee by the service professional employee’s immediate administrative head or supervisor. A written statement recording the sense of this discussion will be provided to the service professional employee. The service professional employee will be given the opportunity to add his or her comments to this statement as a part of the official record.

4. The annual performance review will evaluate the service professional employee’s performance in his or her employee’s department consistent with that department’s responsibilities, University and Board policies.
b. Procedures for the Performance Evaluation

The following procedures are involved in the annual performance review of service professional employees:

1. The first step is information gathering, where the service professional employee provides information to the immediate administrative head or supervisor in a timely manner.

2. Peer evaluation, if established by the unit, will be conducted through procedures and criteria determined by service professional employees and the immediate administrative head or supervisor. The information gathered in 4C.2.01.b.1, and any other materials that may be deemed relevant, are utilized in the peer review. Results of the peer evaluation are transmitted directly to the immediate administrative head or supervisor confidentially.

3. The immediate administrative head or supervisor evaluates the service professional employee on the basis of information provided by the service professional employee, peer evaluators, if applicable, and such other information as is available. The immediate administrative head or supervisor then provides the service professional employee with a preliminary written evaluation.

4. As soon as possible thereafter, the service professional employee will receive the final written evaluation. The immediate administrative head or supervisor meets typically with the service professional employee by March 31, if possible, to discuss the immediate administrative head’s or supervisor’s final, written evaluation, assignments, and expectations for the next annual review.

5. The service professional employee provides comments as desired, signs the final, written evaluation, and returns it to the immediate administrative head or supervisor within 10 days of the meeting described in 4C.2.01.b.4. above. The signed, final evaluation will become a part of the employee’s departmental records.

6. If the service professional employee is found to be performing in an unsatisfactory manner or fails to provide annual performance review information to the immediate administrative head or supervisor by the established deadline after receiving appropriate notification, the service professional employee will receive an overall unsatisfactory performance rating unless the immediate administrative head or supervisor determines that good cause exists for an exception.

7. If the service professional employee receives an overall unsatisfactory performance rating, a plan for remediation and/or further action may be developed or the immediate administrative head or supervisor may take other actions in accordance with University policy.

8. If the service professional employee disagrees with the evaluation, he or she may appeal within 30 days of receipt of the final written evaluation as detailed in Section 4C.2.03.

When an individual holds more than one appointment involving administrative, faculty, or other professional employee assignments, the annual performance review will address contributions under each of these assignments.
4C.2.02 Annual Performance Review Criteria

Written evaluation criteria, as established in Section 4C.2.01 will differentiate between satisfactory and unsatisfactory performance and must be in accordance with the mission and goals of the department, college or division, within the norms of the discipline, and must be approved by the college dean or appropriate vice president.

Evaluation criteria may provide for recognition of long-term activities and outcomes. Concentration of effort in one or more of the duties and responsibilities of an employee during a particular year is permissible, and may even be encouraged. Guidelines and evaluation procedures within departments will be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system.

4C.2.03 Appeals of Annual Performance Reviews for Service Professional Employees

Service professional employees who disagree with their annual performance reviews may appeal their review to the next administrative level. Such appeals must be made in writing to the next administrative level within 30 days from the date of the final written annual performance review evaluation was received and must state with specificity: (a) the findings to be appealed; (b) the points of disagreement; (c) the facts in support of the appeal; and (d) the corrective action sought.

The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on the appeal will be completed in writing within 30 days, with copies provided to the employee and the administrative head or supervisor involved in the initial annual performance review.

4C.2.04 Unsatisfactory Ratings of Service Professional Employees

If a service professional employee receives an overall annual performance review rating of unsatisfactory or fails to complete an annual review in a timely manner when provided with appropriate notification, the employee’s immediate administrative head or supervisor may initiate actions in accordance with University policy, which could include termination.

4C.3 CAREER ADVANCEMENT

By policy, service professionals are hired into positions to meet specific institutional needs; these positions require specialized knowledge or experience. There are no formal promotions in rank due to the specialized nature of these appointments. Service professionals are encouraged to enhance their skills and competencies in ways that may result in professional advancement to other professional titles with additional responsibilities, either in their own units or elsewhere on campus.

4C.43 SUSPENSIONS AND TERMINATIONS OF APPOINTMENTS

This section applies to resignations, suspensions, dismissals, nonrenewals, and releases, including both voluntary releases and those arising from program changes and financial emergencies. Further information on dismissals and releases due to budgetary and program changes is found in ABOR-PM Sections 6-303(G), (H), and (I).

4C.43.01 Resignations
Service professional employees who intend to resign will notify their immediate administrative head or supervisor in writing of their intention as early as possible.

4C.43.02 Suspensions or Dismissals

The suspension or dismissal of service professional employees will be governed by ABOR-PM 6-303(F) and 6-303(I). A service professional employee may be suspended with pay for reasons that are in the best interests of the University, the Board, or the employee, as determined by the President.

Just cause is required to dismiss a service professional employee. Dismissal will not occur until such employee has been given an opportunity for a pre-dismissal meeting and a just cause hearing in accordance with ABOR-PM Sections 6-303(I) and (J) and the University’s Dismissal Hearing Procedures for Service Professional Employees.

4C.43.03 Decisions on Nonrenewal

The immediate administrative head or supervisor may decide to not renew the appointment of any service professional employee. In such cases, the immediate administrative head’s or supervisor’s decision is final and is not subject to further review.

4C.43.04 Notices of Nonrenewal

The University is not required to provide notices of nonrenewal for employees with appointments the University has indicated are not intended to extend beyond six months.

Service professional employees whose positions are funded by state appropriations are entitled to no less than 90 days’ notice of nonrenewal prior to the end of the contract period. Failure of the University to provide timely notice of nonrenewal to a state-funded service professional employee will have the limited effect of extending the end of the appointment period to 90 days following such notice.

Service professional employees whose Notice of Appointment or Notice of Reappointment reflects that they are non-state funded are subject to termination or reduction in FTE and/or salary on 30 days’ notice when such funding is no longer available; otherwise, they are entitled to the same notice as state funded service professional employees.

4C.43.05 Reasons for Nonrenewal

No justification is required for a nonrenewal of a service professional employee, and a service professional employee whose appointment is not renewed will not be entitled to a statement of reasons for that action. The decision not to renew an appointment, however, need not be construed as due to failure or poor performance on the employee’s part. Considerations such as the need for a different area of specialization or for new emphases, the need to shift a position or resources to another department or unit, or the opportunity for an alternate program may dictate that the individual not be renewed or promoted.

4C.43.06 Release of Service Professional Employees

Termination of the appointment of a service professional employee because of institutional financial emergency or reorganization will be designated a “release.” The Provost will be informed of all release actions before implementation of the action.
a. Release Due to Institutional Financial Emergency

Release of service professional employees may occur when deemed necessary by the President due to a financial emergency as declared by the Board in accordance with the provisions of ABOR PM 6-303(H)(2).

b. Release Due to Reorganization

Release of service professional employees may occur when a reorganization is deemed necessary due to a budget or program decision requiring program discontinuance, curtailment, modification, or redirection and when such a reorganization plan is approved by the Board in accordance with the provisions of ABOR PM 6-303(H)(3).
CHAPTER 5: PERSONNEL POLICIES AND PROCEDURES FOR ADMINISTRATIVE PERSONNEL

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CHAPTER 5: PERSONNEL POLICIES AND PROCEDURES FOR ADMINISTRATIVE PERSONNEL

5.1 DUTIES, APPOINTMENTS, AND COMPENSATION OF ADMINISTRATIVE PERSONNEL

5.1.01 Duties

Administrative personnel are appointed subject to the responsibilities detailed in ABOR-PM 6-101, et seq. Duties of administrative personnel will consist of those responsibilities assigned by the President or a designated administrator. All references to the President in this Chapter will include the President’s designee. All duties and responsibilities will be carried out under the direction of the President, who may alter or amend assigned duties or change working titles at any time during an appointment period. Performance of assigned duties and responsibilities by administrative personnel will be subject to evaluation by the President. Performance will be considered in decisions relating to compensation and personnel matters.

5.1.02 Appointments

All administrators will receive a Notice of Appointment or Reappointment, which is the University’s official employment contract. Appointments may be for an academic year beginning on or about August 15, a fiscal year beginning July 1, or a portion of such academic or fiscal year. Appointments and reappointments will not be for more than one fiscal year nor extend beyond June 30 of any year. No oral or written communication made prior to or after the execution of a Notice of Appointment or Reappointment that is inconsistent or in conflict with the Conditions of Administrative Service (ABOR-PM 6-101, et seq.) will become a part of the conditions of employment. Appointments and renewals of appointments will be for the period designated in the Notice of Appointment or Reappointment.

Appointments become effective when approved by the President, but may require approval or ratification by ABOR, as prescribed.

If an administrative appointment depends upon funding from a source other than state appropriations, that fact will be stated in the Notice of Appointment or Reappointment.

The University is not required to provide either a performance review or notices of nonrenewal for employees with appointments the University has indicated are not intended to extend beyond six months.

5.1.03 Compensation

The President will set salaries for administrators in accordance with ABOR and University procedures based on the employees’ duties, authority, responsibilities, and job descriptions. Salary adjustments are based on performance and contractual obligations. Performance will be evaluated as provided in [Section 5.2.02]. Decisions relating to compensation, including merit increases or reductions in salary, are not subject to review except as provided in [Section 5.2.03] and [Chapter 6].

If an administrative appointment depends upon funding from a source other than state appropriations, that appointment may be reduced in FTE and/or salary or may be terminated if the nonstate funding is no longer available. Except in the event of loss of funding, administrative personnel whose duties or titles change during an appointment period will retain their administrative salaries through the end of their appointment period.
When an administrative appointment terminates, if the administrator holds a faculty or other position that will continue beyond the period of the administrative appointment, he or she may return to that appointment. In many cases, the transition from an administrative to a faculty appointment involves a shift from a fiscal to an academic-year contract. The faculty salary will not be determined by simply reducing the fiscal salary to its academic year equivalent. The President will determine that individual’s new salary on the same basis as all other salaries, taking into consideration the individual’s previous salary, the individual’s rank, time in that rank, prior achievements, potential for performance, and salaries of peers. If an administrator’s salary includes a stipend as a component of his or her pay, the administrator no longer would be entitled to the stipend designated for that purpose once the administrative appointment terminates.

5.2 ANNUAL PERFORMANCE REVIEWS OF ADMINISTRATIVE PERSONNEL

This Section applies to annual performance reviews of all administrative personnel. Administrators of the University are evaluated with respect to all personnel matters on their leadership in developing collaborations and managing resources to build capacity, improve performance and advance innovation. Annual performance reviews are intended:

1. To involve administrative personnel in the formulation of objectives and goals related to their college, department, or program and their own professional development;
2. To assess actual performance and accomplishments in each area of an administrator’s responsibility;
3. To promote an administrator’s effectiveness by articulating the types of contributions they might make to the University community that will lead to greater professional development, recognition and rewards;
4. To recognize and maximize administrators’ special talents, capabilities and achievements, including the achievements of those they supervise;
5. To identify weaknesses that will be addressed during the next evaluation period;
6. To recognize outreach efforts that ensure equal opportunity in hiring and retaining staff, faculty, and professionals, and in recruiting students;
7. To advance innovations that better enable units to achieve their strategic goals; and
8. To provide written records to support personnel decisions.

5.2.01 Annual Performance Review Process

Each administrator’s performance will be evaluated in writing on a scheduled basis at least once every 12 months. The administrator’s performance will be evaluated with respect to the criteria set forth in Section 5.2.02.

Administrative personnel who also hold non-administrative (i.e., faculty or other) positions will be evaluated on their non-administrative duties according to the same conditions of service as others holding similar positions in their unit.

The administrator’s immediate supervisor will conduct the performance review, which will include peer review and input from those whom the administrator directly supervises. Such input may be obtained by the use of a faculty or staff survey developed by the University with additional items developed by an administrator’s supervisor in collaboration with the unit. Each performance review will be in writing and contain, at a
minimum, a discussion of the administrator’s: (a) past and present performance with respect to assigned duties; (b) leadership development; and (c) progress towards achieving the strategic goals of the unit.

The following procedures are involved in the annual performance review of administrative personnel:

1. Input from faculty and staff and other individuals comprising the administrator’s unit is gathered along with other information on performance to provide benchmarks for the review.

2. Using the performance expectations and benchmarks set out for the evaluation period, the administrator will write a self-assessment, reflecting on each of the criteria on which the administrator is to be evaluated.

3. The administrator’s supervisor will prepare a written assessment of the administrator’s performance over the evaluation period on the basis of those written criteria and benchmarks, the administrator’s self-assessment, and feedback from staff and faculty (if there are faculty in the unit as well as staff). If the administrator has assigned research, teaching or other non-administrative duties, the administrator’s supervisor for these assignments will evaluate these duties as well.

4. The administrator’s supervisor will provide the administrator with the performance review and will meet with the administrator to discuss the review and future expectations, typically by May 15, if possible.

5. The administrator may add comments to the written performance review before he or she signs the document and returns it to the administrative supervisor. The signed performance review will become a part of the administrator’s individual personnel record.

5.2.02 Annual Performance Review Criteria

Administrators are assessed on their leadership in building trust, fostering collaboration, managing resources, and achieving results, developing collaborations and managing resources to build capacity, improve performance and advance innovation. Written evaluation criteria will include consideration of administrators’ leadership skills, including their effectiveness in developing internal and external partnerships; communicating and responding to coworkers; forging partnerships and building consensus; acquiring and managing resources; building capacity by valuing excellence and diversity in staff and faculty development, and advancing innovations in research, teaching, outreach, and other aspects of their unit’s service mission of their units. The unit’s progress will be assessed using performance benchmarks developed in collaboration with the administrator’s supervisor and the faculty, staff and others in the unit. These benchmarks will be aligned with the University’s strategic plan and may include but are not limited to the following:

- Assessments Input from faculty, and staff and other individuals in the administrator’s unit on the leadership of the administrator;
- Assessments Feedback from internal and external collaborators;
- Business and community boards and outreach initiatives as appropriate to the mission of the unit;
- Increases in donations, research revenues, technology transfer, and other types of external funding;
- Management of resources within the unit;
• Efforts to recruit and retain diverse and outstanding faculty, staff, and students as appropriate to the mission of the unit;
• Measures of teaching effectiveness and learning outcomes where relevant;
• Increases in undergraduate and graduate enrollments, including those from underserved backgrounds;
• Increases in online enrollments, where applicable;
• Improvements in time to degree and graduation rates where relevant;
• National and international recognition for research, scholarship, and creative achievements that are relevant to the mission of the unit;
• Clinical performance, where relevant;
• Performance on professional licensing examinations in units that train medical residents; and
• Success in meeting accreditation requirements as appropriate and relevant.

5.2.03 Appeals of Annual Performance Reviews

Administrative personnel who disagree with their annual performance reviews may appeal their review to the administrative head at the next level within 30 days after receipt of the written annual performance review. The appeal must state with specificity: (a) the findings to be appealed; (b) the points of disagreement; (c) the facts in support of the appeal; and (d) the corrective action sought.

The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on an appeal will be completed in writing within 30 days, with copies provided to the administrator seeking the appeal and his or her supervising administrator.

If an administrator also holds a non-faculty appointment and disagrees with the review related to that appointment, he or she may appeal the review to the next administrative level. If an administrator also holds a faculty appointment of more than 25% of his or her total workload assignment and disagrees with the review of his or her performance as a faculty member, then he or she may appeal the review according to the same procedures provided for faculty in Section 3.2.03.

5.3 FIVE-YEAR REVIEWS OF ADMINISTRATIVE PERSONNEL

This Section describes the criteria and process for assessing the performance of five-year reviews of administrative personnel, department heads, school directors, deans, vice provosts and vice presidents, including senior vice provosts and senior vice presidents, as specified in ABOR Policy Manual 6.101.B.3a, over a five-year period, describing such reviews follow a more comprehensive process for performance assessment than annual performance reviews in order to provide an opportunity to assess long-range goals and objectives. Such reviews appropriately take into consideration the progress of the unit over the period reviewed, and the role of the administrator in this development. These reviews focus on the performance of the individual administrator and are distinct from academic program reviews. The five-year review evaluates administrators on their leadership in developing collaborations and managing resources to build capacity and advance innovation based upon criteria established by the University, feedback from the administrator’s supervisor, and input from those with whom the administrator works. A five-year review is not required nor anticipated if an administrator will not be renewed in accordance with the process outlined in Section 5.4.
5.3.01 Review Criteria

Five-year reviews of heads, directors, deans, and vice presidents, other designated administrators, and other administrators are guided by a set of administrative expectations to help focus and standardize the review process. Performance metrics are utilized to align assessments of administrators with the progress of their units and to base assessments on actual performance.

The review will also include, but not be limited to, an assessment of the performance of the administrator in the following areas, drawing upon written input from appropriate personnel, including faculty, staff and students, where appropriate:

1. **Building trust** by communicating a guiding vision, operating in an ethical manner, being accessible and responsive, maintaining composure, and acknowledging the lessons to be learned from missteps;
2. **Fostering collaboration** by effectively managing conflicts, forging partnerships and advancing shared purposes in a manner that includes diverse perspectives in collaborative decision making;
3. **Maximizing resources** by recruiting and retaining high quality coworkers, helping them develop through coaching and assessment, improving operational effectiveness, and advancing data-based planning;
4. **Achieving results** by identifying opportunities, challenging received assumptions, taking strategic risks, and advancing innovations in a decisive and strategic manner that is attuned to the priorities of the unit and university.

5. **Leadership skills**, including vision, collaboration, decisiveness, communication, credibility, and composure;
6. **Collaborative skills** involved in building internal and external relationships;
7. **Management skills** involved in responding to change, acquiring and managing resources, and improving operations;
8. **Capacity building skills**, including building a diverse and inclusive community, fostering respect and civility, providing feedback and development opportunities, and supporting staff and faculty recruitment, and retention; and
9. **Innovation skills**, including advances in the instruction, research, and service mission of the unit.

When a unit head, director, dean, vice president, or other administrator, designated administrator has successfully completed five years of service in that position and has received a Notice of Reappointment for a successive year, the University will conduct a five-year review reflecting the work of the administrator over the past five-year period. The President, Provost, or appropriate vice president will initiate this review of deans and vice presidents. Deans will initiate this review for heads and directors.

5.3.02 Appointment of Five-year Review Committees

The supervising administrator conducting a five-year review of an administrator will appoint a review committee made up of individuals from diverse backgrounds. In recognition of the importance of interdisciplinary collaborations, review committees will include a balance of faculty, staff, and students from the administrator’s unit and from related units as well as representatives from community collaborators. The following process will be used for appointing five-year review committees:
1. When a dean is to be reviewed, the general faculty of the college will nominate at least eight tenure and nontenure-track faculty members and continuing status professionals to serve on the review committee, including at least two faculty members from outside the college. The Provost or appropriate vice president will appoint at least four of those nominated to serve on the review committee. These nominees will comprise half of the review committee as specified in the Constitution of the General Faculty of The University of Arizona Guidelines for Shared Governance Memorandum of Understanding. In addition, the Provost or appropriate vice president may also appoint additional faculty members, continuing-eligible or continuing status academic professional employees, from the college involved or elsewhere, along with representatives from the following groups: students, classified staff, nontenure-eligible faculty, and academic or service professional employees, or community representatives. If the college has departments, at least one member of the review committee will be a department head in the college.

2. When an academic department head is to be reviewed, the general faculty of the department will select four faculty members to serve on the review committee, including at least one faculty member from outside the unit. These nominees should come from varied programs and ranks, including nontenure-track faculty and continuing status professionals. These nominees will comprise half of the review committee as specified in the Guidelines for Shared Governance Memorandum of Understanding. The dean has the discretion to appoint up to two additional general faculty members from the department involved or elsewhere and to appoint others from the following groups: students, classified staff, and professionals or community representatives. Five-year reviews of nonacademic program directors will also include broad representation of staff, appointed professionals, and constituent groups who are consulted on the selection of their representatives.

3. When a vice provost or vice president, vice provost, or other administrator not otherwise described above is to be reviewed, the administrator’s supervisor will form review committees in consultation with elected faculty leaders and/or faculty committees and groups representing staff and students, as appropriate.

4. The supervising administrator will select the chairperson of the review committee from the committee membership.

5.3.03 Five-year Review Process for Administrative Personnel

Five-year reviews should be completed within a single semester when possible. Supervising administrators will schedule reviews so they do not unduly burden or disrupt ongoing activities in the unit by conducting multiple reviews at the same time. Review committees will use resources such as University survey and report templates to enable such committees to focus their time on substantive issues. All communications with the committee shall be confidential and be treated accordingly. The committee shall not divulge or otherwise reveal the source of any communications.

The five-year review process will include each of the following steps:
1. The supervising administrator will provide written notice to the administrator to be reviewed and form the review committee, when possible, in the semester before the five-year review is to be completed. Using the criteria, performance benchmarks, and annual performance reviews preceding the five-year review as points of reference, the administrator being reviewed will write a self-assessment reflecting upon the objectives, achievements, and challenges faced during the previous five years. This self-assessment will be provided to the supervising administrator within 30 days of the notice of the review. This self-assessment will be shared with the review committee and with faculty and staff in the unit.

2. At the beginning of the semester when the review is to be conducted, the supervising administrator will provide the self-assessment to the review committee and direct that committee in writing to conduct a review of the administrator. A copy of this directive will also be sent to the administrator under review. Drawing on the review criteria set forth in 5.3.01, the review will be based on a description of the duties and objectives of the position, the annual assessments reviews of the administrator, and the unit’s strategic plan priorities and performance benchmarks expectations.

3. During the first three weeks after receiving its directive, if schedules permit, the review committee will meet with the administrator under review to discuss his or her role in the review process and to gather any information and perspectives that the administrator would like to provide that have not been provided by the self-assessment prepared for the review committee.

4. The review committee will solicit information through a standard survey questionnaire, which will be distributed to all faculty and other employees in all other individuals who comprise the unit, students, collaborators and to any key other stakeholders or stakeholder groups. During this information gathering period, the review committee will announce that committee members are available to meet with individual faculty, academic professionals, staff, students, and alumni or community groups if appropriate. Public forums may also be held with these groups.

5. Results of the surveys and questionnaires will be tabulated and attached to the report that the review committee will submit within 120 days of receiving its written directive if possible. The report will (a) describe briefly the procedures used to gather information, (b) discuss important issues identified in the course of the review, and (c) present the conclusions reached by the review committee, including strengths and weaknesses of the administrator being reviewed. The report will not disclose the source or content of the communications it receives nor will it contain any confidential supporting material.

6. The supervising administrator will review the written report along with the self-assessment prepared by the administrator under review. The supervising administrator may develop additional information bearing on the performance and effectiveness of the administrator under review. After meeting with the review committee and developing any further information he or she deems appropriate, the supervising administrator will give discuss with the administrator under review the report as well as any other relevant information developed by the supervising administrator no later than 30 days after the supervising administrator receives the report or otherwise concludes his or her review of any additional information sought. The administrator being reviewed may submit a written response to the review within 10 days of receiving it.
7. The initiating administrator will report on the process and the major findings of the review to the faculty and staff in the administrator’s unit, generally in an open forum intended to provide the administrator being reviewed with an opportunity to discuss lessons learned and future directions. When the administrator under review has broader institutional responsibilities, relevant stakeholders will be invited to the initiating administrator’s report.

8. The administrator under review will discuss the results of the review with all personnel in his or her unit and other appropriate stakeholders and will emphasize what was learned in relation to the strategic and professional goals that have been established for the future.

9. At the conclusion of the process, the initiating administrator will provide a copy of the review committee’s report and the initiating administrator’s evaluation and comments to his or her supervisor.

5.3.04 Extraordinary Reviews of an Administrator in Academic Units

In unusual circumstances, the faculty of a college or department or a supervising administrator may wish to initiate a review of a dean, head, or other designated administrator prior to the next scheduled five-year review. In such a situation, the following will apply:

1. An extraordinary review will be initiated if one-half or more of the general faculty of the administrator’s unit submit a signed petition calling for an extraordinary review of a dean, department head, or designated other administrator to the individual’s supervising administrator outlining the justification for holding an extraordinary review. The anonymity of the petitioners will be protected.

2. The extraordinary review will not replace the next five-year review unless that extraordinary review occurs within 18 months of a scheduled five-year review. Generally, no more than one extraordinary review of an administrator may occur within a single five-year cycle. An extraordinary review generally will not occur sooner than two years following a five-year review.

3. If an extraordinary review occurs, it will be conducted in the same manner as a five-year review of an administrator.

5.4 SUSPENSIONS AND TERMINATIONS OF ADMINISTRATIVE APPOINTMENTS

This Section applies to resignations, removals, dismissals, suspensions, nonrenewals, and releases of administrative personnel. For further information, see ABOR-PM 6-101(G) and (H).
5.4.01 Resignations

Administrators who intend to resign at or before the expiration of their administrative appointments will notify their supervising administrator in writing of their intention as early as possible.

5.4.02. Removals, Dismissals, and Suspensions

Administrators may be removed by the President from their administrative assignments at any time but may not be dismissed during an appointment period without reasons for dismissal, except when deemed necessary due to a financial emergency as declared by ABOR. Reasons for dismissal may include, but are not limited to, incompetence or dishonesty in professional activities, neglect of properly assigned duties, or personal conduct that impairs the individual’s fulfillment of properly assigned duties and responsibilities.

An administrator dismissed with reason may submit, within 15 days, a written appeal of the President’s decision to ABOR. ABOR’s determination will be final.

An administrator may be suspended with pay if the President determines that the continued presence of the individual on the campus may constitute a substantial interference with the orderly functioning of the University or of a substantial area, unit, college, or department of the University.

5.4.03 Nonrenewals of Administrative Appointments

Appointment to administrative service carries with it no assurance of reappointment or continuation. Administrative appointments are not eligible for tenure or continuing status. An administrator will not be entitled to an appeal or other review of the decision by the President or President’s designee to nonrenew an appointment. Nor will an administrator be entitled to a statement of reasons for that action. The nonrenewal need not be construed as due to failure or poor performance. Considerations such as the need for a different area of specialization or for a new emphasis, the lack of a continuing position, the need to shift a position or resources to another department or unit, or the opportunity for a more vigorous program may dictate that the appointment not be renewed.

a. Notices of Nonrenewal – State-funded Positions

If an administrator’s Notice of Appointment or Reappointment states that the appointment is funded fully by state sources, the administrator will be provided with at least 90 days’ notice of nonrenewal prior to the expiration of their current appointment. Failure to provide an administrator with a 90-day notice of nonrenewal will not constitute a renewal of appointment. The administrator will have no authority to continue to perform his or her administrative duties following the expiration of his or her prior appointment period. If notice of nonrenewal is given fewer than 90 days prior to the end of an administrator’s appointment period, the employee will be entitled to continuation of salary for 90 days from the date of notification. Duties will be assigned as appropriate.

b. Notices of Nonrenewal – Nonstate-funded Positions

If an administrator’s Notice of Appointment or Reappointment states that the appointment is funded fully or partially by nonstate sources and any of those nonstate sources is no longer available, the administrator’s
appointment is subject to termination on 30 days’ notice; otherwise, the administrator will receive the same notice as state-funded administrators.

5.4.04 Release of Administrators Due to Institutional Financial Emergency

The President may release an administrator due to a financial emergency as declared by ABOR. If such a release occurs, the individual’s personnel file will reflect that “the release was due to institutional financial emergency.”

An administrator released due to institutional financial emergency will be accorded the following rights and privileges:

1. The individual will be notified in writing as far in advance of the release date as the President deems possible.

2. The University will make a reasonable effort to secure alternative appointments within the University in open positions for which the affected individual is qualified under existing criteria and to provide the administrator with information concerning other employment opportunities within the University that may be available.

3. An administrator released for institutional financial emergency will not be entitled to a hearing.