University Handbook for Appointed Personnel (UHAP)

Contents

1.01 Mission And Objectives ........................................................................................................ 9
1.02 Role of Appointed Personnel ................................................................................................ 9
1.03 Organization .......................................................................................................................... 10
1.04 Governance .......................................................................................................................... 10
2.01 Affirmative Action/Equal Employment Opportunity ............................................................. 11
2.02 Alcohol On University Property ............................................................................................ 11
2.03 Death And Injury Reports ...................................................................................................... 11
2.04 Seeking Advanced Degrees .................................................................................................. 12
2.05 Educational Rights And Privacy Act of 1974 ......................................................................... 12
2.06.01 Appointment Procedures .................................................................................................. 12
2.06.02 Labor Union Membership ................................................................................................. 12
2.06.03 Hours of Employment ........................................................................................................ 13
2.06.04 Employee Information: Provision of Name, Address, Highest Degree .............................. 13
2.06.05 Absences From Duty .......................................................................................................... 13
2.06.06 Consulting or Other Outside Employment ......................................................................... 13
2.06.07 Supplemental Work for The University .......................................................................... 14
2.06.08 Conflict of Interest ........................................................................................................... 15
2.07.01 General Policies ................................................................................................................ 16
2.07.02 Rooms: Privilege Cards, Keys, Scheduling, Help-dogs, Use Fees ..................................... 16
2.07.03 Equipment And Supplies: Purchases, Inventory, Surplus, Disposal, Loss Reports ............ 17
2.07.04 Approved Use of University Computing And Communication Equipment ..................... 18
2.07.05 Acceptable Use of Computers And Networks At The University of Arizona .................. 18
2.07.06 Misuse of University Assets At The University of Arizona ................................................ 18
2.08 International Agreements And Grant Opportunities ............................................................... 23
2.09 Gifts To The University: Solicitation And Receipt .................................................................. 23
2.10 Political Activity ..................................................................................................................... 24
2.11.01 Faculty-Authorised Books And Materials Assigned In Classes ...................................... 24
2.11.02 Sale And Distribution of Books And Materials To Students ........................................... 24
4A.4.03 Decisions On Nonrenewal

4A.4.02 Suspensions or Dismissals

4A.4.01 Resignations

4A.3.02 Promotion And Continuing Status Review Process

4A.3 Promotion And Continuing Status

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

4A.2.04 Unsatisfactory Ratings of Continuing Employees

4A.2.01 Annual Performance Review Process

4A.2 Annual Performance Reviews of Continuing Status And Continuing...
4A.4.06 Release of Continuing Status And Continuing-Eligible Academic Professional Employees........................................... 81
4B.1 Duties And Appointments of Academic Professional Employees................................................................. 82
4B.1.01 Appointments of Academic Professional Employees ........................................................................ 82
4B.2 Annual Performance Reviews of Academic Professional Employees........................................................... 83
4B.2.01 Annual Performance Review Process ........................................................................................................... 83
4B.2.02 Annual Performance Review Criteria for Academic Professional Employees ............................................. 85
4B.2.03 Appeals of Annual Performance Reviews for Academic Professional Employees ....................................... 85
4B.2.04 Unsatisfactory Ratings of Academic Professional Employees On Year-to-year Appointments .................... 86
4B.2.05 Less Than Satisfactory Ratings of Academic Professional Employees On Multiple-year Appointments ......... 86
4B.3 Promotion ................................................................................................................................................................. 87
4B.3.01 Denial of Promotion ........................................................................................................................................... 87
4B.4 Suspensions And Terminations of Appointments .......................................................................................... 88
4B.4.01 Resignations ......................................................................................................................................................... 88
4B.4.02 Suspensions or Dismissals ................................................................................................................................. 88
4B.4.03 Decisions On Nonrenewal ............................................................................................................................... 89
4B.4.04 Notice of Nonrenewal ....................................................................................................................................... 89
4B.4.05 Reasons for Nonrenewal .................................................................................................................................. 89
4B.4.06 Release of Academic Professional Employees .......................................................................................... 90
4C.1 Duties And Appointments of Service Professional Employees ................................................................. 90
4C.1.01 Length of Appointments of Service Professional Employees .................................................................... 90
4C.2 Annual Performance Reviews of Service Professional Employees ........................................................... 91
4C.2.01 Annual Performance Review Process ......................................................................................................... 91
4C.2.02 Annual Performance Review Criteria ............................................................................................................ 92
4C.2.03 Appeals of Annual Performance Reviews for Service Professional Employees ....................................... 93
4C.2.04 Unsatisfactory Ratings of Service Professional Employees ........................................................................... 93
4C.3 Suspensions And Terminations of Appointments .......................................................................................... 93
4C.3.01 Resignations ......................................................................................................................................................... 93
4C.3.02 Suspensions or Dismissals ................................................................................................................................. 94
4C.3.03 Decisions On Nonrenewal ............................................................................................................................... 94
4C.3.04 Notices of Nonrenewal ....................................................................................................................................... 94
4C.3.05 Reasons for Nonrenewal .................................................................................................................................. 94
4C.3.06 Release of Service Professional Employees .......................................................................................... 95
5.1 Duties, Appointments, And Compensation of Administrative Personnel .................................................... 95
5.101 Duties ................................................................................................................................................................. 95
7.06 Withdrawals And Undergraduate Leaves of Absence ........................................... 109
7.07.01 Code of Conduct .................................................................................................. 109
7.07.02 Student Use of Facilities Outside of official Hours ............................................ 110
7.08.01 Grading Systems ................................................................................................. 110
7.08.02 Academic Standing ............................................................................................. 110
7.08.03 Dishonest Scholastic Work (Plagiarism) ............................................................. 110
7.08.04 Mid-Semester And Final Examinations .............................................................. 111
7.08.05 Reporting Final Grades To The Registrar And Students ................................. 111
7.08.06 Changes of Grades ............................................................................................. 111
7.08.07 Grade Appeal .................................................................................................... 111
7.08.08 Undergraduate Course Syllabus ........................................................................ 111
7.09 Resolution On College Governance ..................................................................... 112
8.01.01 Annual Leave ...................................................................................................... 113
8.01.02 Holidays ............................................................................................................. 113
8.02.01 Sick Leave ........................................................................................................... 114
8.02.02 Bereavement Leave ............................................................................................ 115
8.02.03 Accident And Injury Leave ................................................................................ 116
8.02.04 Compassionate Transfer of Leave .................................................................... 116
8.02.05 Leave for The Purpose of Bone Marrow or organ Donation .......................... 118
8.03.01 Administrative Leave (With Pay) ..................................................................... 118
8.03.02 Sabbatical Leave ................................................................................................. 119
8.03.03 Externally Supported Research Assignments .................................................... 120
8.04.01 Leaves of Absence - General ........................................................................... 120
8.04.02 Medical Leave .................................................................................................... 121
8.04.03 Military Leave .................................................................................................... 121
8.04.04 Political or Other Employment Leave .............................................................. 121
8.04.05 Education Leave ................................................................................................. 121
8.04.06 Federal Family And Medical Leave Act of 1993 .............................................. 122
8.04.07 Victim's Leave ................................................................................................... 125
8.05.01 General .............................................................................................................. 126
8.05.02 Eligibility ............................................................................................................ 126
8.05.03 Procedure .......................................................................................................... 126
9.01.01 University Staff Awards for Excellence ............................................................. 127
9.01.02 The Billy Joe Varney Award for Excellence ....................................................... 127

Back to Top
10.10 Discounts ................................................................................................................................. 139
12.01.01 General........................................................................................................................................ 139
12.01.02 Definitions ............................................................................................................................... 139
12.01.03 Appointment Procedures .......................................................................................................... 140
12.01.04 Compensation ......................................................................................................................... 140
12.01.05 Employment related board policies ........................................................................................ 141
12.01.06 Duties and responsibilities ..................................................................................................... 141
12.01.07 Reappointment ....................................................................................................................... 141
12.01.08 Termination ............................................................................................................................. 141
12.01.09 Discrimination review procedures .......................................................................................... 142
12.01.10 Implementation ....................................................................................................................... 142
12.01.11 Severability ............................................................................................................................ 142
101 Mission And Objectives

Policy Number: 101

Revised Date: August, 2005

Our Mission:
To discover, educate, serve and inspire

Our Vision:
An exceptional learning environment
A place of possibility
A destination for the world's best thinkers

Our Commitments:
Extend the frontiers of knowledge, discovery, and creativity
Prepare and inspire students for their future roles in the world as thinkers, learners, leaders and responsible citizens.
Serve as a model for linking scholarship and creative expression to our land-grant mandate to serve our communities.

Our Core Values:
Our core values describe who we are and how we fulfill the University's mission.

- **A diverse and inclusive community:** People are the source of our strength. Their different perspectives, backgrounds and experiences make us stronger. We treat people with respect and share decision making to create a climate that supports the success of all who learn and work here.

- **Excellence:** We hold to the highest standards in all we do and we invest our resources accordingly.

- **Innovation and entrepreneurial action:** We explore new approaches, challenge the status quo, and foster creative endeavor.

- **Integrity:** We honor our commitments; take responsibility for our actions; are honest, fair and just in all we do; and stand ready to make informed decisions for the good of the community.

- **Partnerships:** We create synergies and expand opportunities through collaborative and interdisciplinary approaches. As Arizona's land-grant university, we embrace the opportunity to enable communities to share new knowledge to benefit Arizona and the world.

The full text of the University's strategic plan is available online as follows:

- **5-Year Strategic Plan, FY 2012-2016**
  [http://provost.arizona.edu/files/UA_Strategic_Plan_12_15_2010.pdf](http://provost.arizona.edu/files/UA_Strategic_Plan_12_15_2010.pdf)

102 Role of Appointed Personnel

Policy Number: 102

The appointed personnel of the University of Arizona -- faculty members, professional staff, and administrators -- assume the chief responsibility in the University's pursuit of its objectives. Individually, they are expected to demonstrate excellence in discharging their assigned duties and responsibilities in the fundamental areas of teaching, research and service and in administering the University so as to best achieve its objectives.

Teaching involves the transmission of knowledge from academic and professional disciplines to successive generations of undergraduate and graduate students. Teachers are responsible for accurately presenting the current state of knowledge in their discipline and for ensuring that students develop an understanding of the subject matter as well as the methods employed by the discipline. (See **Chapter 7** regarding classroom and student-related policies, procedures and resources.)
Research and scholarship involve the discovery of new knowledge. Researchers are responsible to an academic discipline for the accuracy of their data and for the cogency of the arguments and explanations they offer. The usual outlet for research activities is publication. In certain fields, especially in the fine arts, creative endeavors take the place of the research that would otherwise be expected of faculty members. The emphasis to be placed on research, scholarship or creative endeavor is best determined within each discipline, and judgments about the quality of such efforts are best made by experts in the field.

Overall responsibility for guiding and evaluating performance in these areas rests with the Vice President for Research and the Provost. (See Section 2.13 regarding research-related matters.)

Public service may involve both committee and governance work within the University, service to professional organizations, and professional activities with the public outside of the University. Through public service programs, the appointed personnel, staff and students of the University of Arizona help communities and individuals throughout the State and nation to define problems and develop options for solving them.

An employee's status and job description will determine the extent to which an appointed employee is engaged in or responsible for activity in teaching, research, scholarship or creative endeavors, and public service. In particular, all appointed personnel should familiarize themselves with Chapters 3, 4 and 5, as applicable, and with the Code of Conduct, ABOR-PM 5-301 to 5-308. These provisions detail many of the rights and responsibilities affecting individuals in their relationships with the University. Prospective employees should discuss their specific duties, responsibilities and expectations of them before accepting contracts with the University of Arizona. Once employed, appointed personnel should confer regularly with their superiors about their duties, responsibilities and performance with regard to the University's basic objectives and obligations.

1.03 Organization

Policy Number: 103

Revised Date: August, 2005

The University of Arizona's colleges include: Agriculture and Life Sciences; Architecture and Landscape Architecture; Eller College of Management; Education; Engineering; Fine Arts; Humanities; James E. Rogers College of Law; Medicine; Nursing; Optical Sciences; Pharmacy; Mel and Enid Zuckerman Arizona Public Health; Science; Social and Behavioral Sciences; the Graduate College; and the Honors College. The University of Arizona South, a branch campus, is located in Sierra Vista, Arizona. Colleges are headed by a dean, assisted by department heads and other administrators.

Other academic divisions of the University include University School, Continuing Education and Academic Outreach, and the University Library.

1.04 Governance

Policy Number: 104

Revised Date: August, 2005

Ultimate control of the University is vested in the Arizona Board of Regents, which includes the Governor and the State Superintendent of Public Instruction of Arizona as ex officio members, a student representative, and eight other members appointed by the Governor for terms of eight years each.

The President, as chief executive officer of the University, exercises immediate control of the institution. Serving under the President are the Executive Vice President and Provost, the Senior Vice President for Business Affairs and the Senior Vice President for Campus Life. Other administrative officers who assist the President include: the vice presidents for research, graduate studies and economic development; university advancement; learning and information technologies; enrollment management; legal affairs; the vice president and senior associate to the president; and vice provosts for academic affairs, academic programs and initiatives,
agriculture, and instruction; deans, directors; department heads; and others. These and all other administrators hold office at the pleasure of the President. (See Chapter 5 regarding personnel policies for administrators.)

Appointed personnel also play significant roles in the governance of the University of Arizona. Consult online resources such as:

### 2.01 Affirmative Action/Equal Employment Opportunity

**Policy Number:** 2.01  
**Revised Date:** January, 1998

It is the policy of The University of Arizona to provide equal employment opportunity without regard to race, color, age, religion, sex, national origin, disability, veteran's status or sexual orientation.

The University of Arizona is also a federal government contractor and, as such, has certain obligations to take affirmative action to ensure that its policies and practices are, in fact, nondiscriminatory.

It is therefore our policy to take affirmative action to employ and advance in employment covered veterans, individuals with disabilities, women and minorities. Where required by law, The University of Arizona has established goals by which we may measure our progress in employing persons based on individual ability and merit and in the numbers reasonably expected based on their availability.

The University of Arizona makes good faith efforts to reach persons with disabilities, covered veterans, woman and minorities with information about our equal opportunity policy and, specifically, about employment opportunities at the University. This recruitment effort is particularly important for jobs where women or minorities are not currently participating in the numbers expected by their availability. It is the policy of the University of Arizona to invite all interested persons, both from outside the University and from within the University community, to apply for such opportunities.

As a matter of law and as a matter of University policy, selection for opportunities for hire, promotion, transfer or training, as well as decisions regarding demotion, termination, lay-off and other terms and conditions for employment shall occur without regard to race, color, sex, national original or other prohibited basis.

The University has formally assigned the responsibilities contained in its written Affirmative Action Plans for Women and Minorities and for individuals with Disabilities and Covered Veterans to each vice president, dean, director, department head, manager and supervisor and the University does insist that these employees adhere to the commitment made in each Affirmative Action Plan.

### 2.02 Alcohol On University Property

**Policy Number:** 2.02  
**Revised Date:** March, 2004

See the University policy on possession or consumption of alcohol as follows:

- The University of Arizona Alcohol Policy & Regulations, 1991; Revised March 1, 2004  

### 2.03 Death And Injury Reports

**Policy Number:** 2.03

All deaths and serious injuries occurring on University property should be reported immediately to the University Police Department. As soon as possible, deaths and serious injuries of employees should be reported to the office of the President, and
deaths and serious injuries of students should be reported to the Dean of Students office. As soon as is practical, all such incidents must be reported to the office of Risk Management and Safety, using a University accident report form.

Workers' compensation and other liability claims are filed through the office of Risk Management and Safety. Benefits Services processes employees' health and life insurance claims, disability applications, and survivors' benefits claims.

### 2.04 Seeking Advanced Degrees

**Policy Number:** 2.04  
**Revised Date:** October, 2013

Appointed personnel are encouraged to engage in continuous professional development, including pursuing advanced degrees as appropriate. Employees who seek an advanced degree must consider whether doing so will present a conflict of interest or a conflict of commitment with their University duties and responsibilities, as those terms are described in University and Board policies. Employees will not be permitted to seek an advanced degree program within their own departments unless they receive approval from the Provost to do so, as this is generally considered a conflict of interest. Appointed personnel who are interested in pursuing an advanced degree are encouraged to discuss their plans in advance with their supervisor. Degree programs that require classroom instruction during regular work hours will require supervisor approval.

### 2.05 Educational Rights And Privacy Act of 1974

**Policy Number:** 2.05  
**Revised Date:** September, 2002

The Educational Rights and Privacy Act of 1974 (the Buckley Amendment) requires certain procedures to ensure the confidentiality of students' records, to provide rights of inspection, and to facilitate challenges of record information. University policy with regard to the Act is available online as follows:

  [http://www.registrar.arizona.edu/ferpa/ferpa-compliance](http://www.registrar.arizona.edu/ferpa/ferpa-compliance)

Questions regarding the Act may be referred to the Dean of Students office, or the office of Curriculum and Registration.

### 2.06.01 Appointment Procedures

**Policy Number:** 2.06.01

Each year, after the ABOR has approved the University's budget, the institution distributes notices of appointment and notices of reappointment to all appointed personnel. The notices should be signed and returned to the Department of Human Resources no later than fourteen days following the date on which the notice was posted if the appointment is for the fiscal year, and no later than thirty days following the date on which the notice was posted if the appointment is for the academic year. Academic-year appointments are effective on or about August 15, fiscal year appointments on July 1.

### 2.06.02 Labor Union Membership

**Policy Number:** 2.06.02
ABOR does not oppose membership in labor organizations by employees, but views such membership as a right that in no way affects employment. However, as a public employer functioning under the provisions of Arizona Revised Statutes 15-1626, the ABOR does not have legal authority to recognize a labor organization as an employee's agent for purposes of collective bargaining.

2.06.03 Hours of Employment

**Policy Number:** 2.06.03

Office hours of the University are from 8:00 a.m. to 5:00 p.m., Monday through Friday, holidays excluded. By virtue of their responsibilities, certain administrative units may have office hours and work weeks that differ from this schedule but, in no event, is an average full-time work week less than forty hours.

2.06.04 Employee Information: Provision of Name, Address, Highest Degree

**Policy Number:** 2.06.04

All employees are requested to keep their local address and telephone number updated. New appointees arriving at a later date are asked to supply this information as soon as possible to their department. An employee who changes name, residence address, or telephone number should notify their department. This information should be forwarded to Systems Control on the Personnel Action form. Any employee who completes an advanced degree during the course of the year should notify the Department of Human Resources, as well as the dean of the college or other administrative head.

2.06.05 Absences From Duty

**Policy Number:** 2.06.05

Absence from duty because of illness or accident must be reported to the department head or director, who in turn shall report it to the dean's office within three days. (See also Section 8.02, regarding health-related leaves, and Section 7.01, regarding professional conduct.) for information on sickness and accident benefits, see Chapter 10: Benefits.

2.06.06 Consulting or Other Outside Employment

**Policy Number:** 2.06.06

**Revised Date:** August, 2012

Also see University of Arizona Interim policy on Conflict of Commitment, External Professional Activities and Outside Employment (effective August 24, 2012): http://policy.arizona.edu/research

Personnel on full-time appointment are compensated for full-time employment. Outside or dual employment that in any way interferes with the performance of an employee's contracted University duties and responsibilities is not permitted. However, ABOR recognizes the value of certain consulting and other external employment experiences to its personnel, to the University and to the community. Such activities may enhance the professional abilities of the individual and bring credit to both the employee and the University. Therefore, external employment which may render valuable service and provide an important on-going link between the University and business, industry, professional groups, governmental agencies, or other public or private organizations may be permitted, with the following stipulations:

1. It does not interfere in any way with the employee's regular work (the benefits to the employee's professional status is one factor determining whether outside employment interferes with or benefits University business);
2. Prior written approval is obtained from the department head, director, and dean;

3. The activity is fully consistent with all rules promulgated by the University and ABOR (See Section 2.06.08 regarding conflicts of interest and ABOR-PM 6-705 regarding outside employment); and

4. If University facilities are to be used, financial arrangements are made through the department head and dean.

Private consultant groups comprised of University personnel will not be permitted to carry out private research contracts or to render other professional services to outside individuals, corporations, or agencies.

Deans, directors, and department heads are responsible for maintaining written records of the external employment of their personnel. Each college shall formulate appropriate policies and procedures and make them generally known. Deans, directors, and other administrative heads shall submit annual written reports of the external employment activities of their personnel to the Provost no later than June 1.

The writing of books and production of other creative work is encouraged, but such work should not unduly interfere with assigned duties and responsibilities.

Full-time appointed personnel of the University may not be simultaneously employed as faculty members, professional staff, or administrators at any other postsecondary educational institution. Such employment is regarded as a prima facie conflict of interest. However, brief consultantships and collaborative research which meet the stipulations above may be permitted with other postsecondary institutions.

for policy on political service, see Section 2.10 and Section 8.04.04, regarding unpaid leaves of absence.

### 2.06.07 Supplemental Work for The University

**Policy Number:** 2.06.07

Compensation in addition to the amount specified in the Notice of Appointment or Personnel Action/Notice of Reappointment is permitted only as follows.

**A. Personnel on Academic Appointments**

1. Supplemental compensation may be received for special administrative assignments by the President.

2. Subject to the policies of the sponsor and approval by the department head and dean, supplemental compensation from grant or contract funds may be received for services rendered.

3. Subject to approval by the department head and dean, supplemental compensation may also be received for the following activities:
   
   1. Instructional and other activities performed during the summer;
   2. Instruction in credit-bearing courses offered off-campus through the Extended University; and
   3. Instruction in noncredit conferences, institutes, and short courses.

4. Unless otherwise approved by the President, supplemental compensation received during any single fiscal year, from all sources, may not exceed one-third (3/9) of the academic year salary.

**B. Faculty Members and Professional Staff on Fiscal Year Appointments**

1. Subject to approval by the department head and dean, supplemental compensation may be received for the following activities:
   
   1. Instruction in credit-bearing courses offered off-campus through the Extended University; and
   2. Instruction in noncredit conferences, institutes, and short courses.
2. Unless otherwise approved by the President, supplemental compensation received from all sources during any fiscal year may not exceed one-twelfth \((1/12)\) of the fiscal year salary.

C. Administrative Personnel on Fiscal-year Appointments

Administrative personnel on fiscal-year appointments shall not receive supplemental compensation in any amount from the University without the prior approval of the President.

Other than as specified above, there is no automatic provision for release time or supplemental compensation for work on University-generated contracts or projects that lie outside of an employee's contractual duties and responsibilities. In certain circumstances, supplemental consulting or service activities within the University may sufficiently enhance a person's regular teaching, research, or service responsibilities, in a manner considered beneficial to the institution, so as to justify the use of time and facilities otherwise committed to the University. Approval by the appropriate department head, dean or director must be obtained for each activity, and a record should be kept of time and resources used for the activity.

With one exception, supplemental compensation for work on sponsored projects during a period of appointment is not permitted for full-time personnel. On occasion, grant funds may provide a consulting fee to an employee not listed as investigator on the grant in return for special professional services or advice. Such payment requires the prior approval of the employee's department head and dean.

Part or all of the salary of an individual on an academic or fiscal appointment who is assigned to a sponsored project can be taken from a contract or grant. General operating (state) funds released by such adjustments are usually retained within the department.

2.06.08 Conflict of Interest

Policy Number: 2.06.08

Revised Date: August, 2012

Also see University of Arizona Policy on Individual Conflict of Interest in Research:
http://policy.arizona.edu/research/individual-conflict-interest-research

Also see Policy for Management of Personal Conflicts of Interest for The University of Arizona:
http://policy.arizona.edu/ethics-and-conduct/management-personal-conflicts-interest-university-arizona

Under Arizona Revised Statutes 38-501 et seq., employees of the University must not vote or participate in any manner in any decision of the University, or the ABOR, or in any contract, sale, purchase or service provided to the University in which they or a relative have a pecuniary or proprietary interest. An employee must make such interest known in the official records of the University by filing a declaration of the conflict of interest that is available at the Purchasing office, the Department of Human Resources or the Provost's office. By statute, engaging in conduct that constitutes a conflict of interest may result in disciplinary action, including forfeiture of employment.

In addition, an employee may not participate in a commercial radio or television program in which there is a relationship between a product being advertised and the special field in which the employee is engaged at the University.

University employees who are working on government-supported research, advising on grants, or involved with government research activities in other ways, must avoid using information derived from their government-related work to help specific industrial concerns or enterprises in which they have an interest as consultants or otherwise. The applicable policy is the AAUP Policy Statement titled "On Preventing Conflicts of Interest in Government-Sponsored Research at Universities." To promote this policy, University employees should keep their department heads and deans informed of their government-related research activities, and seek the advice of the Vice President for Research as needed.

Further, it is a conflict of commitment when outside activities interfere with an employee's primary obligations to teaching, research or service. The University requires employees to file a disclosure of outside activities with their department head, dean or director,
who is to ensure that there is no conflict of commitment. This administrator will conduct an annual review of all disclosures received, and will provide the Vice President for Research and the Provost with a written report on the potential for conflict.

University employees who believe that they or their unit is adversely affected by a colleague's outside activities may bring this matter to the attention of the University Committee on Ethics and Commitment by contacting the Faculty Center. The committee will consider such reports, contact the appropriate administrator(s) and investigate the matter. Any findings and recommendations will be provided to the employees and administrators involved, and to the Vice President for Research. The committee will report annually to the Faculty Senate concerning the number and nature of the cases investigated.

2.07.01 General Policies

Policy Number: 2.07.01

Revised Date: August, 2000

The facilities, space, supplies, services and equipment owned by The University of Arizona are held for the purposes of teaching, research, and service. Other uses are sometimes permitted, on a noninterference basis with respect to these primary functions.

The unit administrator (department head, dean, director) is responsible for the proper use of facilities, space and equipment within guidelines set by higher administration. Arrangements for their use for technology transfer or related activities can be made by individual faculty or professional staff members upon approval by the unit administrator, the Vice President for Research, and the Provost. Such arrangements will be reviewed periodically by the Vice President for Research and by the Provost to ensure that they do not interfere with the primary purposes of the institution.

Any employee who perceives that such an arrangement is interfering with the University's teaching, research, or service functions may bring the matter to the attention of the University Committee on Ethics and Commitment (UCEC). UCEC will hear complaints and investigate the possible inappropriate use of space, equipment, or other facilities, and will contact the appropriate administrator(s) as an initial step in this process. The results of UCEC's investigations and its recommendations will be sent to the faculty member(s) involved, department heads and deans, and the Research Integrity Officer. UCEC will report annually to the Faculty Senate on the number and nature of the cases investigated.

2.07.02 Rooms: Privilege Cards, Keys, Scheduling, Help-dogs, Use Fees

Policy Number: 2.07.02

Revised Date: February, 2006

Room Privilege Cards. Each academic year, the deans or their designated representatives issue room privilege cards to faculty, staff, and students authorizing their use of particular rooms. The use of an assigned room for a scheduled class does not require a room privilege card. Room privilege cards serve as identification cards, which the University police are authorized to check at any time. If University police are requested to open a room in any building, and the requestor does not have a key to the room, he or she must display a room privilege card showing authorization to use the room.

Keys. Keys are issued by Facilities Management. Guidelines and procedures for obtaining keys may be found online as follows:

- Key and Lock Services
  

Classroom Scheduling. Scheduled classes use assigned rooms. To use rooms on the Main Campus for other purposes, individuals must obtain authorization from the Room and Course Scheduling office, office of Curriculum and Registration. Similar authorization to use Arizona Health Sciences Center rooms must be obtained from the Room Scheduling office, Arizona Health Sciences Center. See online information as follows:
Room and Course Scheduling office, Main Campus
http://www.registrar.arizona.edu/rooms.htm

Room Scheduling office, Arizona Health Sciences Center
http://roomscheduling.ahsc.arizona.edu/

Help-dogs. See Section 2.24 regarding animals in the workplace.

Use Fees. Appointed personnel and staff members are sometimes called upon to proctor or administer examinations or tests for organizations other than the University. When the examination is proctored or administered for another educational institution or for a nonprofit agency such as a national testing association or a governmental agency, no room rental fee will be charged. Regardless of whether the appointed personnel or staff member receives an honorarium, a rental fee must be charged for the use of campus facilities if the proctoring or administering of the test is done for a business, industry, or other for-profit organization. Arrangements for paying such fees must be made with the Room and Course Scheduling office at the time the room is scheduled.

University facilities are primarily for instruction and research. When used for other purposes, the employee in charge assumes responsibility for proper supervision. The Room and Course Scheduling office should be consulted about the availability of general equipment such as chairs, tables, lecterns, and blackboards. No equipment should be transferred from one room to another without authorization.

All repairs needed in classrooms, laboratories, offices, or other facilities of the University should be reported to the dean, director or other administrator in charge of the facility. If a request for alterations/renovation or painting of University facilities is approved by the dean, director, or other administrator, the request must be forwarded to Facilities Management for approval. The policy for alterations and renovations of University buildings may be found online as follows:

- Policy for Alterations and Renovations of University Buildings
  http://policy.arizona.edu/alterations-renovations

Questions about room and equipment policies should be referred to the University Teaching Center.

2.07.03 Equipment And Supplies: Purchases, Inventory, Surplus, Disposal, Loss Reports

Policy Number: 2.07.03

Purchases of services, supplies, and capital equipment are accomplished by properly executed documents which have been processed through established channels. The University is not obligated to pay for such purchase unless they have been authorized by personnel designated by the Senior Vice President for Business Affairs. Requests for purchases must be initiated through the responsible department head. Materials and services obtained with University funds must not be used for purposes other than approved University educational, research, or administrative activities. Individuals will be required to reimburse the University for services and supplies used for personal purposes.

In compliance with State law, the University maintains inventory records of all capital equipment by means of assigned tag numbers. Lost and stolen items should be reported to the Campus Police and a loss report sent to the office of Risk Management and Safety. Surplus equipment may be delivered to the office of Materiel Management for resale to other departments or for public sale. Federal surplus equipment may be acquired from the office of Materiel Management for only a small handling charge.

Department heads are responsible for the care and custody of capital equipment under their control. University property must not be removed from University control without prior approval by administrative personnel, authorized by the Senior Vice President for Business Affairs. Complete information about the acquisition and disposal of items may be obtained from the Property office of Materiel Management.

Whenever it is learned that University property is missing or damaged by vandals, the University Police Department at the Main Campus or at the Arizona Health Sciences Center, as appropriate, should be notified immediately. Additionally, a Loss Report form
should be completed and forwarded to the office of Risk Management and Safety. To avoid loss, personnel should lock rooms when they are unoccupied.

2.07.04 Approved Use of University Computing And Communication Equipment

**Policy Number:** 2.07.04  
**Effective Date:** July 14, 2003  
**Revised Date:** July, 2003

Under Arizona law, A.R.S. 38-448, a university employee may not use university owned or leased computer equipment "to access, download, print or store any information infrastructure files or services that depict nudity, sexual activity, sexual excitement or sexual acts" unless the employee has written approval from the "agency head."

The President has authorized the following classes of individuals to access, download, print and store material that would otherwise be prohibited by this statute. This approval is limited to purposes related to academic or employment duties at the University of Arizona. Uses outside of this scope may result in sanctions.

The following classes of individuals may access otherwise prohibited material, but only to the extent that the access is related to their academic appointment or job duties at the University of Arizona:

- All employees with academic appointments and graduate research and teaching assistants;
- All employees whose job duties include the provision of physical or mental health services;
- All employees whose job duties include the monitoring, management, or servicing of University of Arizona computing or communication systems or devices;
- All employees whose job duties include the analysis of legal issues or the investigation of allegations of misconduct; and
- All employees of campus museums, media services, libraries, and UAPresent.

In addition, an employee authorized under this document may authorize employees he or she directly supervises to access these materials for a purpose related to the authorized employee's academic appointment or job duties.

Employees who are not covered by this approval may seek approval from the head of their academic or administrative unit for activities related to their job duties, and such approval must be on the form approved by completing an "Approval form for Access, Download, Print and Storage of Materials Otherwise Prohibited by A.R.S. 38-448."

- Approval form  
  [http://policy.arizona.edu/sites/default/files/approval_form.pdf](http://policy.arizona.edu/sites/default/files/approval_form.pdf)

2.07.05 Acceptable Use of Computers And Networks At The University of Arizona

**Policy Number:** 2.07.05  
**Effective Date:** March 1, 2004

Please see UA InfoSec policy: [http://security.arizona.edu/aup](http://security.arizona.edu/aup)

2.07.06 Misuse of University Assets At The University of Arizona

**Policy Number:** 2.07.06  
**Effective Date:** March 29, 2004
I. Policy Statement
The University of Arizona is responsible for the appropriate use of its assets. In substantiated cases of misuse of those assets, it is the policy of the University to obtain full restitution, to impose administrative sanctions, and to refer violations of criminal statutes for prosecution.

II. Purpose
This policy is adopted for the purpose of

1. Defining, and delineating responsibilities relating to, the misuse of University assets.
2. Establishing protocols for reporting and handling of incidents involving alleged or actual misuse of University assets.
3. Providing guidelines for corrective actions when the investigations confirm that misuse has occurred, or is likely to occur.
4. Misuse of University assets is a violation of the Arizona Board of Regents (ABOR), University Handbook for Appointed Personnel (UHAP), Classified Staff Human Resources Policy (CSHP), the Student Code of Conduct, and other policies of the University. Therefore, this policy is in addition to, but does not substitute for other laws and policies governing employees and students at the University, whether currently in effect or whether established after the adoption of this policy. Employees and students are required to be familiar with all policies governing the appropriate use of University assets.
5. Disciplinary action against employees or students for misuse of University assets will be pursued under one or more of those policies, using the procedure applicable to that category of employees or students in connection with those policies.

III. Definitions
Unless otherwise stated, language in this policy is to be given its ordinary meaning consistent with the remedial purpose of this policy. Examples are given by way of illustration only, and specially defined terms are not limited to the examples given. As used in this policy:

1. "Employee" means an individual who is employed by the Arizona Board of Regents under classifications “faculty," "classified staff," or “academic professional," "administrative professional," or "service professional", as those terms are defined in the University Handbook for Appointed Personnel, Arizona Board of Regents' Policy Manual, and Classified Staff Employee Handbook, student employees who have authority to impose discipline on other students, graduate students with supervisory or teaching responsibilities, including instructors, whether the individual is paid or unpaid, or any individual who represents or acts on behalf of the University and whose actions may bind the University. For purposes of this policy, "employee" shall include all agents of the University.
2. "University assets" are items of tangible or intangible property owned by, leased to, licensed to, or in the possession of the University of Arizona. Examples include name, money, land, buildings, improvements, proprietary information, inventory, equipment, accounts receivable, supplies, library volumes, museum pieces, art objects, furniture, materials, intellectual property, campus electronic information resources or internet domain (arizona.edu) software, tools, vehicles, and paid employee time. University assets also include items, which should have rightfully become an asset of the University, but did not due to misuse by an employee. An example is a patent that should have been assigned by an employee but was not.
3. "Misuse" is the illegal use of University assets and/ or uses that are prohibited under this or another University policy, which result in loss, damage or financial liability to the University or gain to the individual or a third party and no benefit to the University. Examples include but are not limited to using University assets for personal purposes, fraud, theft or embezzlement, which violate provisions of criminal law of the State of Arizona; acts (such as disclosure of confidential, proprietary or privileged information) that reduce the value of University assets or expose the University to legal or financial penalties, or are conflicts of interest that benefit only the employee or a third party.
4. "Corrective Action Plan" (CAP) means a written plan developed by the management of the affected unit following a determination of misuse (or risk of misuse) of University assets, in order to correct and protect the University from future losses or potential losses.

IV. Responsibilities of all Employees and Students
1. Employees and students may not misuse University assets.

2. Employees and students have a responsibility to report activities or significant incidents that appear to be misuse of University assets. Employees may report such suspected misuse to any manager or supervisor in the chain of authority (director, department/unit head, dean, or appropriate vice president) or may make a report directly to the Senior Vice President for Business Affairs or Executive Vice President. Employees need not report misuse to their direct supervisors, but may make a report of alleged misuse to any supervisor, vice president or Executive Vice President or to the Senior VP for Business Affairs. Good faith reports of misuse of University assets are subject to the protection of the ABOR policy against whistle blowing as outlined in ABOR Policy Manual, as amended. Reporters of violations of this policy should be aware that some misuses of University assets are de minimus, and do not rise to the level to which a University administrator, auditor or the University of Arizona Police Department (UAPD) would consider the use a violation of this policy or of criminal law. However, if, combined with other incidents of reported misuse, the incident is not de minimus, the University supervisor, auditor or UAPD may consider the incident a significant misuse of University assets, warranting an investigation.

3. Supervisors receiving reports of suspected misuse may take action to satisfy themselves that there is a reasonable basis to suspect that misuse has occurred prior to reporting to their immediate superior or supervisor in the chain of authority. However, before doing so, supervisors should consult with a representative from the Human Resources Department Consulting Services, the Chief of UAPD, the Chief Auditor or the Office of the General Counsel, whose expertise in these matters may provide helpful insights to confirm the appropriateness of a preliminary evaluation or indicate the need for additional assistance.

4. Employees and/or students involved in any aspect of a preliminary evaluation by the administrator, supervisor or manager, or an investigation under this policy, are responsible for keeping all information regarding the alleged misuse confidential.

V. Responsibilities of Administrators (Vice Presidents, Deans, Department/Unit Heads/Directors)

1. The Senior Vice President for Business Affairs has overall responsibility for matters concerning known or suspected misuse of University assets. If an allegation of misuse is made against a student, the Dean of Students shall have such responsibility. Attendant to this task is the responsibility for
   1. Ensuring that an investigation is conducted;
   2. Designating, in any case to which this policy applies, a person who is responsible for undertaking steps required under this policy;
   3. Ensuring preparation and implementation of a corrective action plan when misuse of assets is confirmed;
   4. Coordinating the investigative process with the Executive VP and Provost and other senior University officials;
   5. Notifying and updating the University President and General Counsel of confirmed misuse of assets; and
   6. Effecting appropriate reporting to ABOR.

2. Receiving reports of alleged misuse of University assets.

3. Exercising good judgment and carefully evaluating the alleged infraction to determine whether it is de minimus or whether it does not rise to the level to which a University supervisor, dean, director or department head would consider reporting the infraction to the next level.

4. Consulting with appropriate administrator(s) to determine who in the chain of authority should be advised of the reported misconduct. In the event that a report of significant misuse of University assets has occurred, the administrator to whom a report has been made shall report the misuse to the Senior Vice President of Business Affairs (SVPBA).

5. The responsibilities set forth in paragraph IV, above.

6. Ensuring that matters pertaining to reports of investigation of misuse of University assets are treated as confidential, pending the completion of an audit or investigation.
7. Where an incident of misuse is confirmed following an investigation:
   1. Administering appropriate disciplinary action in accordance with ABOR and University policies and procedures in effect at that time;
   2. Taking steps to recover assets;
   3. Taking steps to prevent recurrence; and
   4. Developing a Corrective Action Plan, which shall be reviewed and approved by an immediate supervisor.

8. When a person who is suspected or accused of misuse of University assets is the head of a department/unit/agency, consideration should be given to having all unit management responsibilities of that individual performed by the next higher authority.

9. Ensuring compliance with the provisions of this policy.

10. Seeking advice from the UA Attorney's office regarding when the individual who is suspected of misuse of assets should be informed of his or her legal rights, including the right to retain counsel.

VI. The University and its administrators shall follow any other policies and procedures of the ABOR or University regarding misuse of assets. By way of example, but without limitation, the following policies may apply:

1. ABOR Policy regarding Protection of Employees from Reprisal for Whistleblowing and University policies addressing the same;

2. Conflict of Interest and Commitment Policy;

3. Classified Staff Policy and Procedures Manual (CSPM);

4. University Handbook for Appointed Personnel (UHAP);

5. ABOR and UA Intellectual Property policies;

6. FRS Policy 9.18, Small Dollar/Direct Purchase Procedures;

7. FRS Policy 15, Security, Theft Control, Lost and Damage;

8. University of Arizona Acceptable Use of Computers and Network, if applicable;

9. University of Arizona Codes of Conduct;

10. Provisions of Arizona statutory law; and

11. Any other policies currently in effect or effected subsequent to the adoption of this policy, which address misuse of University assets.

VII. Investigative Process

1. General
   As set forth in paragraph IV (B) above, employees and students are expected to report incidents involving significant misuse of University assets.

2. Confidentiality
   1. Subject to applicable Arizona law, matters pertaining to reports and investigations of misuse of University assets shall be treated as confidential pending the completion of any audit or investigation. University employees responsible for conducting any phase of a confidential investigation shall inform individuals contacted that their identities, and the information they provide, will remain confidential to the extent permitted by law.

3. Investigation
1. The Internal Audit Department may conduct an investigation of the available evidence and related circumstances to determine whether a thorough or more extensive audit is necessary. If a more thorough or extensive audit is deemed necessary the SVPBA or his/her designee will determine who should conduct that audit.

2. If, after consulting with General Counsel, it appears to the Senior Vice President for Business Affairs (SVPBA) or the Internal Audit Department that the matter may involve criminal misconduct, s/he shall request an investigation by UAPD.

3. The Senior Vice President for Business Affairs (SVPBA), UAPD, Internal Audit Department, Deans, Directors and department heads have authority to take immediate action as they determine necessary, to secure and protect University assets and any pertinent accounting and administrative records from misuse, destruction or alteration.

4. An individual who is accused of misuse or misappropriation of University assets may, at his or her expense, employ and be accompanied by legal counsel during any interviews or meetings with UAPD, internal auditors or others charged by the University to investigate this matter. Should disciplinary action be initiated upon a finding of wrongdoing, the individual shall be entitled to the protections provided under applicable personnel rules of the University and ABOR policies.

5. If permitted by applicable policies and procedures of the University of Arizona, an individual who is subject to an investigation for misuse of University assets may be placed on administrative suspension with or without pay while an investigation into wrongdoing is pending. Leave with pay, if appropriate, may be imposed by any supervisor in the chain of authority, and shall be imposed in accordance with applicable University and ABOR policies, following consultation with the Human Resources Department, the Provost and the Senior Vice President for Business Affairs.

6. All investigations and every step thereof shall be conducted consistent with the constitutional rights of those persons being investigated.

4. Post-Investigation Actions

1. The officials conducting the investigation shall make a written report to the SVPBA, subject to their right to expand the scope of their investigation to determine the extent of the misuse, to identify individuals responsible for the improprieties, or to include a review of internal controls of the area in which the misuse occurred.

2. If the individuals or offices conducting the investigation determine that no further investigation is required, then they shall complete their report to the SVPBA.

3. If, after consultation with the General Counsel, it appears from the investigation that the individual under investigation has committed a criminal act in violation of Arizona or federal law, the SVPBA shall advise the UAPD of this conclusion if the UAPD previously did not investigate the matter as a violation of criminal law, and thereafter, the UAPD, shall notify and coordinate further actions with the relevant prosecuting agency.

5. After receipt of a written final investigative report, the SVPBA will inform the Executive Vice President and Provost of the final disposition of the investigation.

6. The Executive Vice President and Provost and SVPBA shall inform appropriate subordinate supervisors, within their respective areas of responsibility, of the investigative results which affect their units, and direct, if appropriate, that they initiate disciplinary action, as set forth below in paragraph VIII.

VIII. Disciplinary Actions

1. If the investigator(s) conclude that an employee or student is responsible for misuse of university assets, management or the Dean of Students shall initiate appropriate disciplinary action, in accordance with existing ABOR and University policies including all provisions regarding due process.

2. All other rules, regulations and statutes governing University business operations shall also apply to disciplinary action taken against an employee for violation of this policy.
IX. Actions Where Findings Do Not Support Claim of Misuse

At the conclusion of the evaluation or investigation, if either the supervisor conducting the evaluation of the allegation of misuse or the SVPBA finds insufficient evidence upon which to determine that misuse occurred, or if s/he disagrees with the investigator’s findings and recommendations, the University, including the SVPBA, a Department Head, Director, Dean or Supervisor, will undertake diligent efforts to restore the reputations of persons alleged to have engaged in misuse under this policy. They also will make diligent efforts to protect the positions and reputations of those persons who, in good faith, made those allegations. Unless the employee or student so requests, no records of the complaint, investigation or report shall be maintained by the University, except as required by law.

X. References and Related Policies
(These policies, by way of example, but not limitation, also may apply to allegations of misuse of University assets)

2.08 International Agreements And Grant Opportunities

Policy Number: 2.08
Revised Date: August, 2000

In order that appointed personnel may compete for contracts, agreements, or grants with other countries, the Vice President for Research shall publish opportunities in Research Review and on the Research Support office web site. Each announcement shall include the foreign country and agency involved, the University administrative unit in charge of the project, and the subject area. No hiring, contracting for, or assigning of personnel to a project, other than the project’s principal or co-principal investigators, may be done for at least thirty (30) days after publication of such information.

If circumstances do not permit the use of the standard notification procedures described above, such as when a project must be undertaken within one month of the initial contact by a foreign agency, the University administrators in charge of the relevant unit(s) shall make a good faith effort to inform personnel who might be interested in such a project.

The Research Support office and the office of the Vice President for Research maintain a database of persons who have expressed an interest in given activities and furnish to each of these persons announcements of subsequent opportunities.

University Equal Employment Opportunity/Affirmative Action/ADA policy governs employment practices in the administration of agreements in other countries. The University of Arizona Advisory Committee on Affirmative Action has jurisdiction over hiring for such contracts, agreements, and grants involving the University and parties in other countries. At the time of signing of an agreement, contract, or grant document with a foreign agency, whether governmental or private, all signatories or their representatives must be given a copy of the EEO/AA ADA statement. (See Section 2.01.) Departments, schools, colleges, or other units must monitor compliance and report any violations to the Affirmative Action Advisory Committee.

2.09 Gifts To The University: Solicitation And Receipt

Policy Number: 2.09
Revised Date: September, 2002

All gifts of any kind to an administrative unit or to individuals in their capacity as University employees should be placed in University accounts or inventories. Instructions for processing gifts are contained in the Financial Records System (FRS) Departmental Manual. The University gift policy is available online as follows:

- FRS Departmental Manual, 8.12: Gifts
  http://policy.fso.arizona.edu/fsm/800/812

Further information can be obtained from your unit Development officer or the Central Gift office, University of Arizona Foundation.

23
2.10 Political Activity

Policy Number: 2.10

University of Arizona employees may participate in political activity outside the classroom as citizens, but must not allow their interest in a particular party candidate or political issue to affect the objectivity of their teaching or the performance of any other assigned duties and responsibilities.

Employees of The University of Arizona shall not use, directly or by implication, the name of the University or their affiliation with the University in the endorsement of political candidates, initiatives, referendums, or in supporting or opposing a position on other political issues.

Appointed personnel who desire to campaign for public office or who are elected to public office should request an appropriate full or partial leave of absence (See Section 8.04.04). The President shall determine the extent of the leave for a given case after review of recommendations by the appropriate dean or director and vice president.

2.11.01 Faculty-Authorized Books And Materials Assigned In Classes

Policy Number: 2.11.01

There is no prohibition against the assignment of a textbook by its authors for their classes, nor against the collection of related royalties, provided the textbook has been printed and copyrighted by a recognized publishing house at its own expense, has been made available for open sale, and has been approved for such use by the dean of the college concerned. In cases where deans teach and assign the above type materials, approval shall be obtained from the Provost.

2.11.02 Sale And Distribution of Books And Materials To Students

Policy Number: 2.11.02

Educational material to be copied, in any way, and sold for use in class or laboratory work at The University of Arizona is available for sale through the Student Union Fast Copy Center, as well as outside vendors, primarily to University students enrolled in the courses in which it is to be used. Neither appointed personnel nor staff members may have any financial interest in or receive compensation from the sale of such material.

Neither appointed personnel nor staff members may sell materials, books, or publications of any kind directly to students. Cooperative purchases of magazines or other literature should be handled by the students involved or by the U of A Bookstore.

2.11.03 Publications Issued By Colleges And Departments

Policy Number: 2.11.03

All printed publications originating from the campus and placed in general circulation are official representations of the University, regardless of funding. Therefore, departmental and college publishing procedures must be followed. Individuals may not arrange so-called private printing for University-funded publications. All printed materials originating from campus and dealing with University curriculum and academic matters must be approved by the Director of Curriculum and Registration before typesetting is begun.

2.11.04 Reproduction of Copyrighted Material

Policy Number: 2.11.04

Revised Date: September, 2002
Reproduction of copyrighted material for any use, including classroom use, must conform to federal law. The University advises personnel wishing to reproduce copyrighted material to obtain written permission from the copyright holder. Permission without fee is commonly granted when the proposed use is educational and non-profit.

The Main Library and Law Library maintain materials on copyright law. Also, consult "Copyright Basics" available online from the office of Technology Transfer as follows:

- Copyright Basics
  http://techtransfer.arizona.edu/information-resources/about-intellectual-property-university-arizona

2.12 Public Service By Employees

Policy Number: 2.12

Public service to the State is one of the basic obligations of a land-grant institution such as The University of Arizona (See Chapter 1). In keeping with this obligation, the University therefore expends funds for public service activities and encourages the participation of its appointed personnel.

Public service is one element considered in promotion, tenure, continuing status, and merit raise decisions. Individuals engaged in time-demanding public service functions may be granted reductions in other assigned duties.

Departments, colleges, and ultimately the University must make annual accountability reports that reflect public service activity. Therefore, individuals should report each public service contribution to their superiors and keep their own records of all such activity.

2.13.01 General

Policy Number: 2.13.01

Research proposals should be routed: (1) through department heads and deans, who are informed on University policies regarding such proposals and who may allocate space and workloads in accordance with research projects; and (2) through Sponsored Projects Services, which must approve proposal budgets. Sponsored Projects Services also must sign all research proposals on behalf of the Vice President for Research.

Applications for special grants for summer and academic-year institutes and for other instructional and facility grants also should be made through the office of the Vice President for Research.

The following procedures apply in all research involving outside funding.

1. The Vice President for Research has delegated signature authority to Sponsored Projects Services for all proposals for outside funding.

2. Any communication with a granting or contracting agency concerning a change in existing research support, such as a request for additional funds or an extension of support time (with or without additional funds), must bear the signature of Sponsored Projects Services.

3. A request for a change in category (use) of existing support funds, such as using "supplies" money for additional "personnel," can often be handled within the University. The principal investigator should contact Sponsored Projects Services to learn if the current policy of the granting or contracting agency requires that the agency approve the change, or merely be notified. Whatever the sponsoring agency's requirement, Sponsored Projects Services must be apprised of such changes in category.
2.13.02 Research Involving Human Subjects

Policy Number: 2.13.02

Revised Date: May, 2006

The University is required to safeguard the rights and welfare of human subjects involved in research. Any project originated at The University of Arizona, University Medical Center, University Physicians, or the affiliated Veterans Administration Hospital which uses human subjects must be submitted for review and approval by the University's Human Subjects Protection Program (HSPP) and the Institutional Review Board (IRB).

In compliance with federal regulations, the review shall ensure: (1) that the rights and welfare of the subjects involved are adequately protected; (2) that the risks to an individual (whether physical, psychological, or social) in any activity which goes beyond the application of accepted procedures are outweighed by potential benefits; (3) that subject selection is fair; and (4) that legal, informed consent of participants is obtained by methods that are appropriate and adequate. Approval of the IRB or HSPP must be obtained before the project is initiated.

Forms and instructions for securing approval for research involving human subjects and information about the Human Subjects Protection Program are available online as follows:

- Human Subjects Protection Program
  http://orcr.arizona.edu/hspp

2.13.03 Research Involving Animal Subjects

Policy Number: 2.13.03

All research, both sponsored and non-sponsored, involving animal subjects must be reviewed by the Institutional Animal Care and Use Committee to assure that it conforms to the University's policies governing animal welfare and meets the requirements of the Federal Laboratory Animal Welfare Act and the Public Health Service policy concerning the care and use of laboratory animals.

Principal investigators who plan to use animal subjects as part of their research should contact a member of the Institutional Animal Care and Use Committee or a University laboratory animal veterinarian early in the project design stage to determine the appropriateness of specific species as models for the research and appropriate procedures to be used on the animals in the course of the research.

2.13.04 Research Involving Questionnaires And Surveys

Policy Number: 2.13.04

All questionnaires and surveys involving possible risk to respondents must be reviewed and approved by the Human Subjects Committee (See Section 2.13.02).

University researchers should notify their department heads and deans of questionnaires and surveys being distributed off-campus. Not infrequently the University, usually the President's office, receives inquiries concerning the legitimacy and appropriateness of such material, and will be in a better position to explain the research and its legitimacy if information is provided by the researcher in advance.

2.13.05 Secret (Classified) Research

Policy Number: 2.13.05
Recognizing that the values of openness in research and of academic freedom sometimes conflict, the Faculty Senate has established the following policy on secret or classified research.

1. All accepted projects will conform to Arizona and federal statutes.
2. No secret thesis or dissertation shall be accepted as the basis for any degree, and no academic credit shall be awarded for secret research.
3. No secret research or materials shall be considered in connection with appointments, reappointments, tenure, promotions, or merit pay raises.
4. Information will be made publicly available about all research awards, including the amount of funding, the time period, the title, the nature of the project, and the sponsor.
5. In rare instances, the goals and objectives of the University may best be served by waiving parts of this policy. In such instances, and with due consideration to the fact that they must be exceptional, parts of provision 4 may be waived by the Vice President for Research, after consultation with the Faculty Senate Research Policy Committee.

For purposes of this policy, secret material is defined as any material (a) which is restricted from public access, or (b) which cannot be submitted for publication in the open literature.

### 2.13.06 Ownership of Scientific Collections And Research Materials

**Policy Number:** 2.13.06

Investigators who use their own funds and their own time to develop collections retain the rights to those collections. All specimens and related research materials collected or acquired by students, staff, and appointed personnel with the use of University funds or services automatically become the property of the University, but the University reserves the right to reject such materials. By accepting a collection, the University assumes responsibility for its curatorial care and storage. Exceptions to these policies are best agreed in writing between the investigator and the appropriate University officer, usually the Vice President for Research, before work is begun.

Investigators who leave the University may request permission to remove all or part of a University collection they have developed. Such requests should be made to the appropriate department head, dean, and the Vice President for Research.

### 2.13.07 Patents

**Policy Number:** 2.13.07

**Revised Date:** September, 2002

University's rights and procedures regarding patented and patentable discoveries are delineated online as follows:

- Arizona Board of Regents' Intellectual Property Policy 6-908
  [http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-908](http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-908)
- The University of Arizona Interim Intellectual Property Policy

### 2.13.08 Right To Income From Publications

**Policy Number:** 2.13.08
The University of Arizona encourages and aids appointed personnel members in publishing textbooks and other professional works. The University does not claim any portion of the royalties accruing from these publications when the publisher is a publishing house of recognized standing and has secured copyright.

2.13.09 Policy And Procedures for Investigations of Misconduct In Scholarly, Creative, And Research Activities

Policy Number: 2.13.09

Revised Date: April, 2007

I. INTRODUCTION

A community of scholars and researchers has an obligation to itself and to the general public to exercise integrity and ethical behavior in scholarly and research activities. The primary responsibility for scholarly and research integrity rests with the individuals who perform research

and undertake scholarship and other creative endeavors at The University of Arizona (hereafter "University"). Therefore, to ensure its obligations to the public, to the community of researchers and scholars at the University, and to the state and federal agencies involved in supporting, monitoring and partnering with the academic community, the University promulgates this Policy.

A. SCOPE

This Policy applies to all scholarship, research, and creative endeavors conducted at or for the University, whether by faculty, scientists, trainees, technicians, staff members, students, fellows, visiting scholars, guest researchers, consultants, or collaborators, and whether or not the research is funded. Even if the individual against whom an allegation of misconduct in scholarly, creative and research activities (hereafter simply "misconduct") is made ceases to be engaged in services or responsibilities at or for the University, this Policy may nevertheless apply to determine whether the individual engaged in misconduct while at the University. If allegations are made that involve scholarship, research, and creative endeavors conducted prior to commencing services at or for the University, the Policy may likewise be used to determine whether the individual against whom an allegation is made has committed prior misconduct that may warrant any sanction or alteration in the individual's status at the University.

B. GUIDING PRINCIPLES AND PROCEDURAL GUIDELINES

1. Researchers and scholars will maintain and further the highest standards of ethical practices in scholarship, research and creative endeavors. Individuals will exercise integrity in conducting research, recording and reporting results; they will take care in the execution of scholarship and research, and promote fairness in the recognition of the work of others.

2. Researchers and scholars will be responsible for the integrity of their own scholarship and research, and for the integrity of the scholarship and research conducted by those they supervise.

3. Researchers and scholars will keep timely, complete, thorough, and verifiable records, and will preserve those records as required by law and/or policy, acknowledging that all records of research conducted at the University remain the property of the University.

4. Anyone who witnesses or has reason to believe misconduct has occurred will report the alleged misconduct to the University Research Integrity officer (hereafter " RIO"). If an individual is unsure whether a suspected incident falls within the definition of misconduct as defined in paragraph C.4. below, then s/he will contact the RIO to discuss the suspected misconduct informally. If the circumstances or conduct do not meet the definition of misconduct, but may fall under the provisions of other University policies, then the RIO will refer the individual to appropriate University offices or officials with responsibility to resolve such matters.

5. University personnel assigned to address alleged charges of misconduct will do so in a fair and objective manner, respecting the rights of all involved.

6. All individuals involved in scholarly activities and research will participate in educational activities or workshops within their colleges and/or the University that are designed to inform the campus community of its obligations under this Policy, under other
University policies related to research and scholarly activities, and under federal and state statutes, regulations, and guidelines for conducting research.

7. All University employees, whether paid or unpaid, will cooperate with the RIO and other institutional officials who review allegations and conduct Inquiries and Investigations. Upon reasonable request employees are obligated to provide relevant evidence to the RIO and other institutional personnel charged with investigating allegations of misconduct.

8. No one will make false allegations or bring bad faith or malicious charges against any individual, or retaliate against anyone who brings a good faith charge of misconduct, even if the allegation cannot be confirmed. An allegation made with reckless disregard for or willful ignorance of facts that would disprove the allegation is not a good faith allegation. Making false allegations or bringing bad faith or malicious charges also constitutes misconduct, which the University will address under existing policies. Individuals reporting misconduct are entitled to protection from reprisal for whistleblowing, as described in other University policies, in a manner consistent with state and federal requirements.

9. Should it be necessary to extend any deadline beyond that which this Policy requires, the requesting party must ask the RIO for an extension, citing the reason for the request. Extensions may be granted only for good cause. No extension will be granted if doing so will prolong the period between the initial Investigation and the transmittal of the final report from the Provost to the Respondent and the President. The RIO must document the reasons for granting any extension and notify Respondent of same.

10. The University recognizes that, when making an allegation of research misconduct, or when such an allegation has been made against a researcher, the reputation of both the complainant and the Respondent may be tarnished. Therefore, if at any stage of an Investigation, either the RIO, VPR or Provost determines that the evidence presented does not meet the evidentiary standard to support a finding of misconduct or if, after an investigation, the Provost disagrees with a Committee's recommendations with respect to the misconduct, then the University, including the RIO, VPR and the Provost, will undertake diligent efforts to restore the reputations of persons alleged to have engaged in misconduct. They also will make diligent efforts to protect the positions and reputations of those persons who, in good faith, made those allegations.

C. DEFINITIONS

1. **Complainant:** a person who in good faith makes an allegation of misconduct in scholarly, creative or research activity.

2. **Conflict of Interest:** the real or apparent interference of one person's interest with the interests of another person, where potential bias may occur due to prior or existing personal, professional or financial relationships. Generally, differences of professional opinion held in good faith and without prospect of financial gain should not be construed as conflicts of interest.

3. **Employee:** an individual who is employed by the Arizona Board of Regents/University under classifications "faculty," "classified staff," or "academic, administrative or service professional", as those terms are defined in the University Handbook for Appointed Personnel, the Arizona Board of Regents' Policy Manual, and the Classified Staff Human Resources Policy Manual, whether the individual is paid or unpaid. Employees comprise student employees and graduate students, including instructors, as well as any individual who represents or acts on behalf of the University and whose actions may bind the University.

4. **Misconduct:** fabrication, falsification, or plagiarism in proposing, performing or reviewing scholarly, research or creative endeavors, or in reporting research results or the results of creative endeavors. Misconduct does not include honest error or differences in interpretation or judgments in evaluating research methods or results or differences of opinion.

   - **Fabrication** is making up data or results and recording or reporting them.
   - **Falsification** is manipulating research or scholarship materials, equipment, or processes, or changing or omitting data or results such that the scholarship or research is not accurately represented in the record.
   - **Plagiarism** is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

5. **Findings of Misconduct** require that:

   - There is a significant departure from accepted practices of the relevant research or scholarly community; and
- The misconduct is committed intentionally or knowingly or recklessly; and
- The allegation is proven by a preponderance of the evidence.

6. **Inquiry**: a process involving preliminary information-gathering and preliminary fact-finding by the RIO when someone makes an allegation of misconduct under this Policy, which the RIO believes is sufficiently credible and specific to identify potential evidence of misconduct and to determine whether an allegation of misconduct under this Policy warrants an Investigation.

7. **Investigation**: a process to formally develop a factual record and to examine that record leading to a decision: (1) either to make a recommendation that misconduct occurred, which may include a recommendation for other appropriate actions, as well as possible administrative actions; or (2) not to make a finding of misconduct.

8. **Preponderance of Evidence**: that quality of evidence which, when fairly considered, produces the stronger impression, and has the greater weight, and is more persuasive regarding the truth than the evidence presented in opposition. Any fact required to be proven under this Policy shall be proven by a preponderance of the evidence.

9. **Pre-inquiry**: an initial assessment by the RIO of an allegation of misconduct presented by a Complainant that might warrant further Inquiry.

10. **Respondent**: the person or persons against whom allegations of misconduct are directed and who is the subject of a misconduct Inquiry or Investigation.

11. **Research**: all scholarly basic, applied, and demonstration research and creative endeavors.

II. PROCEDURAL OVERVIEW

A. RESEARCH INTEGRITY OFFICER

The Vice President for Research (VPR), in consultation with the President, under the provisions of shared governance, will appoint the RIO, who will have primary responsibility to implement the procedures set forth in this Policy. The RIO will assist the Inquiry Panel(s) and, if necessary, the *ad hoc* Investigative Committee(s) and other personnel to carry out this Policy. S/he will implement any applicable standards imposed by compliance entities or government or external funding sources. As part of this assistance, the RIO will be responsible for evaluating whether applicable federal or state regulations mandate further investigation of allegations of misconduct. The RIO will notify research sponsors when the University initiates a formal Investigation in accordance with applicable law and regulations. Likewise, the RIO will notify research sponsors in the event that an Investigation, once initiated, is terminated prematurely, together with the basis for that decision.

The RIO is responsible, at any stage of an Inquiry or Investigation, for complying with reporting requirements imposed by the research sponsor and for taking appropriate interim action to protect its funds or funds provided by third parties, including federal funds.

In the case of federal sponsorship, the RIO also is responsible to ensure that the University fulfills the purposes for which the federal financial support has been provided, including, among other things, any required reporting to the office of Research Integrity (hereafter "ORI") of the Department of Health and Human Services, the National Science Foundation, or any other applicable agency. In particular, the RIO will notify the appropriate federal agency at any stage of an Inquiry or Investigation if: (1) there is an immediate health or safety hazard; (2) there is an immediate need to protect federal resources; (3) the allegation involves a matter of public health (e.g., a clinical trial); (4) there is a reasonable belief that a criminal violation has occurred that must be reported within 24 hours of obtaining the information; (5) there is an immediate need to protect the interests of the Complainant or of the Respondent, or any co-investigators or associates; or (6) it is probable that the alleged incident is going to be publicly reported.

The RIO will report anticipated delays in the investigation process and will notify the appropriate funding agency or agencies of the outcome of a formal Investigation. Any Inquiry Panel or *ad hoc* Investigative Committee appointed under this Policy will apprise the RIO of information the Panel or Committee receives related to any of these reporting requirements.

B. ALLEGATIONS OF MISCONDUCT
Anyone with a good faith belief that a person subject to this Policy has engaged in misconduct under this Policy should submit a detailed, written report to the RIO. If the RIO believes that s/he has a conflict of interest with respect to the allegation, then the RIO will refer the Complainant to the Provost, who will appoint a substitute RIO to carry out the duties set forth below. If a Complainant makes a verbal report of misconduct, then the RIO should request the Complainant to make a written report. If the Complainant makes the report orally and declines to make a written report, then the RIO, if persuaded of the seriousness of the allegation(s), will prepare a written report. The RIO will inform the Complainant of current University and ABOR policy on Protection of Employees from Reprisal for Whistleblowing.

C. ANONYMOUS ALLEGATIONS

Members of the University community may contact the RIO at any time to ask questions about misconduct or complaint procedures without disclosing their names and without filing an allegation. However, because of the inherent difficulty in investigating and resolving allegations from unidentified persons, the University encourages individuals to make only attributable allegations about misconduct.

The University will respond reasonably to all allegations of misconduct under this Policy. To determine the appropriate response to an anonymous allegation, the University will weigh the following factors:

- The source, specificity and nature of the information provided;
- The seriousness of the alleged conduct;
- The objectivity and credibility of the source of the report;
- Whether other individuals potentially can be identified who were privy to the alleged misconduct; and
- Whether those individuals are willing to pursue the matter.

If based upon these factors it is reasonable for the University to investigate the matter, then the RIO will proceed in the same manner as with allegations by a known Complainant.

D. PRE-INQUIRY BY THE RESEARCH INTEGRITY OFFICER

Upon receipt of a written or verbal complaint of misconduct under this Policy, the RIO will conduct a Pre-inquiry to determine whether a possible violation of Policy exists. The Pre-inquiry must be completed within 30 days of receipt of the complaint. If the RIO believes that the allegation does not constitute a violation of this Policy, then the RIO may dismiss the matter without further inquiry. If appropriate the RIO will notify the Complainant and Respondent of this decision in writing. If the complaint appears to raise issues other than misconduct under this Policy that other University offices could address more appropriately, then the RIO will refer the Complainant to those offices for consultation.

Although the University has a duty to consider all complaints of misconduct under this Policy, when complaints relate to misconduct that allegedly occurred more than 6 years prior to the allegation, the RIO will take the staleness of the allegation into consideration when determining whether to initiate an Inquiry.

E. NOTIFICATION; PRESERVATION OF EVIDENCE AND THE RESEARCH RECORD

1 Notification of Respondent, VPR, Respondent’s Dean, Department Head and Chair of UCEC.

Upon receipt of allegations reasonably evidencing misconduct, the RIO will immediately notify the Respondent, VPR, Respondent’s Dean, Department Head, and the Chair of the University Committee on Ethics and Commitment (UCEC). Such notification must take the form of a written statement of the alleged violation of this Policy and must include the specific allegations raised by the Complainant.

- Preservation of Evidence and the Research Record.

The RIO will promptly take all reasonable and practical steps to obtain custody of the research records and other relevant evidence deemed necessary to conduct an Inquiry or Investigation contemplated by this Policy, inventory the records and evidence, and sequester them in a secure manner in accordance with established procedures for sequestering evidence of misconduct. If the
research records or evidence encompass scientific instruments shared by a number of users, then custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.

The RIO will prepare a list of all original research records and materials relevant to the allegation in the presence of or with the assistance of Respondent, if possible. Respondent will cooperate with the RIO to obtain and preserve that evidence. In a case where the Respondent is unwilling or unable to cooperate, the RIO will preserve the evidence without the Respondent's assistance. The RIO will note Respondent's unwillingness or inability to cooperate and will also note any other impediments to constructing the record of the Inquiry or Investigation.

The RIO will note the destruction, Respondent's failure to provide records adequately documenting the questioned research as evidence of misconduct where the RIO establishes by a preponderance of the evidence that Respondent intentionally, knowingly or recklessly: ( 1) had research records and destroyed them; ( 2) had the opportunity to maintain the records but did not do so; or ( 3) maintained the records and failed to produce them in a timely manner, and the RIO determines that Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.

The RIO will maintain all laboratory notebooks, computer files, research and funding records, and other materials in a secure environment for the duration of the process. This includes computers, computer programs and the contents of computers belonging to, leased by or under the control or jurisdiction of the University, wherever located. The RIO will make copies of this potential evidence available on Respondent's written request so that, if appropriate and possible, the Respondent may continue his or her scholarship, research or creative endeavors. The RIO also will maintain files of all documents and evidence gathered in the course of any Inquiry or Investigation, and will maintain the security and confidentiality of those files, to the extent permitted by law or required by the sponsor and as necessary to protect the identity of human subjects.

III. INFORMAL RESOLUTION

If at any time the University and the Respondent conclude that charges of misconduct under this Policy may be resolved in a manner satisfactory to the University, the research sponsor and the Respondent, then the University may enter into an appropriate agreement, subject to the approval of the Provost, in consultation with the VPR, and where appropriate, subject to the required approval of ORI or other appropriate agency. In such instances, the resolution must address the interests of all affected parties.

IV. INQUIRY

PURPOSE OF THE INQUIRY

The purpose of the Inquiry is to gather information and make preliminary findings of fact when the RIO believes an allegation of misconduct is sufficiently credible and specific to identify potential evidence of misconduct, and to determine whether an allegation of misconduct under this Policy warrants an Investigation.

B. INQUIRY PROCESS

If the RIO determines that the complaint merits further investigation after completing the Pre-inquiry, then s/he will request that the Chair of the UCEC appoint an Inquiry Panel to conduct an Inquiry as set forth below. The Chair of the UCEC will appoint an Inquiry Panel composed of three UCEC members. In the event that a member of the UCEC does not have expertise in a discipline relevant to the Inquiry, then the Chair, in consultation with the RIO, may appoint an ad hoc member of the Inquiry Panel with such expertise. No member of the Inquiry Panel will have either a real or apparent conflict of interest in conducting the Inquiry. If a panel member has a conflict of interest, then the Chair of the UCEC will excuse that member and appoint a substitute.

The Inquiry will consist of information-gathering and fact-finding to determine whether an allegation of misconduct under this Policy warrants an Investigation. The Inquiry ordinarily will include interviews of the Complainant, the Respondent, and any other individuals (witnesses) possessing relevant information. The interviews must be recorded or transcribed, and thereafter provided to the witness for correction. The recording or transcript of such interviews shall be included with the record of the Inquiry and Investigation, if one ensues. The Inquiry Panel also will review any supporting documentation. The Inquiry, including preparing the
written report, must be completed within sixty (60) calendar days after the UCEC Chair receives notice of the allegations, unless circumstances clearly warrant a longer period.

C. FINDINGS, CONCLUSIONS, RECOMMENDATIONS; NOTIFICATIONS

1. Investigation Required.

The Inquiry Panel will prepare a written report that describes the Inquiry process used and the evidence reviewed; summarizes the relevant interviews conducted; and sets forth the Inquiry Panel's findings, conclusions, and recommendations. The written report will assess whether sufficient evidence exists to warrant a formal Investigation. An Investigation will be warranted if: (1) a reasonable basis exists to conclude that the allegation falls within the definition of misconduct; and (2) preliminary information-gathering and preliminary fact-finding from the Inquiry indicate that the allegation may have substance.

The Chair of the Inquiry Panel will provide the Respondent with a complete copy of the preliminary report and also will provide the Complainant a copy of that portion of the report directly related to the evidence s/he presented. The Respondent and Complainant may comment on the preliminary report in writing within 5 days of receiving his/her copy. All written comments will become part of the final Inquiry report. The Panel Chair will provide the final Inquiry report, together with any comments, to the RIO.

Within ten (10) days of receiving the Inquiry Panel's report indicating sufficient evidence to warrant a formal Investigation, or if the RIO separately determines that applicable regulations require an Investigation notwithstanding the Inquiry Panel's recommendation to the contrary, then the RIO will notify the Respondent, the Complainant, the President, the Provost, the VPR, the Dean of the college in which the Respondent holds his or her primary appointment, and Respondent's Department Head, that the University will appoint an ad hoc Investigative Committee to initiate an Investigation.

If PHS funding is involved, then the RIO will notify ORI within thirty (30) days of receiving a report recommending an Investigation or after the RIO determines that an Investigation should take place. The RIO will provide ORI with the Respondent's name and position; a description of the allegations; the PHS support, including for example, grant numbers, grant applications, contracts, and publications listing such support; the basis for recommending that the alleged actions warrant an Investigation; and any comments on the report that the Respondent or Complainant makes.

- Investigation Not Required.

If the RIO determines that, based on the Inquiry Panel's findings and his or her own separate assessment, the charge does not warrant an Investigation, then s/he will notify the Respondent and Complainant in writing of the decision within seven (7) days. The RIO will direct that any reference to the charge in the alleged Respondent's personnel file be removed promptly. If the Inquiry Panel does not find any cause for further Investigation, but determines that the allegations raise s issues that another University office should address, then the Panel may recommend that the RIO refer the Complainant to that office.

After the RIO has circulated his or her decision not to initiate an Investigation, the Inquiry Panel Chair will send all materials gathered relating to the charge, together with the Panel's recommendation and any written comments, to the RIO, who will secure and preserve the records for at least seven (7) years.

V. INVESTIGATION

PURPOSE OF THE INVESTIGATION

The purpose of an investigation is to formally develop a factual record and examine that record to determine whether or not misconduct occurred, or to make a recommendation that it did not occur, and may include a recommendation for other appropriate actions, including administrative actions.

B. AD HOC INVESTIGATIVE COMMITTEE

If the RIO determines that an Investigation is necessary, then the University will establish a 9-member ad hoc Investigative Committee (the "Committee"), as follows: The RIO will appoint four (4) faculty members who, in the RIO's judgment, have the appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence. The RIO will select an additional two (2) members from names offered upon a recommendation from the Dean of the college in which Respondent holds his or her
primary appointment, who are familiar with or have training in the research or scholarly discipline, or who are familiar with or have training in the ethical and financial rules applicable to the particular research, scholarly work or other creative endeavors covered by the allegation. The Provost will appoint one (1) additional faculty member who either is familiar with or has training in the research or scholarly discipline or is familiar with or has training in the ethical and financial rules applicable to the particular research, scholarly work or other creative endeavors covered by the allegation, who will serve as Chair of the Committee. Members of the Inquiry Panel may not serve on the ad hoc Investigative Committee. After consulting with the other Committee members, the Chair of the Committee will select two (2) additional Committee members who have appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence. The two additional members ordinarily should be members of the general faculty of the University or another University under the jurisdiction of the Arizona Board of Regents (ABOR). In unusual circumstances, where warranted by the nature of the field or the allegations, outside scholars or persons with expertise in other areas may be included on the Committee where warranted by the nature of the field or allegations. The Committee may seek additional consultation from individuals outside of the ABOR system who have demonstrated expertise in the discipline or area of research or scholarship that is the subject of the Investigation.

No member will serve on the Committee if s/he has a conflict of interest. The RIO will notify the Respondent immediately of the names of the individuals who have been selected to serve on the Committee. The Respondent may make a written request to the RIO to disqualify a Committee member alleged to have a conflict of interest; however, the RIO will make the final decision related to a member's participation.

C. PRELIMINARY STEPS TO THE INVESTIGATION

The Investigation shall determine the responsible persons and the seriousness of the misconduct. If an Investigation reveals additional instances of possible misconduct, or if other Respondents are identified during the Pre-inquiry or Inquiry, then the RIO will decide whether to broaden the scope of the Investigation beyond the original allegation or whether s/he should initiate a new and distinct Inquiry. The Committee immediately will notify the Respondent in the event that the scope of the Investigation changes from the initial allegations. Any additional allegations will be specified in writing. At the Respondent's request, the Investigation will include a hearing at which evidence is introduced and witnesses are subject to direct and cross-examination. The Respondent must submit a written request for a hearing to the Chair of the Committee within fifteen (15) days of receiving notice that the University initiated an Investigation. The Investigation, including a hearing, if one is requested, and an Investigation report, should be completed within 120 days of the Committee's first meeting. The RIO, with the sponsoring agency's concurrence, must approve any extension to the 120-day period.

When requested by the Committee, the RIO will immediately secure any additional pertinent records that were not secured previously during the Inquiry. The Committee has the right and duty to access, secure, and preserve any relevant University document, record or tangible object, however maintained, and by whomever held. This includes computers, computer programs, and the contents of computers belonging to, leased by or under the control or jurisdiction of the University, wherever located. (Paragraph I.B.3.)

If the RIO reasonably believes that anyone would suffer serious harm if an individual involved in the matter were to continue his or her duties, then the RIO will request the VPR or the Provost, as appropriate, to take interim administrative actions, including but not limited to suspending individuals from participating further in the research project in question. Any such suspension will proceed under applicable personnel rules of the University and will not interrupt payment of salary.

D. FORMAL INVESTIGATION PROCESS

The Committee will begin its formal Investigation within thirty (30) days from receipt of the Inquiry report and recommendations from the RIO, who will charge the Committee regarding its obligations under this Policy. If Respondent requests a formal hearing, then the VPR will appoint a representative to act on behalf of the University at the hearing, and the hearing will begin not later than forty-five (45) days after the formal Investigation begins. During the Investigation, the Committee may consider all evidence it receives and will use its judgment in deciding what evidence is fair, relevant, and reliable. The Committee is not bound by formal rules of evidence applicable to courts of law.
The Committee may schedule a meeting with the Respondent to discuss the allegations in confidence, and schedule meetings with all relevant persons with whom the Respondent has collaborated. The Committee may conduct its interviews either by written questions or in person. Personal witness interviews either will be recorded or transcribed verbatim by a court-reporter, which recording or transcript thereafter will be provided to the witness for correction. The recording or transcript of such interviews will be included with the formal Investigation record. The Respondent has the right to respond in writing to the allegations, to appear before the Committee, and to provide names of any additional people with whom the Committee should meet to discuss the allegations. If the Respondent chooses not to participate in the investigation, then the Committee will proceed in his or her absence.

If the Respondent requests a hearing, then the Chair of the Committee will notify all parties of the scheduled hearing date at least thirty (30) days in advance of the hearing. For good cause shown, upon request of the Respondent or the University representative or on the Chair's own initiative, the Chair may reschedule or continue the hearing to another time. No fewer than ten (10) days before the scheduled hearing date, the University representative and the Respondent will exchange lists of witnesses and copies of documents to be introduced at the hearing. This 10-day rule does not limit the Committee’s right to question the parties and witnesses directly during the hearing.

The hearing will include opening statements by the University representative and Respondent, direct and cross-examination of witnesses, and closing arguments. The Respondent has a right to present testimony of witnesses, to cross-examine witnesses, and to present evidence, including documentary evidence. The University bears the burden of proving the fact of misconduct to the Committee by a preponderance of the evidence; Respondent has the burden of proving any affirmative defenses, such as “honest error,” or mitigating circumstances, by the same standard of proof.

Any University employee called to testify at a hearing is expected to testify and any University employee or University office with access to relevant documents is expected to produce them to the requesting party. If necessary, the Committee may compel the attendance and testimony of any University employee or student during an Investigation, except the Respondent. The Committee will make every reasonable effort to protect the Respondent and Complainant from third party inquiries about the Investigation; however, the Committee will inform Respondent of the identity of all witnesses the Committee contacts.

E. RECORD OF THE INVESTIGATION

The Committee will keep a written transcript or an audio-recording of the hearing, if Respondent requests one, or of any meetings at which it receives evidence or interviews witnesses. The University will provide the Respondent with a free copy of the transcripts or audio-recordings upon request. In addition to maintaining these transcripts or audio-recordings, the Committee will make and keep accurate and complete records, including originals or legible and complete photocopies, of all documents or records it obtains. The Committee will maintain a record of the manner in which such documents and evidence have been handled, in accordance with procedures established by the University for handling evidence of investigations under this Policy. The RIO will preserve the evidence of each Investigation for a minimum of seven (7) years in such a manner that it is not subject to unauthorized use or tampering.

F. REPORT OF THE INVESTIGATION

At the conclusion of the Investigation, the Committee will prepare a written report indicating the process of the Investigation, the Committee's findings, conclusions, and recommendations for an appropriate course of action. Specifically, the report will find whether or not either the Respondent or others engaged in misconduct in violation of this Policy, and with respect to each allegation, the facts and reasons for each of the findings and conclusions. The report will include adequate steps to meet the University's obligations to funding agencies, if any, to third parties affected by the violations, e.g., Journals. The report also may include recommended sanctions.

Within five (5) working days of completing its preliminary report, the Committee will provide the Respondent a complete copy of such report and will provide the Complainant a copy of that portion of the report directly related to the evidence that individual submitted. The Respondent may respond to the preliminary report either orally to the Committee or in writing within thirty (30) days of receiving his/her copy. The Committee will add, as an appendix to the final report, any written response the Respondent submits.
G. RESOLUTION AND OUTCOME

The Provost will consider the Committee's recommendations and, in consultation with the VPR, produce a written decision as promptly as possible, but no later than 120 days from the date the Investigation began, addressed to the Respondent. The Provost has the prerogative to accept, reject or modify all or any part of the Committee's report, conclusions, and recommendations based upon a preponderance of the evidence. The Provost will submit the decision to the President describing the Investigation and the basis for the decision, and will provide a copy of the decision, to the Respondent, the Respondent's Dean and Department Head.

In the event the Committee concludes that misconduct occurred in violation of this Policy and the Provost concurs, then the Provost will determine whether to notify other agencies or affected parties regarding the outcome of the matter. The Provost, in consultation with the VPR and the Dean of the college in which the Respondent holds his or her primary appointment, and the Respondent's Department Head, will impose appropriate sanctions, up to and including termination, in accordance with established University and ABOR policies.

H. RECONSIDERATION

A Respondent who is dissatisfied with the Provost's decision may request reconsideration of the decision by filing a written request with the Provost not later than fifteen (15) days following receipt of the decision. Any request for reconsideration must be based on one or more of the following grounds:

- irregularities in the proceedings, including any abuse of discretion or misconduct by the Committee or the RIO that deprived the Respondent of a fair and impartial hearing;
- newly discovered material evidence that with reasonable diligence could not have been presented to the Committee for consideration; or
- the decision is not justified by the evidence or is contrary to law.

If the Respondent requests reconsideration, then the Provost will issue a final decision within twenty (20) days of receiving that request, and will provide a copy of the final decision to the Respondent, the Respondent's Dean and Department Head. If Respondent makes no request for reconsideration, then the Provost's decision becomes final at the expiration of the fifteen-day period during which Respondent could have requested reconsideration.

VI. NOTIFICATION OF OFFICE OF RESEARCH INTEGRITY

At the conclusion of the proceedings under this Policy, the Provost will provide a copy of the Investigation Report (with attachments, appendices and appeals), along with the final decision, including findings and conclusions, and a statement of any administrative actions taken, to the ORI, if Respondent was supported by PHS grants.

VII. LEGAL REPRESENTATION

At his or her expense, the Respondent may employ and be accompanied by legal counsel during any interviews or meetings with the Inquiry Panel and ad hoc Investigative Committee. If the Respondent requests a formal hearing, then the Respondent is entitled, at his or her expense, to assistance or representation by an attorney at the hearing. The Respondent must inform the Chair of the Committee of such assistance or representation not less than fifteen (15) days before the scheduled hearing, at which time the University representative also is entitled to assistance or representation by an attorney at the hearing.

The General Counsel, or his or her designee, will advise the RIO, the Inquiry Panel, and the Investigative Committee on procedural and legal matters. The Inquiry Panel and Investigative Committee, through their respective Chairs, shall have the right to approach the office of the General Counsel for permission to obtain independent counsel.

VIII. CONFIDENTIALITY/PRIVACY CONSIDERATIONS
To the extent possible, consistent with fair and thorough procedures, and as allowed by law, University and ABOR Policy, disclosure of the names of persons involved in the Inquiry and Investigation processes, including the identity of the Respondent and the Complainant, will be given only to those who have a legitimate need to know. In addition, the Inquiry Panel and ad hoc Investigative Committee may request a recipient of confidential information to sign a confidentiality statement or to come to the Committee offices to review information that should not be copied or openly distributed.

IX. FURTHER ADMINISTRATIVE ACTION

Notwithstanding the results of any Investigation or disciplinary proceeding following a finding of misconduct within the University, the United States may, in its sole discretion, take additional action related to the same or different facts and allegations. Action taken by the United States may or may not be based upon the University Investigation and findings and is beyond the purview of the University. Members of the academic community will cooperate with any such federal Investigation.

On May 17, 2005, the Department of Health and Human Services promulgated final regulations related to research misconduct and investigations of such misconduct. 42 CFR 50 and 93, PHS Policies on Research Misconduct; Final Rule, Federal Register. This Policy has been amended to comply with those requirements. Other substantive and grammatical changes resulted from review and recommendations by the UA Research Integrity officer.

2.14 Retirement Status

Policy Number: 2.14

Revised Date: October, 2005

Appointed personnel may elect to participate in either the Arizona State Retirement System or the Optional Retirement Plan within the time limits established by statute. Eligibility for retirement varies depending upon the specific retirement plan requirements.

Persons who intend to retire should notify their department head, who in turn will notify the Human Resources Department by completing a termination report. Prior to retirement employees should also consult Benefits Services for an explanation of benefit options.

official University Retirement Benefits

To be eligible to receive official University retirement benefits, an individual must:
- Be considered in retirement status by any recognized State of Arizona retirement program in which the individual is participating;
- Be at least 50 years of age;
- Have completed five years of continuous, full-time employment in the Arizona University System (or approved leave of absence or long-term disability) immediately preceding retirement; and
- Have not been terminated for cause by the University.

Notwithstanding these provisions, university peace officers who have retired before age 50 pursuant to the provisions of the Arizona Public Safety Personnel Retirement System but have completed five years of continuous, full-time employment in the Arizona University System (or approved leave of absence or long-term disability) immediately preceding retirement shall also be eligible for this benefit.

### 2.15 Sales Solicitations (On-Campus) Unrelated To University Business

**Policy Number:** 2.15

Certain individuals have approval to sell items on campus in specific locations. Others, such as representatives of textbook publishing firms, have approval to solicit University employees at the employees' convenience. No solicitations of University employees for items unrelated to University business are permitted. This regulation applies to University employees engaged in sideline sales, as well as to outside salespeople.

### 2.16 Sexual Harassment

**Policy Number:** 2.16

**Revised Date:** December, 2009

The University of Arizona prohibits sexual harassment by all appointed personnel, staff and students. The Nondiscrimination and Anti-harassment Policy - Interim Revised, adopted December 9, 2008, is available online as follows:

- Policy on Sexual Harassment
  
  [http://policy.arizona.edu/sites/default/files/Nondiscrimination.pdf](http://policy.arizona.edu/sites/default/files/Nondiscrimination.pdf)

### Smoking and Tobacco Policy

**Policy Number:** 2.17

**Effective Date:** August 25, 2014

**Revised Date:** August, 2014

**I. PURPOSE AND APPLICABILITY**

The purpose of this Policy is to establish the University of Arizona's (University) commitment to protect the health of University faculty, staff, students, and visitors on its campuses and in its vehicles. This policy does not apply to personal vehicles. This Policy applies to students, employees, affiliates, associates, contractors, volunteers, and visitors. This Policy supersedes any other policy of the University on the same subject.

**II. POLICY**

The University is dedicated to providing a healthy environment for those who participate in University activities. In support of this goal, the University prohibits the use of products that contain tobacco or nicotine, including cigarettes, cigars, pipes, bidis, kreteks,
hookahs, water pipes, and all forms of smokeless tobacco. Littering campus with remains of tobacco or smoking-related products also is prohibited.

III. EXCEPTIONS

Smoking Cessation Products and Electronic Cigarettes

Smoking cessation products, such as nicotine patches, nasal sprays that contain nicotine, and nicotine gums are permitted. Devices that simulate smoking through inhalation of vapor or aerosol from the device, including e-cigarettes, e-cigars, e-pipes, or vape pens (referred to in this policy collectively as “e-cigarettes”) are not prohibited on campus but may not be used in campus buildings, athletic facilities, university vehicles, or parking garages, with the exception of in one’s own personal vehicle. E-cigarette use is prohibited within 25 feet of building entrances, exits, and fresh-air intake grills.

Controlled Research

Tobacco use may be permitted for controlled research with prior approval of the administrator responsible for the facility and, in the case of smoking, the University Fire Marshal. Smoke generated from research use or burning of tobacco will be controlled locally in a chemical hood or other exhaust system that provides 100% exhaust to the outside.

Educational Purposes

Tobacco may be used in classroom instruction/experiments. All educational purpose exceptions must be approved in advance by the Provost or the Provost’s designee.

IV. OTHER PERMITTED USES

Smoking and/or tobacco may be permitted for traditional, cultural, or religious uses, provided that such uses have been approved in advance by the Provost or the Provost’s designee.

V. COMPLIANCE

All University employees, students, visitors, guests and contractors are required to comply with this policy. Organizers of public events, such as conferences, meetings, public lectures, social events, and cultural events using campus facilities will be mindful of this Policy and encourage compliance.

University students, faculty, and staff who encounter someone who is violating this Policy are encouraged to respectfully inform that individual about the Policy and encourage compliance.

Concerns regarding violations of the Policy should be referred to the appropriate unit for review and action:

- Students will be referred to the appropriate college student affairs representative for educational resources with an emphasis on cessation.
- Employees, affiliates, associates, and volunteers will be referred to their respective supervisors for appropriate action.
- Contractors will be referred to their respective employers and/or Procurement and Contracting Services for appropriate action.
- Visitors and guests may be required to leave the campus if they fail to conform to the Policy.

The success of this Policy depends on the entire campus community and its members being willing to hold one another accountable. Whenever possible, concerns about tobacco and nicotine use should be respectfully addressed at the time such concerns arise. Individuals who are considering disciplinary action against an employee or student for violating this policy should consult with Human Resources or Student Affairs.

1 This policy applies to the University of Arizona’s main campus in Tucson, the Arizona Health Sciences Center, the Phoenix Biomedical Campus and UA South.

2.17.0 1 Complaints

Policy Number: 2.17.01
Complaints about non-compliance with this policy shall be made in writing to the dean, director, department head, or other administrator responsible for the building area in question.

Complaints may be anonymous, but must include specific information such as location, description of the problem, and names of persons involved if known.

In some circumstances, the smoking limitations outlined in this policy may fail to prevent environmental tobacco smoke from contaminating indoor air quality. The Department of Risk Management and Safety shall provide technical assistance for the evaluation of indoor air quality, and provide recommendations for improvement to the responsible administrator.

2.18 Visiting Scholars And University Guests

Policy Number: 2.18

The University may wish to take special note of visitors by designating them as Visiting Scholars (academic colleagues from other colleges or universities) or University Guests (other visitors). Nominations for Visiting Scholar status may be made by department heads, with the endorsement of the appropriate dean, to the Vice President for Research.

Visiting Scholars enjoy: (a) library privileges identical with those of the faculty; (b) the privilege of auditing classes without fee or record; (c) the privilege of attending and taking part in seminars; and (d) the use of laboratory and other space and facilities to the extent they are available. In addition, Visiting Scholars may purchase faculty parking permits and tickets to Artist Series events at faculty rates.

The status of University Guest may be proposed by a department head to the appropriate dean and recommended by the latter to the Senior Vice President for Academic Affairs and Provost. If the proposal is approved, the Senior Vice President for Academic Affairs and Provost will write a letter of welcome to the person concerned, extending the same privileges outlined for Visiting Scholars.

2.19 Protection of Employees From Reprisal for The Disclosure of Information

Policy Number: 2.19

Revised Date: September, 2002

See ABOR policy 6-914, Protection of Employees from Reprisal for Whistleblowing as follows:

- ABOR 6-914, Protection of Employees from Reprisal for Whistleblowing
  
  [http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-914](http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-914)

2.20 Nepotism

Policy Number: 2.20

ABOR-PM 6-704, Hiring of Relatives, states the following:

1. Persons related to each other may be employed at a university, except that no employee of a university may employ, direct the employment, promote, or direct the promotion, supervise the work, evaluate the performance, or influence the compensation of any person related to the employee within the third degree, or work for, arrange, suggest or be a party to the employment, or promotion of any person in consideration of the appointment or promotion of a person related to the employee within the degree provided by this section.

2. Persons related to each other may be employed in the same department or other comparable administrative unit except when
1. An employee is responsible for making decisions in personnel matters involving the appointment, retention or salary level of any person related to the employee within the third degree.

2. An employee is responsible for supervising, evaluating or auditing the work of any person related to the employee within the third degree.

3. Other circumstances exist which place an employee in a situation of actual or reasonable conflict between the interests of the university and that of any person related to the employee within the third degree.

An employee can be related to a person within the third degree either by affinity or consanguinity. Relationships to the third degree include: parents, parents-in-law, brother, sister, spouse, son, daughter, brother-in-law, sister-in-law, son-in-law, daughter-in-law, grandparents, great-grandparents, grandchildren, great-grandchildren, aunt, uncle, niece, and nephew.

Also, in the Arizona Revised Statutes 38-481, "Employment of relatives; violation; classification; definition,"

1. It is unlawful, unless otherwise expressly provided by law, for an executive, legislative, ministerial or judicial officer to appoint or vote for appointment of any person related to him by affinity or consanguinity within the third degree to any clerkship, office, position, employment or duty in any department of the state, district, county, city or municipal government of which such executive, legislative, ministerial or judicial officer is a member, when the salary, wages or compensation of such appointee is to be paid from public funds or fees of such office, or to appoint of any person in consideration of the appointment of a person related to him within the degree provided by this section.

2. Any executive, legislative, ministerial or judicial officer who violates any provisions of this section is guilty of a class 2 misdemeanor.

3. The designation executive, legislative, ministerial or judicial officer includes all officials of the state, or of any county or incorporated city within the state, holding office either by election or appointment, and the heads of the departments of state, county or incorporated cities, officers and board or managers of the universities.

Nepotism policy is also cross-referenced in Section 2.06.08, Conflict of Interest.

**2.21 Workplace Violence**

**Policy Number:** 2.21

**Revised Date:** September, 2010

Additionally, policies related to student behavior may be found at:

Student Code of Conduct:
[http://deanofstudents.arizona.edu/policiesandcodes/studentcodeofconduct](http://deanofstudents.arizona.edu/policiesandcodes/studentcodeofconduct)

Policy on Threatening Behavior by Students:
[http://policy.arizona.edu/threatening-behavior-students](http://policy.arizona.edu/threatening-behavior-students)

1. **Purpose and Coverage of this Policy**

The University of Arizona is committed to providing a safe and secure workplace for all employees, students and visitors. This policy confirms the University's commitment to prevent, reduce and manage violence to provide a safe environment in which to work and learn. It applies to students, employees, vendors and visitors at all University-owned, controlled or leased premises, including satellite locations, at any location at which University business is conducted, or at which employees, students, vendors or visitors represent the University, including while attending off-campus meetings, conferences, or while riding in University-owned or leased vehicles.

2. **Definitions**
1. "Employee" means part-time, full-time, temporary or permanent, student and graduate student employees, and other individuals acting as agents of the University, such as University affiliates and associates.

2. "Intimidating" means an intentional act that would cause a reasonable person to fear that s/he is in danger of injury or harm.

3. "Damaging property" means intentionally damaging or defacing or destroying property owned, controlled or leased by the University or its students, employees, vendors or visitors.

4. "Stalking" means an intentional or knowing course of conduct directed toward another person if that conduct either would cause a reasonable person to fear for the person's safety and that person in fact fears for his or her safety; or would cause a reasonable person to fear death and that person in fact fears death.

5. "Threatening" means expressing intent to cause harm.

6. "Workplace" includes all University-owned, controlled or leased premises, including satellite locations, at any location at which University business is conducted, or at which employees, students or visitors represent the University, including while attending off-campus meetings, conferences, or while riding in University-owned or leased vehicles.

7. "Violence" includes, but is not limited to: intentionally threatening; intimidating; physically injuring; stalking; damaging property; or referencing or using a weapon or firearm, unless the individual doing so is a certified law enforcement officer acting within the course and scope of his or her duties.

3. Policy

The University prohibits any form of violence by or against any employee, student, vendor or visitor to the University. Violating this policy will result in disciplinary action up to and including dismissal as unacceptable personal conduct and may also result in criminal prosecution. This policy also prohibits retaliation or harassment against anyone who makes a good faith report of a violation of this policy. The University will, to the extent permitted by law, protect the anonymity and safety of anyone who reports an act of violence, as defined by this policy.

The University prohibits individuals from making intentionally false or misleading reports of violence or threats of violence. Individuals who make such reports will be subject to disciplinary action up to and including dismissal under the University's disciplinary policies.

4. Reporting Incidents of Workplace Violence

Employees and students will report all incidents of workplace violence to the University of Arizona Police Department by dialing 9-1-1, to his or her immediate manager or supervisor, and to Human Resources. The University will, to the extent possible, handle reports of workplace violence confidentially, except to the extent necessary to communicate to individuals who need to know pertinent information so that they may take appropriate action. The University also may be required to report such incidents to comply with state and federal laws and regulations. The University will be sensitive and responsive to the potential for fear of reprisal by employees or students who report threats or acts of violence.

5. Responding to Reports and Acts of Violence

The University encourages all employees and students to assist in maintaining a safe and secure workplace, while recognizing the need to be alert to the possibility of violence by students, former students, employees, former employees, vendors and visitors. Individuals who receive reports of workplace violence must contact Human Resources for guidance and assistance in addressing such situations. Human Resources will review information it receives and may seek additional information as necessary. It also may convene the Threat Assessment and Management Team, as described below, for assistance in evaluating the potential of further violence, and making recommendations regarding appropriate disciplinary action. If an employee violates this policy, then the responsible supervisor will institute disciplinary action as appropriate after consulting with Human Resources and other University officials, as appropriate. If students violate this policy, then the Dean of Students office will institute appropriate disciplinary action against such students.
Human Resources will make efforts to support individuals affected by workplace violence by identifying appropriate resources for providing support and assistance.

6. Threat Assessment and Management Team

The University has established a multi-disciplinary Threat Assessment and Management (TAM) Team, which will meet as necessary to assist Human Resources or the Dean of Students in determining whether a specific individual constitutes an ongoing threat to the safety of an individual or to the workplace, and to make recommendations following incidents of workplace violence. The University engages the services of outside consultants, who are available to the TAM Team to assess such risks and assist in making recommendations.

2.22 Fair Labor Standards Act And Overtime Policy

Policy Number: 2.22

Revised Date: August, 2010

The University administers compensation in compliance with ABOR Policy and the Fair Labor Standards Act of 1938 (FLSA), as amended. Included in this federal law are regulations covering the federal minimum wage, employee time recordkeeping requirements, and jobs where an employee must receive overtime compensation after working 40 hours in a work week. In accordance with Arizona Revised Statute 23-351C (a), the University delivers pay to employees no later than five days after the end of the most recent pay period.

Definitions

- **Exempt** employees are paid an agreed amount for the whole job, regardless of the amount of time or effort required to complete the work, and do not record hours of work on the time record.

- **Nonexempt** employees are paid for each hour worked, and record each hour worked on the time record. If the employee works more than 40 hours in one work week, the employee is paid a premium of time and one-half, which is also referred to as overtime compensation.

- **Compensable Time** is also called work time. An employer must document a nonexempt employee's work time. In addition to regularly scheduled hours, work time can include overtime, certain types of travel time, training time and shift preparation/transition time.

- **Overtime** is time worked by nonexempt employees that exceeds the employee's normally scheduled work week. For full-time employees, overtime is time worked over 40 hours in a work week. For part-time employees, overtime is time worked over the established full time equivalency (FTE). (For a more complete explanation, see Options for Overtime Payment below.)

- The University **work week** is seven consecutive days commencing at 12:01 a.m. on Monday and ending 168 hours later at 12:00 midnight Sunday.

Exemption Status Overview

The Exemption Tests. The overtime provisions of the FLSA apply to employees in certain types of jobs. Employees who are not subject to the overtime provisions are considered "exempt." Employees considered "nonexempt" are subject to the overtime provisions of the FLSA. These standards apply equally to all classified staff jobs and all non-faculty appointed personnel jobs; the FLSA does not differentiate based on an employer's various employment types. To be exempt from the overtime provisions, an employee must meet ALL of the following FLSA tests:

1. perform certain duties as outlined in one of the "duties tests," AND
2. be paid over a minimum salary -- the "salary level test" -- $455 a week, AND
3. be paid on a salary basis as opposed to an hourly basis -- the "salary basis test."
Employees who practice law or medicine, or who teach are not subject to the salary level test and are always exempt. Student Group A/B/C employees are always nonexempt. Graduate assistants/associates are not subject to the FLSA.

There are six duties tests, and each test has specific requirements before an employee is exempt from the overtime provisions of the Act. The six duties tests follow:

1. the executive exemption test,
2. the administrative exemption test,
3. the professional exemption test,
4. the computer exemption test,
5. the outside sales exemption test, and
6. the highly compensated employee exemption test.

Additional information on the five duties tests is available on the Department of Labor Fair Pay website at http://www.dol.gov/whd/regs/compliance/fairpay/main.htm

**Job Title Exemption Status.** Classified staff generic job descriptions are maintained by Human Resources, the department responsible for assigning the FLSA exemption status for these job titles. Some classified staff job titles are exempt and some are nonexempt.

Non-faculty appointed personnel jobs must meet at least one of the FLSA duties tests and be exempt; jobs that do not meet at least one of these tests, and are therefore nonexempt, are more appropriately assigned to a classified staff job title.

**Employee Exemption Status.** Though a job title may be categorized as exempt from the overtime provisions, a particular employee in that same job title must be categorized as nonexempt if the employee does not meet the $455 weekly salary level test. To determine whether the employee meets the salary level test, use one of the following calculations.

When using an hourly rate: Employee's hourly rate x FTE x 40 hours

Example: $11.00/hour x 1.0 x 40 = $440.00/week - this employee must be nonexempt

When using an annual rate: (Employee’s annual rate x FTE) / 52 weeks

Example: ($40,000 x .50) / 52 = $384.61/week - this employee must be nonexempt

**Compensable Time (Work Time)**
The FLSA defines compensable time as time that an employee is required or permitted to work for the employer.

**Meal Periods.** Under the FLSA, bona fide meal periods of at least 30 minutes long generally are not compensable time if the employee is relieved completely from duty for the purpose of eating.

for most employees, the University of Arizona provides for a one-hour unpaid meal period each 8-hour workday. There may be circumstances where a department head designates certain positions as having paid meal periods.

**Breastfeeding Rest Periods.** Employees who are nursing are provided with reasonable unpaid break time to express breast milk after the birth of the child as long as providing such break does not unduly disrupt operations. The department head will make reasonable efforts to provide the employee a private location, not a restroom, for nursing and/or expressing breast milk. The regulation requires availability of the break time for one year after the child's birth, and department heads are encouraged to be flexible when developing a plan of support for an individual employee.

**Rest Periods.** Department heads have the authority, but are not required, to establish and permit rest periods for nonexempt employees of up to 15 minutes each four-hour work period. Rest periods are paid work time, and are included as work time on the employee time record.

Rest periods are not to be used 1) to offset late arrival or early departure from the work site, 2) to extend the meal period, or 3) to accumulate paid time off from one day to the next.
Training Time. Generally, when an employer requires or permits a nonexempt employee to attend training during the employee's regular work hours, the time is compensable time. Therefore, nonexempt employee training time is typically paid unless all four of the following criteria are met: a) attendance is outside of the employee's regular working hours; b) attendance is in fact voluntary; c) the course, lecture, or meeting is not directly related to the employee's job; and d) the employee does not perform any productive work during such attendance. Note: If the training is required by law and is outside of regular working hours, then the time is not considered compensable time.

Travel Time. In ordinary situations where a nonexempt employee commutes to and from the work site, the employee is not entitled to compensation for travel time.

1. Excluding normal commuting time, the general rule is that nonexempt employees should be compensated for all travel time unless it is overnight, outside of regular working hours, on a common carrier, where no work is performed.

2. Single-day out-of-town travel is considered compensable time, excluding normal commute home-to-work travel time.

3. Overnight out-of-town travel is compensable time when it cuts across the employee's workday. This is true for hours worked on regular working days during normal working hours and during the corresponding hours on nonworking days. For example, an employee regularly works from 8 a.m. to 5 p.m. from Monday through Friday. The employee travels on business to a location that requires two hours of travel time. The employee leaves Friday at 8 a.m., works the remainder of Friday and Saturday morning, and returns on Saturday at 2 p.m. The two hours of travel time on Friday and the two hours of travel time on Saturday are compensable time. Of course, the work hours on Friday and Saturday are also compensable time.

4. Regular meal period time is not considered compensable time.

5. Time the employee spends in travel away from home outside of regular working hours as a passenger on an airplane, train, boat, bus, or automobile and is free to relax, is not considered compensable time.

Overtime Approval of Overtime. Supervisors are responsible for authorizing and scheduling overtime in advance; therefore, a nonexempt employee shall not work overtime unless authorized in advance by his/her supervisor. Employees are expected to work overtime when requested to do so. Overtime will be used only after other alternatives have been explored, such as rescheduling priorities, reassigning work, re-balancing workloads, offsetting excess hours in one day with reduced hours in another day in the same work week, and revising the work schedule so that weekend work can be performed as a regular part of the affected work week.

Options for Overtime Payment. Generally, compensatory time off is the preferred means of compensating nonexempt employees for overtime hours worked.

When a nonexempt employee works more than his/her FTE, but less than 40 hours in a week, the employee must be compensated by one of the following methods:

1. Pay at the employee's regular rate of pay for each hour worked, or

2. Accrual of compensatory time at straight time for each hour worked.

When a nonexempt employee works more than 40 hours in a work week, the employee must be compensated by one of the following methods:

1. Pay at time and one-half of the employee's regular rate of pay for each hour worked over 40, or

2. Accrual of compensatory time at time and one-half for each hour worked over 40.

Maximum Compensatory Time Accrual. After a nonexempt employee has accrued 120 hours of compensatory time off (prorated by FTE), all subsequent overtime hours worked shall be paid in cash. Exceptions to this rule may be approved in writing by the Dean/Vice President in advance; however, in no case shall the accrual of compensatory time off exceed 240 hours (prorated by FTE). As compensatory time is an unfunded fiscal liability, department administrators may establish fiscally practical departmental
policies further limiting the accrual of compensatory time. Department administrators are responsible to ensure that compensatory time balances do not become excessive.

**Disposition of Accrued Compensatory Time.** Any compensatory time balance shall be paid to a nonexempt employee, at the employee's most recent rate of pay, upon termination, retirement or change of status from nonexempt to exempt.

**Allocating Value of Extra Effort for use During the Annual University Closure.** Exempt employees may contribute extra effort throughout the year with the express intent of receiving paid release time during the annual University closure. When an exempt employee moves to nonexempt status, the extra effort that was expended shall be reviewed by the employee and the supervisor. This extra effort is not considered on an hour-for-hour basis, but on the overall extra contribution during the period of exempt employment. The employee and supervisor should discuss the value of the extra effort and equate it to a number of hours of compensatory time off, which is processed according to current payroll procedures.

**Recordkeeping**  
Nonexempt employees must accurately record the number of hours worked each day on the employee time record. Exempt employees record either "presence at work" or "exceptions to regular work schedules" on the employee time record. Accurate record keeping of hours worked, compensatory time earned, and leave/compensatory time used is the joint responsibility of each employee and his/her supervisor.

**Responsibilities**  
**Supervisors, Business Managers:**
- ensure all employees are properly categorized as exempt or nonexempt
- ensure all employees have been trained on all applicable employee time recordkeeping requirements, in accordance with university and departmental standards
- ensure all nonexempt employees have been trained on university and departmental overtime policies

**Employees:**
- comply with all applicable employee time recordkeeping requirements, in accordance with university and departmental standards
- all nonexempt employees comply with university and departmental overtime policies

**Human Resources:**
- consults with units regarding management strategies for combining FLSA compliance with best management practices
- in partnership with FSO-Operations, provides training to the campus community on the FLSA
- maintains classified staff job descriptions

### 2.23 Pre-Employment Screening

**Policy Number:** 2.23  
**Revised Date:** February, 2015

**Introduction**  
In order to create a safe and secure workplace and to ensure that University of Arizona employees are qualified to perform the jobs for which the University hires them, the University will conduct pre-employment screening, including criminal background checks, on all finalists.

All employment offers are contingent upon the finalist's successful completion of the applicable pre-employment screening process as defined here.
Definitions

Criminal Record Background Check includes checks of motor vehicle license, court records, and criminal convictions based on identification and personal information provided by the finalist.

Finalist means any person in the group of individuals actually submitted to the hiring official for selection as a new hire or any employee of a university who seeks a transfer, a reclassification or a reassignment.

Fingerprint Based Criminal Record Background Check includes state and nationwide checks for criminal convictions based on the finalist's fingerprints.

Security- or Safety-sensitive Position means any position designated as a Security- or Safety-Sensitive position by a university due to applicable federal or state law or pursuant to rules or policies adopted by the Arizona Board of Regents or the University. These include, but are not limited to, the following types of positions:

- University administrators and others with significant financial oversight responsibilities (president; provost; vice provosts; deans; vice presidents; assistant and associate vice provosts, vice presidents and deans; department heads; department directors; and business managers).
- Positions that have unsupervised contact with minors who are not enrolled students of the University.
- Positions that have direct access to Select Agents, as defined by the USA PATRIOT Act of 2001 and the Public Health Security and Bioterrorism Preparedness Response Act of 2002, except where excluded by law because the Principal Investigator does not, at any time, exceed the Select Agent regulatory threshold quantities specified under the applicable regulations.
- Positions with unrestricted access to residence hall rooms.
- Other positions designated by a dean or vice president as "Security- or Safety-Sensitive." A dean or vice president may designate a position "Security- or Safety-Sensitive" by notifying and justifying to the Vice President for Human Resources that the position's responsibilities may expose the University to significant liability. The Vice President may consult with knowledgeable subject experts as appropriate to the circumstances of the proposed hire.
- Employees of the University of Arizona Police Department (UAPD). Pre-employment screening for these individuals shall be conducted in accordance with UAPD hiring protocols.

Standard Pre-Employment Screening

Prior to extending an offer of employment (including internal hires): The hiring authority or a designee will check and verify the following information:

- professional references,
- educational credentials,
- employment history and past performance,
- professional license or certification (if required)

Human Resources will arrange the following records checks:

- motor vehicle
- criminal background
- commercial driver's license (if applicable)

Criminal Background Check Application

A fingerprint-based criminal record background check is conducted on all finalists, both internal and external, for Security- or Safety-Sensitive positions, and on all finalists who have disclosed a prior felony conviction on the employment application.

A name-based criminal record background check is conducted on all finalists, both internal and external, for all other positions.
When a finalist for a change of position (such as reclassification, promotion, transfer or other similar change) or a finalist previously employed by the University has had a criminal background check within the past twelve months equal to the criminal background check required of the new position, Human Resources may exempt the department from conducting a duplicate check at the time of the internal change or rehire.

**Background Checks for Non-Employees**
Currently, the University is not required to conduct criminal background checks on undergraduate and graduate student workers, affiliates, associates, or volunteers, unless such individuals perform a Security- or Safety-Sensitive job. Health sciences students, however, may be required to submit to criminal background checks in order to participate in training programs at University-affiliated institutions, under policies and procedures in effect at those institutions.

**Additional Requirements**
Additional pre-employment screening required by statute, contract or policy is not discretionary and is coordinated by Human Resources.

**Information Collection**
A signed authorization from the finalist is required before criminal background information or pre-employment identity verification may be requested. This information is collected during the application process. If a prospective employee refuses to provide such authorization, the individual is ineligible for consideration for employment.

**Information Evaluation**
Human Resources coordinates all criminal and motor vehicle records checks and the resulting reports. In considering whether to hire a finalist who has been convicted of a criminal offense, the University will consider the following factors:

- The relevance of a criminal conviction to job duties
- The date of the most recent offense and employment history since the commission of the crime
- The nature of the offense
- The accuracy of the information the finalist provided on pre-employment forms
- If the felony occurred when the individual was a minor, consideration will be given to whether the minor was treated as an adult for purposes of prosecution.

Any material misrepresentation or omission on any employment application materials, including but not limited to the job application, résumé or vitae, may be grounds for rejection of the application or termination of any subsequent employment with the University.

**Compliance with the Fair Credit Reporting Act**
In some cases, an outside vendor may uncover information that may disqualify a finalist from employment consideration. In such a case, the University will notify the finalist of the information and provide a minimum of five days for the finalist to refute, explain or correct the information.

**Record Retention**
Human Resources manages and retains criminal pre-employment screening information. Information collected on successful finalists is stored separately from the official employee files. Documents related to pre-employment screening information collected by hiring departments are filed and maintained in the departments and destroyed after three years, in accordance with the State of Arizona Records Retention Schedule.

**Information Release**
Criminal history record information is regarded as confidential and will be released only consistent with applicable law.

**Resources**
- [Pre-Employment Screening and Background Check Procedures](#)
2.24 Visitors In The Workplace

Policy Number: 2.24

Effective Date: June 1, 2006

The University workplace is a diverse environment of classrooms, offices, and laboratories where many different activities are performed. Visitors to the workplace are generally welcome, and in some settings even encouraged. However, appropriate precautions and limitations on visitation are necessary to protect health and safety, and to maintain productivity and regulatory compliance.

Hazardous Workplace

There are many workplaces where hazardous materials or equipment are located or where hazardous operations are conducted. These include laboratories, shops, farms, animal care facilities, and power plants. It is therefore necessary to restrict access to these areas for visitors, especially minors. For the purpose of this policy, hazardous areas are defined as any university operation or space where any of the following are present:

- chemicals or radioactive materials in use or storage,
- biological or infectious hazards,
- live animals,
- construction or renovation activities,
- utility equipment spaces, tunnels, rooftops, mechanical rooms, heavy machinery, cranes, high noise levels, electrical hazards, or
- other areas deemed hazardous by the host department.

Visiting adults who are not students or employees (visiting scientists, etc.) who work for two weeks or more in laboratories or other hazardous areas must receive safety training equivalent to that required for employees in the same environment. Documentation of training received from other employers or institutions may be accepted if approved by Risk Management and Safety. The host department is responsible for providing all visitors with specific safety instructions for local conditions and procedures, and for providing all necessary personal protective equipment. All safety training must be properly documented by the host department and kept on file in that department.

Visiting adults who are not students or employees (visiting scientists, etc.) who visit or work for two weeks or less in laboratories or other hazardous areas must at a minimum have local safety measures and emergency procedures explained to them, and must be provided with personal protective equipment appropriate to the environment being visited. Short-term visitors must be escorted and/or supervised by the host department at all times during their visit.

Children

In general, the workplace is not an appropriate place for minor children on a frequent or continuing basis, as children in the workplace create an atmosphere that may not be conducive to achievement of the unit's specific goals and objectives.

Special occasions that are employer-sanctioned and at which attendance by children is encouraged should be coordinated with and approved by the department. The employee's schedule for that day should take the child's presence into consideration to eliminate potential hazards.

Children may be brought to workplaces by parent employees for brief visits or other times when common sense would dictate that it is more efficient for the employee to bring the child into an office (following or before a physician's appointment, for example). The parent employee must supervise the child(ren) on such visits. It is generally not appropriate for children of any age to be in the
workplace on a regular basis, such as after school each school day or on regularly scheduled school holidays. Departments may implement an internal departmental policy allowing such visits.

The University recognizes that occasionally situations may arise that leave an employee with no acceptable alternative but to bring his or her child(ren) to work. In the event of an emergency, or if there are no other alternatives, parent employees may have children present in the workplace provided the parent secures prior departmental approval. Departments may implement an internal departmental policy allowing short-term visits by employees' children or may request employees to seek approval at the time of the visit. Such arrangements may be granted only in circumstances where safety issues (such as stairs and stairwells, automatically closing doors, open windows, office machines, etc.) have been satisfactorily addressed. This exception is not applicable to hazardous areas. Parent employees may not leave such child(ren) in the custody of another University employee, even for brief periods of time.

Minor children are not permitted as regular visitors in any hazardous area as defined above. Short-term visits may be authorized for approved guided tours or other reasons if appropriate precautionary measures are taken, and hazards have been fully controlled or removed during the visit. Direct adult supervision of children is required at all times in hazardous areas. Department heads may require additional safety measures prior to such visits, and may wish to require written parental consent authorizing the site visit.

Vehicles
As a general rule, all occupants of university vehicles must have an official purpose to ride in the vehicle. This may typically include employees, students, or participants in an official university program or activity that uses the vehicle. Parent employees who wish to bring children on field trips in University vehicles as program participants should consult with their departments to determine if their children can participate in the activity safely, and without disrupting or otherwise interfering with the program's purpose.

Animals
With the exception of service dogs or other service animals used to guide or assist persons with disabilities, employees may bring animals to University workplaces only with prior permission from the department head and only for official purposes.

2.25 Ineligibility for Reemployment

Policy Number: 2.25
Effective Date: June 1, 2006
Revised Date: July, 2013

Policy Statement
The University of Arizona is committed to creating an effective, safe and secure environment for those who live, learn and work here. Toward that end, the University may exclude from future employment former employees whose separation from the University occurred under any of the following circumstances:

1. Termination as a result of a University or Arizona Board of Regents (ABOR) policy violation; or
2. Resignation or retirement in lieu of termination as a result of a University or ABOR policy violation; or
3. Resignation or retirement when consideration of termination is pending as a result of a University or ABOR policy violation; or
4. During the course of an investigation of a University or ABOR policy violation.

Additionally, the University may exclude from future employment former employees whose separation from the University occurred for any reason when the University discovers after the employee's separation that the former employee violated a University or ABOR policy.

Notification and Review Process
On behalf of the University, the Vice President for Human Resources (VPHR) will notify the former employee in writing within thirty (30) business days after the employee's separation from employment (or thirty (30) business days after the University's post-separation discovery of a policy violation) that she/he will be ineligible for reemployment at the University. The former employee may seek a review of her/his ineligibility for reemployment from the VPHR in writing within ten (10) business days after receipt of the VPHR's notification. The former employee's request for review must include all information she/he wishes the VPHR to consider in seeking to reverse the ineligibility for reemployment. The University will notify the former employee in writing of its final determination on the former employee's ineligibility for reemployment within thirty (30) business days after receipt of her/his request for review. This determination will not be subject to further administrative review.

2.26 Interactions with Non-enrolled Minors

Policy Number: 2.26

This policy can be found at http://policy.arizona.edu/ethics-and-conduct/interactions-non-enrolled-minors.

3.1 Duties And Appointments of Faculty

Policy Number: 3.1

Revised Date: July, 2014

Each member of the faculty is appointed subject to the responsibilities detailed in ABOR-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 3.102.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

Policy Number: 3.1.01

Revised Date: July, 2014

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. 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.

3.102 Appointments of Nontenure-Eligible Faculty

Policy Number: 3.102
Revised Date: July, 2014

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. Adjunct titles are 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 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.

ABOR-PM 6-201 states that nontenure-eligible faculty members in 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, or assistant, associate, or full professors of practice. Multiple-year appointments of nontenure-eligible faculty require approval of the Provost. 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. 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, 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.
3.103 Additional Faculty Appointments And Titles

Policy Number: 3.103

Revised Date: July, 2014

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, 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 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 upon 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

Policy Number: 3.1.04
Revised Date: July, 2014

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

Policy Number: 3.2
Revised Date: July, 2014

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. For tenured faculty members, to fulfill ABOR-PM 6-201(H) post-tenure review; and
8. For nontenure-eligible faculty members with multiple-year appointments (such as assistant, associate, or full clinical or research professors, or assistant, associate, or full professors of practice) 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

**Policy Number:** 3.2.01

**Revised Date:** July, 2014

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, 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. The peer 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, a summary of the results of any peer evaluation will be communicated to the individual evaluated upon request when 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 nontenure-eligible faculty, peer review may be conducted by other nontenure-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. 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 include a summary of the results of the evaluation conducted by the peer review committee. If the faculty member is tenure-eligible, then this meeting will include a discussion of the faculty member's progress toward tenure and promotion.

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

6. 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.

7. If the faculty member disagrees with the evaluation, the faculty member may appeal as detailed in Section 3.2.03.

When an administrator or other individual holds more than one appointment involving administrative, professional, or other faculty assignments, 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

**Policy Number:** 3.2.02  
**Revised Date:** July, 2014

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 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
Note: The Classified Staff Human Resources Policy Manual is being converted into a user-friendly HTML format. Due to an unexpected delay in completion, this temporary PDF is provided for interim reference. It will be replaced shortly.

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

Policy Number: 3.2.03  
Revised Date: July, 2014

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 written annual performance review 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 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

Policy Number: 3.2.04  
Revised Date: July, 2014

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

Policy Number: 3.2.05  
Revised Date: July, 2014

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 unit 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

Policy Number: 3.2.06
Revised Date: July, 2014

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

Policy Number: 3.3
Revised Date: July, 2014

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

Policy Number: 3.3.01
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. 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 may 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 3.3.01a.
No later than the end of the third year in rank, 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 3.101b.

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 3.3.01b. 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 3.101g.

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 3.101b 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 being 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

Policy Number: 3.3.02
Revised Date: July, 2014

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 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. 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, and Provost.

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 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.

c. Levels of Review

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, 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. 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 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.

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

**Policy Number:** 3.3.03  
**Revised Date:** July, 2014

Nontenure-eligible faculty members in designated titles may be reviewed for promotion. Promotion may occur only after peer evaluation at the department and college levels. Promotion reviews may also be conducted of nontenure-eligible faculty in designated 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 appointments.

#### 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.

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 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’s decision on the promotion of a nontenure-eligible faculty member is not subject to further review or appeal.

d. Lecturers and Instructors

Promotion to lecturer, senior lecturer, or principal lecturer may be made at the departmental level 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.

e. 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.

f. 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.

g. 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

Policy Number: 3.4
Revised Date: July, 2014

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

Policy Number: 3.4.01
Revised Date: July, 2014

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

Policy Number: 3.4.02
Revised Date: July, 2014

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 tenure faculty member or (2) a tenure-eligible or nontenure-eligible faculty member prior to the expiration of an appointment.

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

The dismissal of nontenure 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

Policy Number: 3.4.03
Revised Date: July, 2014

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

Policy Number: 3.4.04

Revised Date: July, 2014

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

**Policy Number:** 3.4.05  
**Revised Date:** July, 2014

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.

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

### 3.4.06 Voluntary Release of Right To Continued Employment

**Policy Number:** 3.4.06  
**Revised Date:** July, 2014

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.

[http://azregents.asu.edu/rrc/PolicyManual/6-213-Voluntary%20Release%20of%20Right%20to%20Continued%20Employment.pdf](http://azregents.asu.edu/rrc/PolicyManual/6-213-Voluntary%20Release%20of%20Right%20to%20Continued%20Employment.pdf)

### 4A.1 Duties And Appointments of Continuing Status And Continuing-Eligible Academic Professional Employees

**Policy Number:** 4A.1  
**Revised Date:** July, 2014

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

Policy Number: 4A.1.01
Revised Date: July, 2014

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.

b. 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.

c*. *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.

d. 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.

e. 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.

f. 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. A
g. 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.

h. 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

i. 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. 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

Policy Number: 4A.2

Revised Date: July, 2014

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.

The evaluation procedures should pursue the following objectives:
1. 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 responsibilities.

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 to 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.

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

Policy Number: 4A.2.01

Revised Date: July, 2014

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 is to 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, 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. 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.

5. The continuing status or continuing-eligible academic professional employee provides comments as desired, signs the 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 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.

8. If the continuing status or continuing-eligible academic professional employee disagrees with the evaluation, he or she may appeal as detailed in Section 4A.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 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 promotion or continuing status 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, 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

Policy Number: 4A.2.02
Revised Date: July, 2014

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 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

Policy Number: 4A.2.03
Revised Date: July, 2014

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 of the written annual performance review 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

Policy Number: 4A.2.04
Revised Date: July, 2014

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 review committee, may 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

Policy Number: 4A.2.05
Revised Date: July, 2014

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).

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:

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

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

12. 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

Policy Number: 4A.3

Revised Date: July, 2014

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

Policy Number: 4A.3.01

Revised Date: July, 2014

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 the end of their third (or as adjusted for any approved delays) year of service, continuing-eligible academic professional employees will be informed by their immediate administrative head that they are being recommended for: (a) reappointment 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. Before the end of their sixth year (or as adjusted for any approved delays) of service, continuing-eligible academic professional employees will be informed 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.

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.

1. 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.

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 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 may provide supporting documentation to the Provost or, alternatively, the continuing-eligible academic professional employee 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 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.

1. 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.

4A.3.02 Promotion And Continuing Status Review Process

Policy Number: 4A.3.02
Revised Date: July, 2014

1. 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. If a department does not have sufficient continuing status academic professional employees 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 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 committees will normally 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.

1. 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. 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, the Provost, and the Faculty Center.

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.

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

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.

1. Decisions on Nonrenewal, Promotion, and Continuing Status

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.

1. 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

79
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 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 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

Policy Number: 4A.4
Revised Date: July, 2014

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

Policy Number: 4A.4.01
Revised Date: July, 2014

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

Policy Number: 4A.4.02
Revised Date: July, 2014

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

Policy Number: 4A.4.03
Revised Date: July, 2014

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

Policy Number: 4A.4.04
Revised Date: July, 2014

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 Nonrenewal or Denial of Promotion or Continuing Status

Policy Number: 4A.4.05
Revised Date: July, 2014

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.

4A.4.06 Release of Continuing Status And Continuing-Eligible Academic Professional Employees

Policy Number: 4A.4.06
Revised Date: July, 2014

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).

4B.1 Duties And Appointments of Academic Professional Employees

Policy Number: 4B.1

Revised Date: July, 2014

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

Policy Number: 4B.1.01

Revised Date: July, 2014

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

Policy Number: 4B.2
Revised Date: July, 2014

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.

The evaluation procedures should pursue the following objectives:

1. 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 their 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

Policy Number: 4B.2.01
Revised Date: July, 2014

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, 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. The academic professional employee provides comments as desired, signs the written evaluation, and returns it to the immediate administrative head within 10 days of the meeting described in 4B.2.01b.4 above. The signed 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 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, 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

Policy Number: 4B.2.02
Revised Date: July, 2014

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

Policy Number: 4B.2.03
Revised Date: July, 2014

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 written annual performance review 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

Policy Number: 4B.2.04
Revised Date: July, 2014

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

Policy Number: 4B.2.05
Revised Date: July, 2014

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 multi-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:
3. Describe specific deficiencies;
4. Provide a list of reasonable outcomes needed to correct deficiencies;
5. Describe the process to be followed to achieve outcomes;
6. Provide the timeline for accomplishing the process, including at least annual or more frequent reviews;
7. Describe benchmarks and expectations;
8. Describe the criteria to be used in evaluating progress in the plan;
9. Address the resources needed to facilitate the plan; and
10. Describe any alteration in job responsibilities that may be necessary to implement the plan.
11. The University will make reasonable efforts to provide appropriate resources to facilitate the plan's implementation and success.
12. 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

Policy Number: 4B.3

Revised Date: July, 2014

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

Policy Number: 4B.3.01
Revised Date: July, 2014

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

Policy Number: 4B.4
Revised Date: July, 2014

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

Policy Number: 4B.4.01
Revised Date: July, 2014

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

Policy Number: 4B.4.02
Revised Date: July, 2014

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

**Policy Number:** 4B.4.03  
**Revised Date:** July, 2014

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

**Policy Number:** 4B.4.04  
**Revised Date:** July, 2014

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

**Policy Number:** 4B.4.05  
**Revised Date:** July, 2014

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

Policy Number: 4B.4.06

Revised Date: July, 2014

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).

4C.1 Duties And Appointments of Service Professional Employees

Policy Number: 4C.1

Revised Date: July, 2014

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.101 Length of Appointments of Service Professional Employees

Policy Number: 4C.101

Revised Date: July, 2014
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

Policy Number: 4C.2
Revised Date: July, 2014

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:

1. 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 their 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

Policy Number: 4C.2.01
Revised Date: July, 2014

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 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.2.01b.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. 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 written evaluation, assignments, and expectations for the next annual review.

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

Policy Number: 4C.2.02

92
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
Policy Number: 4C.2.03
Revised Date: July, 2014

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 written annual performance review 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
Policy Number: 4C.2.04
Revised Date: July, 2014

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, his or her immediate administrative head or supervisor may initiate actions in accordance with University policy, which could include termination.

4C.3 Suspensions And Terminations of Appointments
Policy Number: 4C.3
Revised Date: July, 2014

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.3.01 Resignations
Policy Number: 4C.3.01
Revised Date: July, 2014
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.3.02 Suspensions or Dismissals**

**Policy Number:** 4C.3.02  
**Revised Date:** July, 2014  

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.3.03 Decisions On Nonrenewal**

**Policy Number:** 4C.3.03  
**Revised Date:** July, 2014  

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.3.04 Notices of Nonrenewal**

**Policy Number:** 4C.3.04  
**Revised Date:** July, 2014  

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.3.05 Reasons for Nonrenewal**

**Policy Number:** 4C.3.05  
**Revised Date:** July, 2014  

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.3.06 Release of Service Professional Employees

Policy Number: 4C.3.06
Revised Date: July, 2014

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).

5.1 Duties, Appointments, And Compensation of Administrative Personnel

Policy Number: 5.1
Revised Date: July, 2014

5.101 Duties

Policy Number: 5.101
Revised Date: July, 2014

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.

5.102 Appointments

Policy Number: 5.102
Revised Date: July, 2014

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

Policy Number: 5.103
Revised Date: July, 2014

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

Policy Number: 5.2
Revised Date: July, 2014

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

Policy Number: 5.2.01

Revised Date: July, 2014

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

Policy Number: 5.2.02

Revised Date: July, 2014
Administrators are assessed on their leadership in 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, acquiring and managing resources, building capacity by valuing excellence and diversity in staff and faculty development, and advancing innovations in research, teaching, and 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 by faculty and staff and other individuals in the administrator's unit on the leadership of the administrator;
- Assessments from internal and external collaborations;
- 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

Policy Number: 5.2.03

Revised Date: July, 2014

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

Policy Number: 5.3
Revised Date: July, 2014

This Section describes the criteria and process for assessing the performance of administrative personnel over a five-year period, describing a more comprehensive process for performance assessment than annual performance reviews and providing 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

Policy Number: 5.3.01
Revised Date: July, 2014

Five-year reviews of heads, directors, deans, vice presidents, 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. Leadership skills, including vision, collaboration, decisiveness, communication, credibility, and composure;
2. Collaborative skills involved in building internal and external relationships;
3. Management skills involved in responding to change, acquiring and managing resources, and improving operations;
4. 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
5. 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 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

Policy Number: 5.3.02
Revised Date: July, 2014

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 eight faculty members 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. 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, 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 elect four faculty members to serve on the review committee, including at least one faculty member from outside the unit. 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 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

Policy Number: 5.3.03

Revised Date: July, 2014

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.

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 reviews of the administrator, and the unit's strategic plan and performance benchmarks.

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 all other individuals who comprise the unit. 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 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.

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

**Policy Number:** 5.3.04  
**Revised Date:** July, 2014

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 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 other administrator to the individual's supervising administrator. 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

**Policy Number:** 5.4
Revised Date: July, 2014

This Section applies to resignations, removals, dismissals, suspensions, nonrenewals, and releases of administrative personnel. For further information, see ABOR-PM 6-10 1(G) and (H).

5.4.01 Resignations

Policy Number: 5.4.01

Revised Date: July, 2014

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

Policy Number: 5.4.02.

Revised Date: July, 2014

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

Policy Number: 5.4.03

Revised Date: July, 2014

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

Policy Number: 5.4.04

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.

6.01 Scope of Chapter

Policy Number: 6.01

This chapter applies to all grievances and complaints by or against appointed personnel of the University that are not provided for in Chapters 3, 4 and 5 of this Handbook. Those chapters set out rules and procedures for grievances and complaints concerning personnel matters, i.e., matters regarding appointment, performance evaluation, renewal, nonrenewal, promotion, continuing status, tenure, resignation, removal, suspension, dismissal, and releases due to institutional financial emergency or reorganization.

The rules and procedures in this chapter are established pursuant to the ABOR Conditions of Service and shall be construed so as not to conflict with any provision contained in those conditions or any provision contained in Chapters 3, 4 or 5 of this Handbook.

6.02 General Administrative Procedures

Policy Number: 6.02

All grievances or complaints by or against appointed personnel shall be filed with and addressed first by the immediate administrative head of the individual about whom the grievance or complaint is made. All grievances or complaints shall be filed in writing no later than 90 days from the date on which the grievant or complainant becomes aware of the matter which gives rise to the grievance or complaint, except for compensation.

Grievances or complaints regarding compensation shall be filed no later than 30 days from the date the grievant or complainant receives notice of the matter which gives rise to the grievance or complaint.

The administrative head shall review the grievance or complaint and develop any factual information required for a decision on the matter. The administrator may consult with standing committees or appoint a special committee or an individual to investigate the matter. The administrator shall communicate his or her decision in writing to the grieving or complaining party and to the party against whom the grievance or complaint is made, stating the factual basis and reasons for the decision.
Within 10 days after receipt of the administrator's decision, the grieving or complaining party may appeal the decision to the next administrative level. Additional factual development may be undertaken at the next administrative level if deemed necessary. The decision at that next administrative level is not subject to further administrative review except as otherwise provided in this chapter.

### 6.03 Unlawful Discrimination Review Procedures

**Policy Number:** 6.03

If a grievance or complaint contains an allegation of unlawful discrimination or other unconstitutional action and this aspect of the grievance or complaint is not resolved through administrative review under Section 6.02, the grievant or complainant may request the Provost's office to investigate the matter. Where such a request is made, an office of Institutional Equity or other appropriate investigation shall be conducted and a recommendation shall be made to the Provost that the matter be closed or that further action be taken to resolve the matter. The Provost may take any lawful action deemed appropriate to resolve the matter. The Provost's decision shall be final and is not subject to further administrative review.

### 6.04 Grievance Procedures

**Policy Number:** 6.04

**Revised Date:** February, 2011

If a grievance or complaint by a member of the General Faculty (as defined in Article II, Section I of the Constitution of the General Faculty of the University of Arizona) is not resolved through administrative review under Section 6.02 or Section 6.03, that individual may utilize the Grievance Policy and Procedures for Faculty found in Article VII of the Bylaws of the General Faculty of the University of Arizona.

If a grievance or complaint by a faculty member or professional employee who is not a member of the General Faculty is not resolved through administrative review under Section 6.02 or 6.03, the individual may file a petition with the Committee on Conciliation and, if conciliation is not possible, then subsequently with the Committee on Academic Freedom and Tenure (CAFT).

### 6.05 Protection of Employees From Reprisal for The Disclosure of Information: Review Procedure

**Policy Number:** 605

**Revised Date:** September, 2002

See ABOR policy 6-914 Protection of Employees from Reprisal for Whistleblowing as follows:

- ABOR policy 6-914 Protection of Employees from Reprisal for Whistleblowing
  [http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-914](http://www.abor.asu.edu/1_the_regents/policymanual/chap6/chap6_part2.htm#6-914)

### 7.0101 Statement On Professional Conduct

**Policy Number:** 7.0101

The following "Statement on Professional Conduct" was adopted by the Faculty Senate on January 4, 1971. Although the statement refers most often to faculty members, its principles also apply to administrative and professional personnel.
Membership in the academic community imposes on students, faculty members, administrators, and regents an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus.

As teachers, faculty members encourage the free pursuit of learning in students; hold before them as best they can the scholarly standards of the discipline; demonstrate respect for the student as an individual; adhere to the proper role as intellectual guide and advisor; make every reasonable effort to foster honest academic conduct and assure that the evaluation of students reflects their true merit; and respect the confidential nature of the relationship between faculty member and student.

The faculty, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. The faculty's primary responsibility to their subject is to seek and state the truth as they see it. To this end, the faculty devote their energies to developing and improving scholarly competence. The faculty member accepts the obligations to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge; and practices intellectual honesty.

As members of the broader community, the faculty have the rights and obligations of any citizen. Faculty members measure the urgency of these obligations in the light of their responsibilities to the subject, to students, to the profession, and to the institution. When the faculty speak or act as private persons, they avoid creating the impression of speaking or acting for the college or University.

In order to accomplish these goals, faculty members assume certain specific responsibilities:

1. To conduct each course they have been employed to teach in general conformity with the content, format, and official description of such course as established by the faculties and approved by the President and Board of Regents.

2. To meet and conduct classes at all regularly scheduled times and places. The President or a duly appointed representative may authorize a member of the faculty to be absent from classes or to reschedule the work for reasons of health or when in the best interests of the University.

3. To notify as promptly as possible the head of the department whenever emergencies such as illness or accident prevent meeting a scheduled class so that a replacement may be arranged.

4. To be engaged in undergraduate education and the education of graduate and professional students, as appropriate to the mission of each College and/or unit.

5. To establish individual relationships with undergraduate, graduate and professional students in the role of mentor and advisor, as appropriate to the mission of each College and/or unit.

6. To be committed to discharging their duties and responsibilities primarily on the campus of the University and other such sites as appropriate to the mission of each College and/or unit.

In addition to fulfilling the responsibilities listed in the above "Statement," faculty members are expected to support students in the following ways:

- By meeting and terminating classes at the scheduled times;
- By posting and keeping a schedule of office hours during which they are available for conferences;
- By advising students during orientation and registration.

They are encouraged to support students:

- By attending commencement exercises (in academic dress);
- By serving as advisors to student honorary and professional societies, and other student organizations and clubs.
7.01.02 Tutoring By Appointed Personnel

Policy Number: 7.01.02

Appointed personnel are not permitted to tutor University students for pay. With the approval of the department head, graduate and undergraduate assistants may tutor individuals or groups for pay provided that the students who are tutored are not enrolled in regular University sections or classes taught by the tutor, that the tutor has no advance knowledge of any examination to be given to the students being tutored, and that the tutor has no part in determining grades for any student whom he or she has tutored. University facilities used by persons tutoring for pay are subject to a nominal rental charge. The University does not furnish facilities for tutoring by persons who are not members of its faculty or staff.

7.02 Curriculum And Academic Programs

Policy Number: 7.02

Revised Date: July, 2005

Information on curriculum processes is available from the office of the Registrar as follows:

- office of the Registrar
  http://www.registrar.arizona.edu/curriculum/default.htm

Information on development of/changes to academic programs and organizational units is available from the office of Academic Affairs:

7.03.01 Admission of Students To The University

Policy Number: 7.03.01

All qualified students are welcome at The University of Arizona without regard to race, color, religion, sex, national origin, age, disability, veteran's status, or sexual orientation.

Information on undergraduate admission is available from the office of Admissions as follows:

- office of Admissions
  http://admissions.arizona.edu/

Information on graduate admission is available from the Graduate College or online as follows:

- Graduate College
  http://grad.arizona.edu/

Information on admission to the James E. Rogers College of Law is available from the college or online as follows:

- James E. Rogers College of Law
  http://www.law.arizona.edu/

Information on admission to the College of Medicine is available from the college or online as follows:

- College of Medicine Admissions office
  http://www.admissions.medicine.arizona.edu/

7.03.02 Course/Class Registration

Policy Number: 7.03.02
Complete registration instructions, procedures, and deadlines are detailed in the Schedule of Classes prior to the registration periods. A student is officially registered and eligible to attend classes only when all procedures have been completed, including payment of tuition and fees.

In addition to the basic information regarding registration, the Schedule of Classes is an essential source document for the fee schedule, academic and other student regulations and procedures, and the final exam schedule, as well as for course availability and offerings by term. The Schedule of Classes is available online as follows:

- Schedule of Classes
  https://uaccess.schedule.arizona.edu/psp/uaazaprd2/UA_SCHEDULE/HRMS/h/?tab=DEFAULT

### 7.03.03 Prerequisites for Courses

**Policy Number:** 7.03.03

Before approving the enrollment of a student in a course, the instructor must be satisfied that the student has met all prerequisites as described in the General Catalog.

### 7.03.04 Change of Schedule By Students

**Policy Number:** 7.03.04

**Revised Date:** September, 2001

Students may drop and/or add courses by following instructions and adhering to deadlines as published in the Schedule of Classes each semester. Information is available in the General Catalog as follows:

- General Catalog, Academic Policies (Drop/Add)
  http://catalog.arizona.edu/2013-14/policies/dropadd.htm

### 7.03.05 Auditors

**Policy Number:** 7.03.05

**Effective Date:** September 1, 2005

Audit is a registration status allowing students to attend a course without receiving credit. Information is available in the General Catalog as follows:

- General Catalog, Academic Policies (Audit Policy)
  http://catalog.arizona.edu/2013-14/policies/audit.htm

### 7.03.06 Minimum Class Size

**Policy Number:** 7.03.06

**Revised Date:** September, 2001

The minimum enrollment for courses numbered 500 and above is five students; the minimum for those numbered 400-499 is 12; and the minimum for those numbered under 400 is 15. The minimum size for 400/500 classes will be five graduate students or 12 students in total. Adherence to this policy is monitored at the college level and is managed by department heads.
7.04.01 General

Policy Number: 7.04.01

Revised Date: September, 2001

The University policy concerning student class attendance is available online in the General Catalog as follows:

- General Catalog, Academic Policies (Class Attendance and Administrative Drop)
  [http://catalog.arizona.edu/2013-14/policies/classatten.htm](http://catalog.arizona.edu/2013-14/policies/classatten.htm)

7.04.02 Excused Absence for Group of Students

Policy Number: 7.04.02

University policy, adopted by the Faculty Senate, governing excused absences for groups of more than three students is as follows:

1. Policy
   1. A student may be excused from classes for attendance at officially authorized functions in accordance with the authorization directives below and for regularly scheduled field trips announced in the General Catalog.
   2. The instructor shall accept such excuses and shall impose no penalty if the students have complied with the prescribed procedures for excused absence. Instructors should also notify persons in charge of their quiz or laboratory sections of these excused absences.
   3. Trips for groups of students shall be scheduled at times other than those days reserved for final examinations each semester.
   4. for trips during the semester, the approval of the academic dean as well as that of the Dean of Students must be obtained. Normally the deans will not give approval for students on academic probation.

2. Authorization
   1. When more than three students from a student group are involved, an official form, which may be obtained from the office of the Dean of Students, must be used.
   2. Using the official form, the adviser of a student group lists the students proposed as participants.
   3. Once or twice a semester the sponsoring dean checks the academic record of each participating student, eliminating those whose scholastic standing is not sufficiently high.
   4. The sponsoring dean then sends the list to the Dean of Students' office. Students traveling in University vehicles are covered by insurance; students who drive themselves in their own cars may not be covered. Questions about current policy should be directed to the office of Risk Management and Safety. Travel arrangements should be made known at the time the Activity Program Permit (or memorandum in case of field trips) is completed, and must be noted on the travel regulation line.

7.04.03 Field Trips

Policy Number: 7.04.03

Instructors who have field trips regularly scheduled as part of their courses should make application in advance for University transportation on special forms available from their department heads. Any field trips which are not scheduled in the General Catalog must be arranged in conjunction with the dean of the college concerned.
Instructors in charge of field trips must inform their students before any trip that a student arranging transportation other than that furnished by the University is not covered by University insurance until she or he arrives at the site and rejoins the group. Nonmembers of the class (e.g., friends, spouses) who go on a field trip are not covered by University insurance.

### 7.05 Removal of Students for Disturbances

**Policy Number:** 7.05  
**Revised Date:** September, 2005

An instructor may temporarily remove a student from a classroom for creating a disturbance. If an immediate danger exists, the instructor should call 911. The instructor must then file a Code of Conduct form for investigation and hearing. See Section 7.07.01 and contact the Dean of Students office for assistance. See also the Policy on Threatening Behavior by Students as follows.

### 7.06 Withdrawals And Undergraduate Leaves of Absence

**Policy Number:** 7.06  
**Revised Date:** September, 2002

Information regarding undergraduate leaves of absence and withdrawal from the University is available online in the General Catalog as follows:

- General Catalog, Academic Policies (Leaving the University)  
  [http://catalog.arizona.edu/2013-14/policies/leavingu.htm](http://catalog.arizona.edu/2013-14/policies/leavingu.htm)

Information regarding course withdrawal is available online in the General Catalog as follows:

- General Catalog, Academic Policies (Grades and the Grading System)  
  [http://catalog.arizona.edu/2013-14/policies/grade.htm](http://catalog.arizona.edu/2013-14/policies/grade.htm)

### 7.07.01 Code of Conduct

**Policy Number:** 7.07.01  
**Revised Date:** September, 2005

The Code of Conduct, ABOR-PM 5-301 to 5-308, applies to students, faculty, staff, administrators, and visitors. The Student Code of Conduct, ABOR-PM 5-308, applies to students. Student violations of the Code of Conduct are handled under procedures delineated by ABOR-PM 5-401 to 5-404, Student Disciplinary Procedures. Questions about the Code of Conduct or Student Disciplinary Procedures should be addressed to the Dean of Students office.

Information is available online as follows:

- Dean of Students office  
  [http://deanofstudents.arizona.edu/](http://deanofstudents.arizona.edu/)

The Code of Conduct is also available online as follows:

- Student Policies, Procedures and Codes  
7.07.02 Student Use of Facilities Outside of Official Hours

Policy Number: 7.07.02

The presence of graduate or undergraduate students in a classroom building during hours the building is not officially open is governed by regulations available in deans' offices. Briefly, the general policies are as follows:

1. Undergraduate students are not permitted in classroom or laboratory areas at times when buildings are closed, except for regularly scheduled class meetings, supervised studio and laboratory work, appointments with faculty members, and approved meetings of student organizations. Under special circumstances, certain undergraduate students may be given permission to be in classroom or laboratory areas when buildings are closed. Such students should possess an appropriately signed statement from the dean of the college in charge of the building concerned, or the head of the department responsible for the activity in which the undergraduate student is involved.

2. Graduate students may be present at times when buildings are closed provided they possess an official room privilege card specifying the particular building and particular rooms within that building which the student may use; or an appropriately signed statement from the dean of the college in charge of the building concerned, or the head of the department responsible for the activity in which the graduate student is involved.

7.08.01 Grading Systems

Policy Number: 7.08.01

Revised Date: September, 2001

The grading system used by The University of Arizona is available online in the General Catalog as follows:

- General Catalog, Academic Policies (Grades and the Grading System)
  [http://catalog.arizona.edu/2013-14/policies/grade.htm](http://catalog.arizona.edu/2013-14/policies/grade.htm)

7.08.02 Academic Standing

Policy Number: 7.08.02

Revised Date: September, 2001

Information concerning academic standing, progress, probation and disqualification is available online in the General Catalog as follows:

- General Catalog, Academic Policies (Academic Standing, Progress, Probation and Disqualification)
  [http://catalog.arizona.edu/2013-14/policies/aaindex.html](http://catalog.arizona.edu/2013-14/policies/aaindex.html)

7.08.03 Dishonest Scholastic Work (Plagiarism)

Policy Number: 7.08.03

Revised Date: September, 2005

The Code of Academic Integrity is available online as follows:

- Student Policies, Procedures and Codes
  [http://deanofstudents.arizona.edu/policies-and-codes/code-academic-integrity](http://deanofstudents.arizona.edu/policies-and-codes/code-academic-integrity)
7.08.04 Mid-Semester And Final Examinations

Policy Number: 7.08.04
Revised Date: September, 2002

Information regarding the scheduling of mid-semester and final examinations is available online as follows:

- General Catalog, Academic Policies (Semester and Final Examinations)
  http://catalog.arizona.edu/2013-14/policies/exams.htm

7.08.05 Reporting Final Grades To The Registrar And Students

Policy Number: 7.08.05
Revised Date: September, 2005

Information regarding final grade reports is available from the office of the Registrar as follows:

- Reporting of Final Grades
  http://www.registrar.arizona.edu/gradepolicy/reportgrades.htm

The manner in which final grades are posted should be in compliance with the federal Family Educational Rights and Privacy Act of 1974 (FERPA). Additional information is available online as follows:

7.08.06 Changes of Grades

Policy Number: 7.08.06
Revised Date: September, 2001

Information on changes of grades is available online as follows:

- Catalog, Academic Policies (Grades and the Grading System)
  http://catalog.arizona.edu/2013-14/policies/grade.htm

7.08.07 Grade Appeal

Policy Number: 7.08.07
Revised Date: September, 2001

Information on the grade appeal process is available online as follows:

- Catalog, Academic Policies (Grade Appeal)
  http://catalog.arizona.edu/2013-14/policies/gradappeal.htm

7.08.08 Undergraduate Course Syllabus

Policy Number: 7.08.08
Revised Date: September, 2005

The distribution of a course information sheet or syllabus is required for all University undergraduate courses. The syllabus is a statement of intent and serves as an implicit agreement between the instructor and students. [Note: Item #15 gives instructors
leeway to make certain changes.) It must be distributed (either as a hard copy or online) during the first week of classes, and a hard copy, available to students, must be kept in the department office for a period of not less than one year. The following minimum information should be provided:

1. Instructor's name, office/room number, telephone number, and email address;
2. Office hours or a statement of an "open-door" policy;
3. Overall course objectives and expected learning outcomes;
4. Grade policies;
5. Absence policies; in addition to the instructor's own absence policies, a statement should be included regarding the following kinds of excused absences:
   - All holidays or special events observed by organized religions will be honored for those students who show affiliation with that particular religion,
   - Absences pre-approved by the UA Dean of Students (or Dean's designee) will be honored.
6. List of required texts;
7. Number of required examinations and papers;
8. Policies regarding expected classroom behavior (e.g., use of pagers/cell phones);
9. Policies against plagiarism, etc., within Student Code of Academic Integrity: [http://deanofstudents.arizona.edu/policies-and-codes/code-academic-integrity](http://deanofstudents.arizona.edu/policies-and-codes/code-academic-integrity);
10. Policies against threatening behavior by students: [http://policy.arizona.edu/threatening-behavior-students](http://policy.arizona.edu/threatening-behavior-students);
11. Required extracurricular activities, if any;
12. Special materials required for the class, if any;
13. Notification, if the instructor believes necessary, warning students that some course content may be deemed offensive by some students;
14. Reminder to students who are registered with the Disability Resource Center that they must submit appropriate documentation to the instructor if they are requesting reasonable accommodations: [http://drc.arizona.edu/instructors/syllabus-statement](http://drc.arizona.edu/instructors/syllabus-statement);
15. A statement is permissible indicating that the information contained in the course syllabus, other than the grade and absence policies, may be subject to change with reasonable advance notice, as deemed appropriate by the instructor.

### 7.09 Resolution On College Governance

**Policy Number:** 7.09  
**Revised Date:** September, 2005

Each college will have an advisory committee or council of faculty members, elected by the faculty of that college, to provide a voice for the faculty in the governance of that college.

See also the Guidelines for Shared Governance as passed by the Faculty Senate April 4, 2005, as follows:

- Guidelines for Shared Governance  
8.01.01 Annual Leave

Policy Number: 8.01.01

A. Eligibility

1. Subject to certain exclusions noted in this and following sub-sections, appointed personnel employed 20 hours or more per week for a continuous period of not less than six months are eligible for paid annual leave.

2. An employee may not earn paid annual leave during (a) a sabbatical leave, (b) an extended military leave, or (c) a leave of absence without pay.

3. Computation of earned paid annual leave is based upon working full-time, eight-hour days. Eligible employees on any other work schedule will be granted a prorated number of paid leave days not to exceed the allowance for a regular work schedule.

B. Fiscal-Year Appointees

1. Full-time eligible employees on fiscal-year appointments are granted an annual paid leave allowance of 22 work days per year. Eligible employees employed less than full time receive an allowance prorated to the percentage of time paid.

2. Unused annual leave may be accumulated and carried forward from one year to the next to a maximum amount not to exceed one and one-half times the annual allowance. The number of paid annual leave days available to an employee at any given time will be the number of leave days carried forward from prior years plus the number of days earned during the current year. Excess annual leave hours are prorated based on the FTE and appointment (fiscal or academic) on the last day of the pay period which includes January 1. Excess annual leave hours will be forfeited if not used by the last day of the pay period which includes January 1.

C. Academic-Year Appointees

1. Faculty members employed on an academic year basis are not entitled to paid annual leave, nor shall they become entitled by virtue of summer session work or employment in special projects on a wage basis.

2. Eligible professional staff members and eligible administrators employed for something less than the full fiscal year will receive paid annual leave pro-rated to the period of their appointment, and are encouraged to use accumulated annual leave during semester breaks and nonclass periods. Annual leave may not be used during nonemployment periods.

3. Unused annual leave may be accumulated and carried forward from one calendar year to the next to a maximum amount not to exceed one and one-half times the annual allowance. The number of paid annual leave days available to an employee at any given time will be the number of leave days carried forward from prior years plus the number of days earned during the current year. Excess annual leave hours are prorated based on the FTE and appointment (fiscal or academic) on the last day of the pay period which includes January 1. Excess annual leave hours will be forfeited if not used by the last day of the pay period which includes January 1.

D. Appointments Terminated by Death or Other Causes

1. In the event that an eligible employee dies, the employee's estate shall be paid for any accumulated annual leave days at the compensation rate in use at the time of death.

2. When employment terminates for any reason other than death, payments for accumulated annual leave days shall not exceed the amount earned for one year of service. The amount earned in one year of service is prorated based on the FTE and appointment length (fiscal or academic) on the employee's last day worked.

8.01.02 Holidays

Policy Number: 8.01.02
Employees eligible for paid holiday leave are regular employees employed 20 hours or more per week for a continuous period of not less than five months.

The President designates official University holidays. Holidays falling within an annual leave period are treated as holidays and therefore not charged to annual leave. Employees are only eligible to receive holiday pay during the period of their employment contract.

Employees who cannot be excused from their duties on a holiday will be granted another day off during the same or following work week for each holiday on which they worked.

The University of Arizona observes ten holidays each year, as designated by the President and approved by the Board of Regents. To receive compensation for a holiday, an employee must be at work or on an approved leave with pay on the normal work days preceding and following the holiday.

8.02.01 Sick Leave

Policy Number: 8.02.01
Revised Date: January, 2007

Board of Regents policy with regard to sick leave is as follows:

1. Eligible fiscal year employees may accrue paid sick leave at the rate of one day for each month of service. Eligible academic year employees may earn nine days per academic year. Since sick leave is a privilege, not an earned right, no accumulated sick leave compensation shall be paid in the event that an employee is discharged or dismissed, or resigns or dies.

2. Eligible employees are regular employees employed 20 hours per week or more for a continuous period of not less than six months. Regular employees employed for less than 20 hours per week and probationary and temporary employees are not eligible to accrue sick leave.

3. Upon completion of six months of continuous service, a regular employee employed 20 hours per week or more is eligible for accumulated sick leave from the effective date of such employment.

4. Computation of accumulated sick leave is based upon a full-time appointment. Eligible employees working on any other work schedule will be credited sick leave which shall be computed at the same ratio which the appointment bears to full-time appointment. Sick leave computation for service prior to 1975 is described below. The maximum accumulation of sick days for service prior to 1975 is 60.

   Academic Year Appointment: \[
   \text{[Number of years prior to 1975 x 9 x percentage of appointment]} - \text{[sick leave usage]} = \text{Accrual (max 60 days)}
   \]

   Fiscal Year Appointment: \[
   \text{[Number of years prior to 1975 x 12 x percentage of appointment]} - \text{[sick leave usage]} = \text{Accrual (max 60 days)}
   \]

5. Eligible employees may be granted sick leave when they are unable to perform their duties because of illness or injury, or because they must be absent from work for the purpose of obtaining health-related services not available after regular working hours. It may also be granted when the employee's absence results from serious illness or communicable disease within the employee's immediate family, established household, or in situations which place primary responsibility for care on the employee.

   An eligible employee may use sick leave upon the death of family members who are not covered under Section 8.02.02 Bereavement leave. Employees may use up to three days of accrued sick leave for this purpose and two additional days to attend or arrange funeral services out of state.
1. Sick leave should be approved in advance when possible. Sudden illnesses which result in absence must be reported to the employee's supervisor as early as possible.

2. Should there be reason to believe that sick leave is being abused, the employee's supervisor may require verification of illness by means of a physician's statement or through other appropriate methods.

6. Eligible appointed personnel who retire from the University and have accumulated unused sick leave of 500 hours or more at time of retirement shall have the option to elect cash payout of their sick leave benefit over a three-year period in accordance with applicable provisions. Sick leave compensation will not be paid in the event of resignation, discharge or death unless the employee was eligible for normal retirement at the time of death in which case, the beneficiary will receive a one-time lump sum cash payout.

To qualify for this benefit the employee must: (a) be an eligible appointed personnel employed by the State (University) on or after July 1, 1998; (b) have accumulated unused sick leave totaling 500 hours or more at retirement; (c) be eligible for retirement and benefits from the University; (d) apply for retirement with an authorized State of Arizona retirement system immediately (within 14 calendar days) upon separation from state service; and (e) apply for the Retiree Accumulated Sick Leave benefit within 180 days from the retirement date.

The request for payment of the Retiree Accumulated Sick Leave Program should be separate from any other payment that might be due.

The State of Arizona General Accounting Office (GAO) maintains and administers the Retiree Accumulated Sick Leave (RASL) as defined by Arizona statute. Eligible retirees may apply for benefits to the General Accounting office, which as sole discretion to grant or deny payment under this program. Application and payment option information is available on the GAO's website.

The amount of payment received will be a percentage of the state hourly rate of pay multiplied by the number of accumulated sick leave hours as reported in the University's Vacation and Sick Leave Accrual Report. The hourly rate of salaried employees will be calculated by dividing the annual salary by 2080 hours for fiscal-year employees or by 1520 hours for academic-year employees. The maximum benefit will be 1,500 hours of sick leave not to exceed $30,000. Appropriate FICA, federal and state income taxes will be deducted prior to the payment of the benefit.

The following table outlines the percentage that will be applied based on the number of accumulated sick leave hours.

<table>
<thead>
<tr>
<th>Sick Leave Balances (Hours)</th>
<th>Percentage of Hourly Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>500 to 749</td>
<td>25%</td>
</tr>
<tr>
<td>750 to 999</td>
<td>33%</td>
</tr>
<tr>
<td>1,000 to 1,500</td>
<td>50%</td>
</tr>
</tbody>
</table>

7. Federal policy, when in conflict with this policy, shall apply to faculty and staff members in Agricultural Cooperative Extension who are employed under federal regulation.

8. The President may approve sick leave in addition to that allowed by this policy, but a report shall be made to the Board of Regents in the case of any sick leave which is granted in excess of that allowed by this policy or which exceeds three months, whichever is greater.

**8.02.02 Bereavement Leave**

**Policy Number:** 8.02.02
Revised Date: July, 2001

Appointed personnel employed 20 hours per week or more, whose employment is expected to continue six months or more, are eligible for up to three paid working days as bereavement leave upon the death of a parent, parent-in-law, brother, sister, spouse, child, grandparents, grandchildren, brother-in-law, sister-in-law, son-in-law, daughter-in-law, and any other person who is a member of the employee's established household.

for this purpose a parent is defined as a natural parent, stepparent, adoptive parent or surrogate parent. A child is defined as a natural child, adoptive child, foster child or stepchild.

Employees must be in a pay status in order to receive paid bereavement leave. Two additional paid working days may be granted to attend or arrange funeral services out-of-state as part of bereavement leave.

8.02.03 Accident And Injury Leave

Policy Number: 8.02.03

Compensation lost as a result of accidents incurred during performance of official duties is covered in part under Arizona Workers' Compensation and Occupational Disease Statutes. (See also Chapter 10, Benefits.) If an injured employee wishes to use sick leave, the employee may receive only the difference between what is paid by benefits as salary compensation under the above-mentioned statutes and the full salary to which the employee would otherwise be entitled.

8.02.04 Compassionate Transfer of Leave

Policy Number: 8.02.04

Revised Date: September, 2002

Employees who are eligible to accrue and use vacation leave, but are unable to work due to a catastrophic personal illness or injury and have exhausted their available balances of paid leave hours (e.g. vacation, sick leave and compensatory time) may receive contributions of vacation hours from other eligible employees. Employees who are eligible to accrue and use vacation hours, regardless of their employment category, may transfer their accrued vacation to such employees.

Compassionate transfers of leave shall be accomplished by determining the dollar value of the number of vacation hours contributed, by decreasing the contributor's balance of accrued vacation hours, and by increasing the recipient's accrued sick leave balance. Contributors must retain a minimum balance of 80 hours of vacation leave. Such compassionate transfers of leave must be voluntary on the part of the contributor.

Compassionate transfers of leave shall not exceed the anticipated period of disability. In the event the affected employee becomes eligible to receive long term disability benefits, contributions of vacation hours which would otherwise be credited to the employee will not be permitted on or after the date of inception of long term disability benefits. Subsidization of long term disability benefits or workers' compensation benefits will not be permitted, other than during the initial period of waiting for such benefits to commence.

Employees enrolled in a short term disability program offered by the University must apply for and, if eligible, receive their short term disability benefits before compassionate transfer of leave contributions can be used beyond the initial short term period. Compassionate transfer of leave contributions (other than for the initial short term disability waiting period) for such employees may only be used to supplement the short term disability payment up to but not to exceed the employee's regular rate of pay.

The compassionate transfer of leave from one employee to another is for the recovery of the employee only and not for family illness or injury.

A. Definition
An illness or injury shall be catastrophic if it is:

- Seriously incapacitating (in the case of the employee, the employee is unable to perform all the duties of the position held at the time of the injury or upon inception of the illness, and is unable to perform available light duty work);
- of extended duration (the anticipated duration of the disability is not less than 45 calendar days); and
- Confirmed in writing by a physician chosen by the employee and subject to reconfirmation by a physician chosen by the University.

B. Recipient Eligibility

Employees who are eligible to receive compassionate transfer of leave contributions are those who are eligible to earn and use vacation hours, have exhausted all forms of paid leave (e.g., vacation, sick leave and compensatory time) prior to the transfer of leave hours, and are not receiving either long term disability benefits or workers' compensation benefits.

C. Procedure

**Ill or injured employee (or representative if employee is incapacitated):** Obtain physician's statement confirming catastrophic personal illness or injury and its anticipated duration. Inform department supervisor and payroll representative of desire to receive compassionate transfer of leave contributions by requesting and completing a Compassionate Transfer of Leave Request form. Return the form and physician's statement to the payroll representative.

**Recipient's Payroll Representative:** Review Compassionate Transfer of Leave Request form, physician's statement, and employee records. Sign form to confirm employee's eligibility to receive contributions of leave hours. Inform departmental employees, and others as appropriate, that contributions of vacation hours are being accepted for compassionate transfer of leave to the affected employee.

**Contributor:** Inform department payroll representative of desire to contribute vacation hours to affected employee by requesting and completing a Compassionate Transfer of Leave Contribution form and returning the form to the payroll representative.

**Contributor's Department Payroll Representative:** Confirm contributor has sufficient available vacation hours to permit transfer of leave with a minimum of 80 hours of vacation remaining after contribution. Convert hours contributed into dollars by completing the processing information section of the Compassionate Transfer of Leave Contribution form. Forward completed forms to the payroll representative for the recipient's department.

**Recipient's Department Payroll Representative:** Complete a Compassionate Transfer of Leave Processing Information form. Typically, Compassionate Transfer of Leave Contribution forms are processed in the order received. Do not process more vacation contribution hours than sufficient to pay the recipient from the last paid day to the anticipated duration of illness/injury, as certified by the latest physician's statement. (Include holidays and projected vacation and sick leave accruals.) Convert the dollars contributed into hours and increase the recipient's sick hours equal to the total hours to be processed at this time (see Processing form). Contributions will be reflected as an increase in the recipient's sick hours equal to the total of vacation dollars contributed to be processed at this time. Forward all completed forms and physician's statement to Human Resources.

**Human Resources:** Review documentation. Determine if there will be an effect upon any possible long term disability benefits to prevent subsidization. Coordinate with the Department of Risk Management and Safety to ensure subsidization of workers' compensation benefits will not occur. Sign and forward completed Compassionate Transfer of Leave Processing Information form with attached Compassionate Transfer of Leave Contribution form(s) to Payroll for data entry.

**Recipient's Department Payroll Representative:** Enter sick leave hours on time roster for recipient. The amount entered may not exceed the number of hours contributed and processed by Payroll to date.

If the absence of the ill or injured employee extends beyond the originally anticipated duration of absence, the above procedure can be repeated if additional contributions are available.
Within 30 calendar days after the recipient's return to work, notify contributors that their Compassionate Transfer of Leave Contribution forms have not been processed because the affected employee has returned to work, and destroy the forms. If a contributor is an employee of another department, return the unprocessed Compassionate Transfer of Leave Contribution form to that department's payroll representative, and advise payroll representative to notify contributor that the contribution of hours was not processed.

A minimum of one pay period may elapse between the time the Compassionate Transfer of Leave Contribution and Processing Information forms are processed and the contributed hours are reflected in the available balance of sick leave hours of the recipient. Complete and forward forms to Human Resources, preferably before the ill or injured employee's paid leave has been exhausted.

8.02.05 Leave for The Purpose of Bone Marrow or organ Donation

Policy Number: 8.02.05

As required by A.R.S. § 41-706, a board or university employee is entitled to a leave of absence for the purpose of bone marrow or organ donation as follows:

1. Five work days to serve as a bone marrow donor for a bone marrow transplant if the employee provides the employer with written medical certification issued by the employee's health care provider that the employee is to serve as a bone marrow donor.

2. Thirty work days to serve as an organ donor for a human organ transplant if the employee provides the employer with written medical certification issued by the employee's health care provider that the employee is to serve as an organ donor.

3. An employee who is granted a leave of absence pursuant to this section is entitled to receive base pay without interruption during the leave of absence. For the purpose of determining seniority, pay or pay advancement and performance awards and for the receipt of any benefit that may be affected by a leave of absence, the service of the employee is considered uninterrupted by the leave of absence.

4. The employee will not be penalized for requesting or obtaining a leave of absence pursuant to this section.

8.03.01 Administrative Leave (With Pay)

Policy Number: 8.03.01

Employees may be entitled to administrative leave with pay in the following instances:

A. Voting

Employees must be granted leave for voting purposes as provided by applicable law.

B. Emergency Leave

Employees may be granted temporary emergency leave if they are excused from work by the President of the University because of a natural disaster or other reason which may restrict or jeopardize the employees' safety or health.

C. Jury Duty and Material Witness Service

An employee called upon for service as a juror or as a material witness must be granted leave sufficient to provide the service. Any employee who receives a fee for serving as a juror in accordance with Arizona Revised Statutes 21-221, or as a material witness in accordance with Arizona Revised Statutes 12-303, shall either remit such fee to the institution or have an equal amount deducted from his or her pay. Reimbursements for travel expenses may be retained by the employee.
Employees who seek to be excused from or to defer jury service should obtain the necessary certification of employment from the University and request such consideration from the office of the Jury Commissioner of the appropriate court. Faculty members are rarely excused entirely from jury duty service, but the period of service may be arranged to accommodate teaching obligations.

D. Court Appearances

An employee who is required to appear in court as a party with regard to a personal matter is not eligible for paid administrative leave, but may use accrued vacation, if applicable, or request time off without pay.

8.03.02 Sabbatical Leave

Policy Number: 8.03.02

1. Sabbatical leave may be granted within the discretion of the administration to enable appointed personnel to make advances in their profession, to remain effective in current positions, or to render the greatest possible service to The University of Arizona. Only individuals with tenure or continuing status are eligible to receive a sabbatical leave.

2. The University prizes an inclusive view of scholarship with the recognition that knowledge is acquired and advanced through research, synthesis, practice, and teaching. Given this philosophy, sabbatical leaves are to be granted to further any of the following objectives: research and publication, teaching improvement (including the creation of teaching materials such as new textbooks, software, multimedia materials, or casebooks), intensive public service clearly related to the applicant's expertise, and integration and interpretation of existing knowledge into larger interdisciplinary frameworks.

3. Sabbatical leaves will be granted only to appointed personnel who have served on full-time continuous fiscal or academic year appointments at the University for a period of not less than six years. Only individuals with tenure or continuing status are eligible for sabbatical leave. Time served in excess of six years may not be accumulated toward future sabbaticals.

4. Appointed personnel on an academic year appointment may apply for a sabbatical leave of either one or two semesters. Appointed personnel on a fiscal-year appointment may request leave of either 6 or 12 months. If the leave is for two semesters or one fiscal year, the University will pay compensation at three-fifths of the recipient's normal salary. If the leave is for one semester or six months, the University will pay the full salary. Fiscal year employees with teaching assignments who take a leave of six months must arrange to be present during one of the two regular semesters.

5. Responsibility for review and approval of sabbaticals rests in the college/vice presidential area. Each college/vice presidential area must have a Sabbatical Leave Advisory Committee consisting of at least three people. Sabbatical recommendations require review by the department head, college advisory committee, and dean/vice president. The final approval of sabbatical leave applications occurs in the college/vice presidential area. A candidate whose sabbatical proposal is rejected by a dean/vice president has the right to appeal to the University's Sabbatical Leave Advisory Committee.

6. Sabbatical leave compensation paid by the University may be supplemented by fellowships, scholarships, employment, or grants-in-aid to cover such special expenses as travel, secretarial assistance, tuition, research, or publication. Any such additional compensation is to be explained on the application form. Compensated activity may not unduly interfere with the objective of the sabbatical.

7. Sabbatical leave is granted only on condition that the employee subsequently returns to the University for a period of further service equal to the length of the leave. If an employee does not return, the case will be reviewed by the Provost. The employee may be required to refund all compensation received from the University during the sabbatical.

8. forms and instructions for applying for sabbatical leave may be obtained from the deans' or directors' offices. Applications reviewed and acted upon by the appropriate department head and dean/vice president or director prior to filing in the Provost's office.
9. If a candidate withdraws his/her application after it has been approved, every effort will be made in department planning to approve the sabbatical for the following year. However, such approval cannot be guaranteed, and the period of the delay does not count toward the next sabbatical.

10. No later than the end of the second semester following a sabbatical leave, a final two-part report must be filed with the appropriate dean/vice president or director for transmittal to the Provost and the President.

11. Following a sabbatical leave, six years of further service are required before an employee becomes eligible for another such leave. Leaves of absence without pay totaling no more than one year may be counted toward a sabbatical leave.

(See Chapter 10, Benefits, for policies on participation in health and other programs during a sabbatical leave.)

8.03.03 Externally Supported Research Assignments

Policy Number: 8.03.03

1. An externally supported scholarly and/or creative activity may be granted within the discretion of the administration to enable appointed personnel to accept prestigious external fellowships or awards for research or creative activity that do not provide the recipient's normal full salary during the period of the award. An externally supported research assignment permits the recipient to retain the portion of his or her University salary necessary to receive the full salary that would otherwise have been received during the period of the award. The individual's primary responsibilities during the period of an externally supported research assignment will be those research or creative activities described in the fellowship or award application. This assignment may be carried out while the individual is not in residence at the University.

2. For the purposes of this policy a "prestigious external fellowship or award" is one that is included on a list of such awards to be developed and maintained by each college. A faculty member who receives a prestigious award not included on the list may petition a designated college committee (i.e., Committee on Faculty Status, Promotion and Tenure Committee, Sabbatical Committee, etc.) to add that award to the list. Strong petitions would have the support of the individual's department head.

3. Externally supported research assignments will be granted only under the following conditions: (1) the assignment is in the best interests of the University; (2) the individual receives a prestigious fellowship or award from an external agency to support research or creative activity for which the University will provide a matching value up to a maximum of 50% of the faculty member's salary for the period of the leave; (3) the individual returns to the University following the leave for a period of further service equal to the length of the leave; (4) funds are available within the college to support both the University portion of the individual's salary and to cover instructional duties comparable to those the individual would have been assigned; and (5) the leave is approved by the department head, dean, and Provost.

4. The timing of sabbatical leaves and retention, tenure, continuing status, and promotion reviews is not affected by externally supported research assignments.

8.04.01 Leaves of Absence - General

Policy Number: 8.04.01

Revised Date: September, 2005

Employees requesting a leave of absence without pay must submit a letter to their department heads indicating the reason for the leave and the leave schedule. Department heads are to forward their recommendations through the appropriate dean and vice president to the Provost for written approval. The Provost's decision is based on the merit of a request and on certification by the department head and dean involved that the employee's absence will not jeopardize normal operations.

In general, leaves are granted for a maximum period of one year. However, a leave may be renewed, at the discretion of the Provost, if a renewal request is filed 30 days prior to the expiration of the leave. During an approved leave of absence without pay,
employees may continue health benefits by paying both the employee and employer premiums for any such benefits, for up to one year for medical-related leaves and up to six months for nonmedical-related leaves. Continuation of coverage after these periods is available through the Consolidated Omnibus Budget Reconciliation Act (COBRA).

Templates for leave requests are available online as follows.

8.04.02 Medical Leave

Policy Number: 8.04.02

1. Eligible employees are regular employees who have satisfactorily completed six months of continuous service, who are employed not less than 20 hours per week, and who have exhausted their accrued sick leave.

2. Medical leave without pay may be granted for a period not to exceed six months to female employees during their pregnancy and recuperation. Such employees may return to their former positions, or to comparable ones, without loss of seniority or rate of compensation.

3. Medical leave is not required at any point in a term of pregnancy if the employee satisfactorily performs her duties and responsibilities.

4. If a department head has reason to question the physical capacity of an employee, the department head may require a physician's statement certifying that the employee is physically able to perform his or her regular duties.

8.04.03 Military Leave

Policy Number: 8.04.03

Revised Date: February, 2003

Appointed personnel employed by The University of Arizona may be granted leaves of absence for military service in accordance with applicable Arizona and federal law.

1. Employees who enter into active duty for extended periods with any component of the U.S. Armed forces will be placed on extended military leave without pay with such consequences as current law may provide.

2. Employees who are members of military reserve units or the Arizona National Guard are entitled to receive their regular compensation during a period of active duty or active duty training not to exceed 30 working days in any two calendar years.

8.04.04 Political or Other Employment Leave

Policy Number: 8.04.04

1. An employee who wishes to campaign for political office or who is elected to public office or who undertakes other significant non-University duty should request full or partial leave.

2. The extent of such leave will be determined by the President.

8.04.05 Education Leave

Policy Number: 8.04.05

Employees with continuing status may be granted leave without pay for a period of up to one year in order to obtain additional education and training. They may subsequently request an extension for up to a full second year.
1. Leave without pay for educational purposes must be authorized by the Provost. Such leave will be authorized only when in the best interest of the University.

2. Evidence must be provided that any educational or training course included in the proposed leave project has been or can be arranged.

3. Part-time paid employment, scholarships, or fellowships may be accepted during such leave, provided they are compatible with the leave project and are approved in advance. Should an opportunity for such supplemental compensation develop after the leave has been approved or begun, the University's approval must be sought at the earliest opportunity.

4. Applications for leave without pay must be filed at least six months in advance of the proposed starting date. Applications may be withdrawn without prejudice to later application, provided reasonable notice is given. Application for extension must be made at least 30 days in advance of the expiration of the initial leave.

5. An employee may terminate a leave without pay in mid-term and resume paid employment only with the Provost's agreement.

6. No later than two months following the end of a leave without pay, the employee shall file a concise report with the dean or director, for transmittal to the appropriate vice president and/or the Provost. The report is to indicate clearly whether or not the intended objectives were obtained.

7. During an employee's leave without pay, the employee may continue his or her health benefits for six months by paying both the employer and employee cost of any such benefits. Continuation of coverage after six months is available through the Consolidated Omnibus Budget Reconciliation Act (COBRA). (See Chapter 10, Benefits.)

8. The period of a leave without pay will not count toward an employee's retirement benefits.

8.04.06 Federal Family And Medical Leave Act of 1993

Policy Number: 8.04.06

Effective Date: August 1, 1993

Revised Date: October, 2014

A. Policy

It is the policy of the University of Arizona to comply with the federal Family and Medical Leave Act (FMLA) of 1993, as amended; the National Defense Authorization Act, as amended; and all implementing regulations. All references to the FMLA include these laws and regulations.

B. Eligibility Requirements

An "eligible employee" is a University employee (Appointed Personnel, Classified Staff, Student Employee, or Graduate Assistant/Associate) who:

- Has been employed by the University for at least 12 months; and
- Has worked at least 1,250 hours during the 12-month period immediately preceding the start of the FMLA leave.

The calculation of the 12 months of University employment is cumulative and encompasses all employment categories (Appointed Personnel, Classified Staff, Student Employee, and/or Graduate Assistant/Associate). Separate periods of employment will be counted cumulatively, provided that the break in service does not exceed 7 years, unless such break in service was due to a National Guard or Reserve military service obligation.

Only those hours actually worked will be counted toward the determination of whether the employee has worked 1,250 hours during the 12-month period; paid and unpaid absences are not counted. An employee returning from fulfilling a National Guard or
Reserve military obligation will be credited with the hours of work that would have been performed during the period of military service had the employee worked for the University during this time.

C. Employee Leave Entitlements

Eligible employees are entitled to either the Basic Leave Entitlement or the Military Family Leave Entitlement, as described below.

1. Basic Leave Entitlement

The University provides up to 12 work weeks of unpaid, job-protected leave in a "leave year" to eligible employees for one or more of the following qualifying basic leave reasons:

- The birth of the employee's child and/or to bond with the newborn child within one year of birth;
- The placement of a child with the employee for adoption or foster care and/or to bond with the newly placed child within one year of placement;
- A serious health condition of the employee;
- To care for the employee's spouse, child, or parent who has a serious health condition; or
- To address any qualifying exigency arising out of the fact that the employee's spouse, child or parent is a covered military member on covered active duty.

For purposes of the basic leave entitlement, a "leave year" is a rolling 12-month period measured backward from the date the proposed FMLA leave is to begin.

2. Military Family Leave Entitlement

The University provides up to 26 work weeks of unpaid, job-protected FMLA leave during a "single 12-month period" to eligible employees for the following qualifying military family leave reason:

- To care for a covered servicemember with a serious injury or illness if the eligible employee is the servicemember's spouse, son, daughter, parent, or next of kin.

For purposes of the military family leave entitlement, the "single 12-month period" begins on the first day the eligible employee takes FMLA leave to care for the covered servicemember and ends 12 months after that date. FMLA leave for this reason is applied on a per-covered-servicemember, per-injury basis; however, no more than 26 work weeks of FMLA leave may be taken within a single 12-month period.

D. Requests for Leave and Responding to the Request

An employee must make a request for FMLA leave to his or her supervisor following established University FMLA leave procedures. The supervisor will promptly coordinate with the designated leave coordinator to ensure University FMLA procedures and timelines are followed for notifying the employee of eligibility, certification requirements, and whether the leave will be designated and counted as FMLA leave.

E. Use of Paid Time During FMLA Leave

FMLA leave runs concurrently with the use of the eligible employee's accrued paid time benefits, as applicable, (i.e., sick time, vacation time, paid parental leave, and, for non-exempt employees, compensatory time), approved use of compassionate transfer of leave, and during the receipt of any disability/insurance plan payments (i.e., short-term disability, long-term disability, or worker's compensation). A period of FMLA leave will be unpaid if the employee is not eligible for accrued paid time or exhausts his or her balance of accrued paid time.

F. Recordkeeping

The supervisor or designated leave coordinator will promptly provide copies of the employee's completed Employee Request for Family and Medical Leave form, the supervisor's completed Notice of Eligibility and Rights & Responsibilities and Designation Notice.
forms, and all certification forms to Human Resources. These forms will be kept in the employee's department and University records; however all medical certifications or related FMLA leave documentation will be maintained as confidential medical records in separate files, apart from employee personnel files.

G. Reinstatement/Return to Work

An employee must either return to work on the first scheduled workday after the last day of approved FMLA leave or request additional leave on or before the last day of approved FMLA leave. When an employee returns to work on or before the expiration of FMLA leave, the employee's department will reinstate the employee either to the same position the employee held when the leave commenced or to an equivalent position with equivalent benefits, pay and other terms and conditions of employment.

If the FMLA leave was due to the employee's own serious health condition and the supervisor required a fitness-for-duty certification in the Designation Notice, then the employee must provide such certification from his or her health care provider on or before the date the employee is scheduled to return to work. If the employee fails to provide the fitness-for-duty certification by that time, then the supervisor may delay the employee's restoration to employment until the employee submits the required certification.

If the employee's position or appointment is identified for layoff (classified staff) or nonrenewal (appointed personnel) to be effective prior to the expiration of FMLA leave, then the employee will not be entitled to reinstatement so long as the employee's position or appointment would have terminated irrespective of the employee's use of the FMLA leave.

If an employee requires additional leave from work beyond the basic leave entitlement or military family leave entitlement, the employee may request to use any remaining accrued paid time benefits or request an unpaid leave, subject to approval by the supervisor or responsible administrator.

An employee who requires reasonable accommodation for a disability under the Americans with Disabilities Act (ADA) (as amended), including any extension of leave following an FMLA leave, should make a request for reasonable accommodation through the University's Disability Resource Center as soon as he or she believes that such an accommodation may be required.

H. Effect on Benefits

Information on healthcare, life, disability and other insurance coverage is available on the University FMLA leave procedures website.

Continuous Service

University continuous service will accrue during the period of an FMLA leave. However, FMLA leave may not count toward the completion of any applicable probationary period for a Regular Classified Staff employee.

I. Voluntary Termination

An employee on FMLA leave will be considered to have voluntarily terminated employment if he or she:

- Advises the University of his or her intention not to return to work either after the expiration of approved FMLA leave or during any approved FMLA leave; or

- Fails to return to work upon the expiration of FMLA leave, unless the employee has requested and been granted: (1) the use of any remaining accrued paid leave; (2) an unpaid leave; or (3) a leave as a reasonable accommodation under the ADA.

If an employee does not return to work for at least 30 calendar days after the employee's FMLA leave entitlement has been exhausted or expires, then the employee may be required to repay the University the full health and dental insurance premiums the University paid on the employee's behalf during the period of unpaid FMLA leave. An employee will not be required to repay the premiums when the reason the employee does not return to work is due to a serious health condition of the employee or he employee's family member; the serious injury or illness of a covered servicemember; official University retirement; or circumstances beyond the employee's control. The University may require the employee to provide certification of the reason for failure to return to work.
J. Prohibited Conduct

The FMLA makes it unlawful for any University employee, supervisor, or administrator to: (1) interfere with, restrain, or deny the exercise of any right provided under the FMLA; and (2) discharge or discriminate against any person for opposing any practice made unlawful by the FMLA or for involvement in any proceeding under or relating to the FMLA.

The Genetic Information and Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, the University does not ask employees to provide any genetic information when responding to any request for medical information. "Genetic information," as defined by GINA, includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

K. Resources

- FMLA Leave Definitions
- FMLA Leave forms
- FMLA Leave Procedures
- Family and Medical Leave Act Poster

8.04.07 Victim's Leave

Policy Number: 8.04.07
Effective Date: February 1, 2003

A. General and Definitions

The University of Arizona is committed to providing victim's leave to eligible employees in accordance with the Arizona State Victim's Leave Law ARS S 13-4439; S 8-420. This law authorizes an employee who is a victim of a crime to leave work to exercise the right to be present at legal proceedings related to the crime.

As defined in ARS S 13-4401, a "victim" is 1) a person against whom the criminal offense has been committed, or 2) if the person is killed or incapacitated, the person's immediate family (victim's spouse, parent, child, sibling, grandparent or lawful guardian) or other lawful representative (person who is designated by the victim or appointed by the court and who acts in the best interests of the victim), except if the person is in custody for an offense or is the accused.

B. Using Vacation Leave and Unpaid Leave of Absence

When using Victim's Leave, the eligible employee may use accrued vacation leave or excused unpaid leave. While there is no maximum leave time allocated for Victim's Leave, the University reserves the right to limit the leave provided under the law if the leave creates an undue hardship to the University's business.

C. Eligibility

Any University employee is eligible for leave under this policy, except that the employee is not eligible if a family member is the victim and the employee is in custody for the offense or accused of the crime.

D. Request for Leave

Request for Victim's Leave must be made to the employee's immediate supervisor or responsible administrator, providing as much notice as practical. In making this request, the employee shall provide

- a copy of the form provided to the employee by the law enforcement agency, and
- a copy of the notice of each scheduled proceeding that is provided to the victim by the responsible agency.
8.05.01 General

Policy Number: 8.05.01

Revised Date: September, 2002

It is the University's intent to provide family-friendly policies and practices aimed at supporting employees to balance work and family life. Deans, directors, department heads, and other supervisors shall make every reasonable effort to accommodate the needs of employees, to the greatest possible extent, and in a manner consistent with the effective and efficient operation of the University.

Under this policy, eligible employees may request a period of up to 16 weeks during which the employee may receive a temporary assignment of alternative duties that will make it more feasible for the employee to remain on active employment at the University while affected by the following circumstances:

- the birth of the employee's child and to care for such newborn child;
- a child's placement with the employee for adoption or foster care; or
- the need to provide temporary care to the employee's spouse/domestic partner, child or parent who has a serious health condition.

During the period of temporary assignment of alternative duties, the full-time equivalency (FTE) will remain unchanged and the employee will be compensated at the same rate of pay for all hours worked. If the employee elects to temporarily reduce the number of hours worked in addition to the assignment of alternative duties, the employee shall use paid or unpaid leave (including any remaining Family and Medical Leave) for the absence portion. A supervisor may not impose this policy as a substitute for an employee's request for Family and Medical Leave due to a qualifying reason or when medical conditions restrict an employee's ability to work.

8.05.02 Eligibility

Policy Number: 8.05.02

All appointed personnel and non-probationary regular classified staff employees who are regularly scheduled for at least 20 hours per week (.50 FTE) and are expected to be active for more than 6 months are eligible.

8.05.03 Procedure

Policy Number: 8.05.03

Revised Date: September, 2002

The employee may apply for a temporary alternative duty assignment to his or her immediate supervisor, such as a department head, director, or unit administrator ("supervisor"). The application must include a statement signed by the employee attesting that the employee will be responsible for at least 50 percent of the care of the newborn, adopted, or foster child. The employee's request shall include the dates of the proposed period of alternative duty assignment, the proposed alternative duties, and any other arrangements that would be necessary in order to consider and implement the request. The employee shall request the period of reassigned duties as far in advance as possible, so that the unit will be able to accommodate the ensuing shift in responsibilities.

It is expected that the temporary alternative duties will be ones normally included in the employee's job description; however, the range of actual duties will be altered. Examples of temporary alternative duties may include: alternative work schedule, substitution of duties within the classification, project-specific work, and/or transportable work.

Approval of the temporary alternative duty assignment request is subject to the discretion of the supervisor in consultation with the unit administrator (dean, director, or department head). The supervisor shall consider the feasibility of the request within the
circumstances of the affected work unit and whether it is in the best interests of the University. Such factors as availability and demands, potential for flexible scheduling in the particular position, and effect of the request on the unit's budget should be considered. The proposed dates of the temporary alternative duty assignment and details of the alternative duties must be approved by the supervisor.

The department shall maintain a copy of the employee's written request and the supervisor's response.

9.01.01 University Staff Awards for Excellence

Policy Number: 9.01.01

University Staff Awards for Excellence are presented to at least 12 members of the classified staff and the academic professional staff, without respect to their length of service, classification or pay grade, in recognition of outstanding contributions to the University. These awards are designed to recognize outstanding achievements beneficial to all or a large part of the University. These honors carry with them monetary awards. A notice is sent out for nominations once a year and is directed to the Employee Recognition Committee. The President of the University presents the awards at the Employee Recognition Ceremony.

9.01.02 The Billy Joe Varney Award for Excellence

Policy Number: 9.01.02

The Billy Joe Varney Award for Excellence is presented to one employee who has at least 15 years of employment at the University, and who merits special recognition for a career of dedicated service to the University, its employees, and the community. Nominees can be chosen from any employment category. This honor carries a monetary award. A notice is sent out for nominations once a year and is directed to the Employee Recognition Committee. The President of the University presents the awards at the Employee Recognition Ceremony.

9.01.03 University Distinguished Professorships

Policy Number: 9.01.03

Revised Date: August, 2005

The Distinguished Professorship is intended for individuals who have made substantial contributions to undergraduate education at the University. Appointed individuals will have demonstrated outstanding commitment to undergraduate education in the following ways: a minimum of 10 years teaching at the University, at least 50% of which has been undergraduate teaching; a record of creative scholarship (research); the application of scholarship in the undergraduate classroom; evidence of the highest standards of teaching; evidence of effective advising and mentoring of undergraduates; involvement in undergraduate curriculum innovation within his/her discipline and/or in the University general education, and evidence of extracurricular activities or extramural service related to the undergraduate experience. Individuals holding any faculty rank are eligible, although emeritus faculty are not eligible. Up to two awards will be made each year. The office of the Provost has further information on this award. Information also is available online as follows:

- University Distinguished Professorships
  http://provost.arizona.edu/university_distinguished_professors

9.01.04 Honorary Degrees

Policy Number: 9.01.04
Effective Date: August 1, 2005

The Provost issues a call for nominations for honorary degrees each fall. Nominations are reviewed by the Advisory Committee on Honorary Degrees and are approved by the President and Provost, Faculty Senate and ABOR. The office of the Provost has further information on this award. Information also is available online as follows:

- Honorary Degrees
  [http://provost.arizona.edu/awards.htm#Honorary_Degrees](http://provost.arizona.edu/awards.htm#Honorary_Degrees)

### 9.01.05 University Awards for Outstanding Achievement In Teaching

**Policy Number:** 9.01.05  
**Revised Date:** August, 2005

Undergraduate education teaching awards are available through support of The University of Arizona Foundation, the Vice President for Research, the Provost and other private sources. Descriptions and criteria for several of these awards are available online as follows:

- University Awards for Outstanding Achievements in Teaching
  [http://provost.web.arizona.edu/teaching.html](http://provost.web.arizona.edu/teaching.html)

### 9.01.06 Other Awards

**Policy Number:** 9.01.06  
**Revised Date:** January, 2000

Individual colleges and units present other employee recognition awards to appointed personnel. Information on these awards is available through the appropriate dean, director or vice president.

### 9.02.01 International Visitors Fund

**Policy Number:** 9.02.01  
**Revised Date:** August, 2005

The International Visitors Fund is administered by the office of International Affairs, with funding from the office of the Vice President for Research. Funds are available to assist departments in bringing distinguished international scholars as visitors to Tucson. Disbursements will generally be limited to covering Tucson-related airfare for persons who already are planning travel to one or more locations in the United States. Requests are made through the office of International Affairs. Additional information is available from the office of International Affairs or online as follows:

- International Visitors Fund
  [http://international.arizona.edu/oed/ivf.shtml](http://international.arizona.edu/oed/ivf.shtml)

### 9.02.02 Provost's Author Support Fund

**Policy Number:** 9.02.02  
**Revised Date:** August, 2005

Note: The Classified Staff Human Resources Policy Manual is being converted into a user-friendly HTML format. Due to an unexpected delay in completion, this temporary PDF is provided for interim reference. It will be replaced shortly.
The office of the Provost has established the Author Support Fund. The purpose of this fund is to help defray publication charges to faculty members who have written book manuscripts which, if published, would likely bring distinction to the author(s) and to the University. Funds are awarded on a competitive basis. Only manuscripts accepted for publication and accompanied by formal reviews initiated and implemented by the publishing house will be considered. Persons eligible to apply for funds are faculty or academic professionals whose position responsibilities include the expectation of research and publication, and who hold appointments in units reporting directly or indirectly to the Provost. Additional information regarding the Author Support Fund is available from the office of the Provost or online as follows:

- Provost's Author Support Fund
  http://facultyaffairs.arizona.edu/authorsupport

9.02.03 foreign Travel Grants

Policy Number: 9.02.03
Revised Date: September, 2002

The Vice President for Research has made funds available to assist in supporting travel of faculty members presenting their work at international conferences. The foreign Travel Grant Program is administered by a faculty committee chaired by the Executive Director of International Affairs. Additional information is available from the office of International Affairs or online as follows:

- foreign Travel Grants
  http://www.international.arizona.edu/oed/foreigntravel.shtml

10.01.01 Benefits Eligibility

Policy Number: 10.01.01
Revised Date: April, 2015

Employees who are employed at 20 hours per week (.50 FTE) or greater and in a position that is intended to be ninety (90) days or more in duration are considered eligible for insurance benefits as determined by the Arizona Department of Administration and the University of Arizona. Graduate assistant/associate positions are excluded from eligibility at the time of initial hire. Information about the eligibility of an employee's dependent(s) is available on the Human Resources website.

10.01.02 Benefits Enrollment Period And Effective Date

Policy Number: 10.01.02
Revised Date: January, 2014

To participate in any of the benefit programs, eligible employees must enroll for benefits period within the first 31 days of the date of hire or eligibility. Benefits elections are effective the first day of the pay period following a completed enrollment. If an employee does not enroll during the 31-day enrollment period, he/she may enroll or modify elections a) during the next annual Open Enrollment period, or b) when there is a change in family status (Qualified Life Event) during the plan year. The annual open enrollment period usually occurs each October/November and the elections take effect on the following January 1.

More information about benefits enrollment and effective dates is available on the Division of Human Resources website. Benefits - General Information
10.01.03 Tax Treatment of Premiums And Limits To Mid-Year Changes

Policy Number: 10.01.03
Revised Date: January, 2014

The university participates in an Arizona Board of Regents tax qualified premium program defined in Internal Revenue Code section 125. Under this program, participant premiums for medical, dental, vision, and the first $35,000 of voluntary life insurance are offered on a pre-tax basis. Paycheck deductions for these premiums are taken before taxes are calculated, which reduces the participant's taxable income.

This same program restricts when a participant may make changes to current coverage. Changes are generally limited to those available during the annual open enrollment period, unless there is a change in family status (Qualified Life Event e.g., marriage; divorce; the death of a spouse or child; the birth, adoption or change in dependent status of a child; or a change in a spouse's employment). forms to change coverage related to a Qualified Life Event must be received by the Division of Human Resources within 31 days of the date of the life event.

10.01.04 Employer Paid Life Insurance

Policy Number: 10.01.04
Revised Date: October, 2011

Benefits eligible employees receive a $15,000 life and accidental death and dismemberment insurance policy purchased by the University.

10.01.05 Supplemental Life Insurance

Policy Number: 10.01.05
Revised Date: October, 2011

Benefits eligible employees may choose to purchase voluntary supplemental life insurance for themselves and/or their eligible dependents. The University does not pay any portion of the premiums for this coverage.

10.01.06 Health Insurance

Policy Number: 10.01.06
Revised Date: January, 2014

Benefits eligible employees may choose to participate in voluntary group insurance programs that cover them and their eligible dependents.

1. Medical Insurance
   Information on current medical insurance options is available on the Division of Human Resources website. Premiums are deducted from employee paychecks on a pre-tax basis. The University pays a portion of the premiums for medical insurance coverage.

2. Dental Insurance
   Information on current dental insurance options is available on the Division of Human Resources website. Premiums are deducted from employee paychecks on a pre-tax basis. The University pays a portion of the premiums for dental insurance coverage.
3. Vision Insurance
   Information on current vision insurance options is available on the Division of Human Resources website. Premiums are deducted from employee paychecks on a pre-tax basis. The University does not pay any portion of the premiums for this coverage.

**10.01.07 Short-Term Disability Insurance**

Policy Number: 10.01.07
Revised Date: October, 2011

Voluntary Short Term Disability insurance provides partial income replacement during the six-month waiting period before Long Term Disability benefits begin. Short-term disability benefits may be paid in addition to paid sick leave and/or vacation. Premiums are deducted from employee paychecks on a post-tax basis and the benefit payments are tax free. The University does not pay any portion of the premiums for this coverage.

**10.01.08 Section Removed**

Policy Number: 10.01.08
Section Removed 8/2015

**10.01.09 Flexible Spending Account Plan**

Policy Number: 10.01.09
Revised Date: October, 2011

The Flexible Spending Account plan enables participants to have money deducted from paychecks before all the payroll taxes are calculated and have it deposited into either a special health care account or a special dependent care account. These participant deposits are used to reimburse the participant for qualified expenses. The University pays a monthly administrative fee on behalf of each participant for each account.

**10.01.10 Continuing Insurance Coverage**

Policy Number: 10.01.10
Revised Date: January, 2014

Under certain circumstances, a participant may continue some voluntary group benefits when on a leave of absence and when he/she is no longer a benefits eligible employee.

1. **Continuing Insurance Coverage during a Leave of Absence (Includes sabbatical)**
   Individuals on paid sabbatical or any paid leave of absence continue to participate in insurance programs through existing payroll deductions.

2. An individual on an approved unpaid leave of absence may continue to participate in current insurance elections, provided arrangements are made with the Division of Human Resources for the individual to pay the full premiums, either in advance of the leave or monthly during the leave.

3. **Continuing Insurance Coverage after Termination or Loss of Eligibility**
   Under the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA), a participant who terminates service or loses
eligibility for benefits (or dependents who lose eligibility for benefits) may continue participation in the medical, dental and vision plans for up to 18 months by paying the required premium. Affected individuals have 60 days to elect COBRA upon notification by the employer. The health care flexible spending account may also be continued. More information about COBRA continuation coverage is available on the Division of Human Resources website.

10.02.01 Social Security And Federal Old Age Survivors Disability Insurance

Policy Number: 10.02.01

Revised Date: April, 2013

The Federal Insurance Contributions Act (FICA) is a payroll tax withheld from paychecks for both Social Security (OASDI - Old Age Survivor and Disability Insurance) and Medicare (Hospital Insurance). Social Security (OASDI) is withheld on taxable gross income up to a certain wage limit each year, but there is no wage limit for Medicare withholding. Nonresident aliens are exempt from paying FICA payroll tax.

10.02.02 Participation In A State of Arizona Retirement Program

Policy Number: 10.02.02

Revised Date: April, 2013

Individuals who are employed at 20 hours per week (.50 FTE) or more for a period of twenty (20) weeks or longer within a fiscal year are required by Arizona law to participate in a recognized state of Arizona retirement plan. Participants and the University both contribute a percentage of gross earnings by pre-tax payroll deduction. Contribution rates are subject to change on a fiscal year basis. Each retirement plan includes long term disability insurance.

Non-pharmacy clinical assistants, postdoctoral research associates and nonresident aliens are ineligible to join these programs.

- Classified Staff participate in the Arizona State Retirement System (ASRS), a defined benefits retirement plan.
- Certified Peace officers participate in the Public Safety State Retirement System (PSPRS), a defined benefits retirement plan.
- Administrators, Faculty, Academic Professionals and Service Professionals may make a one-time, irrevocable election to join either the Arizona State Retirement System (ASRS), a defined benefits retirement plan, OR the Optional Retirement Plan (ORP), a defined contribution plan. The retirement plan election must be made within 30 calendar days of the individual's eligibility date. If an individual fails to elect a plan within 30 days, his/her participation will permanently default to membership in the ASRS.

10.02.03 Arizona State Retirement System (ASRS) And Long Term Disability Insurance

Policy Number: 10.02.03

Revised Date: March, 2015

ASRS is a defined benefits retirement plan. Participation begins on the first day of the pay period following 183 days of employment. for individuals with prior ASRS membership and monies on account, the waiting period does not apply, and participation is effective on the first day of the pay period following date of hire.

Retirement benefit payments are based on years of service, age at time of retirement, and average earnings. Several payment options are available.
Normal retirement is the earliest an employee may retire with a full benefit. A Normal Retirement date occurs under the earliest of the following circumstances.

ASRS membership date of June 30, 2011 or earlier:
- At age 65; or
- At age 62 with 10 or more years of credited service; or
- At any combination of years of credited service and age totaling 80 points.

ASRS membership date of July 1, 2011 or later:
- At age 65; or
- At age 62 with 10 or more years of credited service; or
- At age 60 with 25 or more years of credited service; or
- At age 55 with 30 or more years of credit service.

Participants are eligible for retirement benefits if they subsequently discontinue employment with the State of Arizona and leave their contributions on deposit in the plan.

Individuals who terminate employment before becoming eligible for a retirement annuity may withdraw their personal contributions with accrued interest. Employees hired before July 1, 2011 may withdraw a portion of the employer contributions after 5 years of service, and 100% of employer contributions after 10 years of service. Employees hired on or after July 1, 2011 without any prior ASRS membership are not eligible to receive employer contributions when withdrawing funds, unless separation is due to layoff. (Arizona Revised Statute S38-846.02)

Long-Term disability insurance is a form of income protection that provides a portion of salary in the event of a disabling illness or injury. A six-month qualification period is required before benefits begin. The minimum monthly benefit is $50.00, and both the ASRS participant and the University pay taxable premiums for this benefit.

### 10.02.04 Public Safety Personnel Retirement System (PSPRS) And Long Term Disability Insurance

**Policy Number:** 10.02.04  
**Revised Date:** March, 2015

PSPRS is a defined benefits retirement plan. Participation begins on the first day of the pay period following date of hire. Retirement benefit payments are based on years of service, age at time of retirement, and average earnings. Several payment options are available.

Normal retirement is the earliest an employee may retire with a full benefit. A Normal Retirement date occurs under the earlier of
- completion of twenty years of credited service, or
- at age 62 with completion of 15 years of credited service.

Participants may have a vested right to some level of retirement income, based on the plan's rules, after accruing sufficient credited service years. Once vested, if the employee separates from employment prior to retirement, the employee is eligible to receive employer contributions, plus interest. The PSPRS vesting schedule is defined in A.R.S. S38-954.

Long-Term disability insurance is a form of income protection that provides a portion of salary in the event of a disabling illness or injury. The minimum monthly benefit is $100.00, and the University pays the entire premium for this benefit.
10.02.05 Optional Retirement Plan (ORP) And Long Term Disability Insurance

Policy Number: 10.02.05
Revised Date: March, 2015

The Arizona Board of Regents ORP is a defined contribution plan. Participation begins on the date of hire.

ORP participants select an authorized investment company and actively direct and manage contributions to their retirement accounts. Retirement benefit payments are based on the value of the accounts at the time a participant withdraws funds.

The University's matching contributions are held in escrow for five years. After five years of continuous service affecting ORP contributions, all monies held in escrow plus interest are sent to the participant's ORP investment company. Thereafter, both the participant's contributions and the University's matching contributions are sent to the participant's ORP investment company every payday.

Participants in the ORP who have an active membership (monies on deposit) in a qualified defined benefit or qualified defined contribution retirement plan from a college, university, or higher education organization located in a state other than Arizona, or in a similar type of retirement plan in any country other than the United States, shall be immediately vested in the Arizona ORP, upon verification of eligibility.

Individuals leaving University employment may leave ORP funds on deposit, request a distribution, transfer, or rollover funds.

Long-Term disability insurance is a form of income protection that provides a portion of salary in the event of a disabling illness or injury. The minimum monthly benefit is $100.00, and the University pays the entire premium for this benefit.

10.02.06 Voluntary Supplemental Retirement Saving Programs

Policy Number: 10.02.06
Revised Date: October, 2011

All University employees are eligible to participate in the voluntary supplemental retirement savings programs. Participant contributions are made by payroll deduction, and are taken before taxes are calculated, which reduces the participant's taxable income. Voluntary deductions such as these are deducted only from the first two paychecks of each month. The University does not contribute to these voluntary retirement savings programs.

Participants actively direct contributions to their retirement savings accounts, and manage the investments. Contribution changes (start, stop, increase or decrease) may be made at any time. Investment options are traditional annuity and mutual fund products. Retirement benefit payments are based on the value of the accounts at the time a participant withdraws funds.

Additional information, including enrollment instructions and plan comparisons is available on the Human Resources website.

1. Voluntary 403(b) Plan (Internal Revenue Code S403(b))
   This program is jointly offered to employees by The Arizona Board of Regents and the Arizona Universities, which authorize specific investment companies to help employees save for retirement.

2. Deferred Compensation 457(b) Plan (Internal Revenue Code S457(b))
   This program is offered by the State of Arizona to all state and university employees, which authorize an investment company to help employees save for retirement.

10.02.07 Official University Retirement Benefits

Policy Number: 10.02.07
Revised Date: October, 2011

To be eligible to receive official University retirement benefits, an individual must:

- Be considered in retirement status by receiving a distribution from any retirement program recognized by the State of Arizona;
- Be at least fifty (50) years of age;
- Have completed five (5) years of continuous, benefits-eligible employment in the Arizona University System (or approved leave of absence or long-term disability) immediately preceding retirement; and
- Have not been terminated for cause by the University.

Notwithstanding these provisions, university peace officers who have retired before age fifty (50) pursuant to the provisions of the Arizona Public Safety Personnel Retirement System but have completed five (5) years of continuous, full-time employment in the Arizona University System (or approved leave of absence or long-term disability) immediately preceding retirement shall also be eligible for this benefit.

Retirees who meet these eligibility requirements have access to the following benefits:

- Free parking permit, for pre-defined locations
- Extension of UA Email privileges
- Discounts at UA Bookstores, season tickets for athletic events, and membership at the Student Union Recreation Center
- University Library loan privileges

10.02.08 Retiree Accumulated Sick Leave Payment

Policy Number: 10.02.08

Revised Date: October, 2011

Under this program, a retiring benefits eligible employee who has accrued at least 500 hours of unused sick time may receive cash payment for these hours. The maximum benefit is 1,500 hours of sick time, up to a maximum of $30,000. Benefits are paid out over a three year period, and appropriate FICA, federal and state income taxes are deducted prior to the payment of the benefit.

The State of Arizona General Accounting office (GAO) maintains and administers the Retiree Accumulated Sick Leave (RASL) program as defined by Arizona Revised Statutes S38-615 and S38-616, and outlined in section II-R of the State of Arizona Accounting Manual. Eligibility, application and payment option information is available on the GAO's RASL website. Eligible retirees may apply to the General Accounting office, which has sole discretion to grant or deny payment under the RASL program.

The RASL benefit value is calculated by multiplying the hourly pay rate at the time of retirement by the number of unused sick time hours (up to 1,500), as reported in the University's payroll system, and multiplied by the appropriate following percentage:

- At least 500 but less than 750 sick time hours; 25%
- At least 750 but less than 1,000 sick time hours; 33%
- At least 1,000 but less than 1,500 sick time hours; 50%

The hourly pay rate is calculated using the following methods.

- Hourly pay rate for fiscal year employees = Annualized Pay x FTE / 2,080 hours
- Hourly pay rate for academic year employees = Annualized Pay x FTE / 1,520 hours

Sick time is not paid in the event of resignation or discharge.
If the employee is eligible for normal retirement at the time of death, the beneficiary will receive a one-time lump sum cash payout.

10.04 Workers' Compensation Insurance

Policy Number: 10.04

All employees are covered by workers' compensation insurance while acting within the course and scope of their employment for the University. Any accident occurring within the course of employment should be reported immediately to the employee's department head, who will promptly forward an Incident Report form to the office of Risk Management and Safety. Medical and hospital expenses resulting from on-the-job injuries are covered, and, depending on the nature of the injury, varying degrees of compensation may be available to the employee as well. Certain benefits are paid to the dependents of an employee whose death is caused by an accident during the course of an employee's employment. Injured employees are encouraged to use Campus Health Service. Questions regarding workers' compensation should be directed to the Risk Management and Safety office.

10.05 Unemployment Insurance

Policy Number: 10.05

Unemployment insurance is provided for all employees of the University. This benefit, funded by the University, is available to all employees who become unemployed through no fault of their own.


10.06 Employee Assistance/UA Life&Work Connections

Policy Number: 10.06

The University provides a variety of health promotion, employee assistance, child care and elder care programs for University employees who are benefits-eligible. These services are provided by trained and certified helping professionals.

Employee Assistance Counseling/Consultation provides free, voluntary and confidential consultation, short-term counseling when appropriate, and referral to community resources.

Elder Care and Life Cycle Resources offers assistance to employees providing care for aging family members or anticipating their own needs as they approach retirement.

Worksite Wellness provides educational presentations on nutrition, fitness, body image, cancer prevention, conducts worksite health screenings and lifestyle consultations, provides referrals to community resources, and offers CPR training.

Child Care and Family Resources provides child care services and information to faculty, staff and students. These programs include resource and referral services, a sick child care program and a financial assistance program for child care expenses.

Additional information is available from UA Life&Work Connections or online as follows:

- UA Life&Work Connections
  http://lifework.arizona.edu/

10.07 Automobile Insurance

Policy Number: 10.07

Revised Date: September, 2002
All full-time employees are eligible to participate in a group (mass marketing) program for personal automobile insurance. Premiums are paid through payroll deductions. Further information, including procedures for obtaining rate quotations, can be obtained from Human Resources.

10.08 Section Removed

Policy Number: 10.08
Revised Date: March, 2009
Section Removed 3/2009

10.09 Qualified Tuition Reduction

Policy Number: 10.09
Revised Date: December, 2004

The University provides a Qualified Tuition Reduction program which enables eligible individuals to enroll in courses of study at reduced registration fees. The Qualified Tuition Reduction is reciprocal among the three state universities.

Reference: ABOR 6-902

10.09.01 Eligibility

Policy Number: 10.09.01

Employees: Benefits-eligible employees who work .50 FTE through 1.0 FTE may register for up to 9 credit hours per regular semester, up to 6 credit hours per regular summer session, and up to 4 credit hours per winter session at the reduced rate of $25. The Qualified Tuition Reduction does not include any laboratory, course, or materials fees. Eligibility for this benefit begins on the first day of benefits-eligible employment.

Spouses: Spouses of benefits-eligible employees who register for 1-9 or more credit hours per regular semester and 1-6 per summer session shall pay the reduced rate of $25 per semester, winter session or summer session for the total number of credit hours, plus any laboratory, course or materials fees. Eligible spouses may enroll at the special rate for classes that begin subsequent to the employee's date of employment.

Dependents: Dependent children of benefits-eligible employees may register for one or more courses at the rate of 25 percent of the full fees plus any laboratory, course or materials fees. Eligible dependent children may enroll at the special rate for classes that begin subsequent to the employee's date of employment. A dependent child is defined as one who is less than age 30 as of the first day of the semester for which application is made for reduced registration fees and who is eligible to be claimed as a dependent for federal tax purposes.

Retirees: Retired employees and their spouses and eligible dependent children, who were eligible for Qualified Tuition Reductions at the time of the employee's retirement, may continue to be eligible under the same terms and fee schedule as eligible employees if they

- have completed at least 5 years of continuous, eligible employment immediately preceding retirement,
- are receiving a retirement annuity under an Arizona university-sponsored retirement program,
- are at least 50 years old, and
- were not terminated for cause by the University.
Police officers: University of Arizona police officers who retire before age 50 pursuant to the provisions of the Arizona Public Safety Personnel Retirement System and who have completed five continuous years of eligible employment in the Arizona University System immediately preceding retirement, and their spouses and dependent children, are eligible for the Qualified Tuition Reduction benefit.

Leaves of Absence: Benefits-eligible employees on approved leaves of absence, and their spouses and eligible dependent children continue to be eligible for the Qualified Tuition Reduction for the duration of the approved absence.

Layoff/Reduction in force (applies to classified staff employees only): Otherwise eligible classified staff employees whose positions have been eliminated as a result of a layoff/reduction in force, and their spouses and dependent children, are eligible to receive the Qualified Tuition Reduction benefit for a period not to exceed 12 months from the effective date of the layoff/reduction in force if the classified staff employee has been employed at least 5 consecutive years at the University immediately prior to the effective date of the layoff and if he or she received a satisfactory or better performance evaluation. Classified staff employees who have been laid off, and their spouses and dependent children, may continue to receive the Qualified Tuition Reduction benefit for any semester or summer session when registration for classes for that semester or session occurs at least one day before the expiration of the 12 month period from the layoff effective date.

Spouses/Dependents of Deceased Employees: Upon the death of an eligible employee, retiree or employee who terminated employment for reasons relating to his or her long-term disability, with at least 5 continuous years of full-time employment with the University, the employee's spouse and/or otherwise eligible dependent children may enroll with the Qualified Tuition Reduction. The spousal benefit terminates at the time a surviving spouse remarries. The dependent benefit terminates at the time the dependent becomes 30, is no longer claimed as a dependent by the surviving spouse or estate, or the surviving parent remarries.

Affiliated Unit Employees: Employees of an affiliated unit and their spouses and dependent children may qualify for inclusion under the provisions of this policy, with the approval of the President or designee, if the employee is a member of an ROTC unit or if an approved written contract exists between the University and the affiliated unit that expressly grants Qualified Tuition Reduction to employees of the affiliated unit.

Other: Otherwise eligible employees who terminate employment for reasons relating to their long-term disability, and their spouses and dependent children, are eligible to participate if they have at least 5 years of continuous eligible service with the University immediately preceding their separation from employment. If the employee's long-term disability benefits cease, the employee ceases to be eligible for the Qualified Tuition Reduction benefit.

10.09.02 General

Policy Number: 10.09.02

The reduction of fees under this policy does not include expenses such as library and laboratory fees, books, supplies and other special course fees. Also excluded from this policy are correspondence courses.

This policy is not intended to limit the total number of credit hours an employee may take; however, credit hours taken in excess of the limits specified in this policy shall be paid for by the employee at the actual resident tuition rate for those hours.

Employees and their spouses are not eligible for student perquisites such as, but not limited to, student activity tickets or student health insurance programs.

Employees may enroll for courses during normal work hours with prior approval from their responsible administrators, directors or department heads, providing the time lost from work (including travel to and from class) is made up during the same work week.

10.09.03 Fee Rates - Tuition And Registration

Policy Number: 10.09.03
Information on tuition and registration costs is available from the Bursar's office or online as follows:

- The University of Arizona Bursar's office
  [http://www.bursar.arizona.edu/students/fees](http://www.bursar.arizona.edu/students/fees)

### 10.10 Discounts

**Policy Number:** 10.10  
**Revised Date:** September, 2002

Full-time employees may purchase season tickets for major athletic events, attend cultural events, make purchases from a University bookstore, and purchase membership for use of Campus Recreation facilities at discounted rates.

A California Visitors Package with discount coupons is available from Human Resources.

### 12.01.01 General

**Policy Number:** 12.01.01

These conditions of postdoctoral service shall constitute the policy under which postdoctoral scholars of the Arizona Board of Regents are appointed. Each notice of appointment or offer letter for postdoctoral scholars shall incorporate this policy by reference and shall provide that acceptance of the notice of appointment or offer letter is recognition that this policy constitutes the conditions of appointment. The Board shall not be bound by, nor does it adopt or incorporate herein, the interpretations, policies or recommendations of other organizations, except as approved by the Board.

The Board is charged by law to exercise control and supervision of the state universities and their property. Any authority delegated by the Board is always subject to its ultimate authority. The Board retains the right of periodic review and modification of all aspects of governance of the state universities, and the right to enact such rules, regulations, policies, and orders as it deems proper.

### 12.01.02 Definitions

**Policy Number:** 12.01.02

1. "Academic year" shall mean the period commencing and ending with each university's academic calendar.
2. "Appointment" means appointment for a period as specified in a notice of appointment or offer letter. The term refers to the initial appointment and all subsequent appointments, reappointments or renewals of appointments.
3. "Board" shall mean the Arizona Board of Regents.
4. "Day" shall mean calendar day, except that where the last day of any time period set forth in this document falls on a Saturday, a Sunday or a university recognized holiday, then the time period shall run until 5:00 p.m. of the next day which is not a Saturday, a Sunday or a university recognized holiday.
5. "Discriminatory action" means an action that constitutes discrimination on the basis of gender, race, color, national origin, religion, age, veteran status, sexual orientation or qualified handicapped status or any other discrimination prohibited by state or federal law.
6. "Fiscal year" shall mean a period of twelve (12) months commencing on July 1.
7. "Notice of appointment" shall mean the document by which an appointment is made and which is signed by the president or the president's designee.
8. "Offer letter" shall mean the document through which a postdoctoral scholar is offered a position and which is signed by the supervising faculty member.

9. "Postdoctoral scholar" shall mean an individual who has recently completed his/her doctoral studies and who holds short-term university appointments working under the guidance and direction of a faculty mentor as the individual prepares for a career as an independent scientist and researcher.

10. "President" shall mean the president of the appropriate university or the president's designated representative, and the executive director of the Board of Regents.

11. "Principal investigator" or "PI" means a faculty member who has been awarded external funding and who may appoint postdoctoral scholars to participate in the project for which the funding was awarded.

12. "Professional and intellectual freedom" shall mean the right and responsibility to exercise judgment within the standards of the postdoctoral scholar's discipline. Professional and intellectual freedom is defined as "academic freedom" for those employees involved in teaching and/or research.

13. "Renewal" means the process by which an appointment is extended for an additional period.

14. "Rule" means a written standard of general applicability that implements, interprets or prescribes law or policy, or describes the procedure to be utilized in implementing law or policy.

15. "Supervising faculty member" means the individual faculty member of a university who appoints, provides funding, and serves as the mentor for a postdoctoral scholar.

16. "University" means the University of Arizona, Arizona State University, Northern Arizona University or any other university under the jurisdiction of the Arizona Board of Regents.

### 12.0.1.03 Appointment Procedures

**Policy Number: 12.0.1.03**

1. The president shall establish procedures for appointments of postdoctoral scholars. An appointment may become effective as of the date it is approved by the president or the president's designee.

2. All postdoctoral scholars may be appointed for one academic or fiscal year, or a portion thereof. Appointments may be renewed on a year-to-year basis for not more than four years after the initial appointment. No oral or written communication made prior to or after the execution of a notice of appointment or acceptance of an offer letter that is inconsistent or in conflict with the conditions of postdoctoral service (ABOR 6-310) shall become a part of the conditions of appointment.

3. Generally, postdoctoral scholars are funded on the principal investigator's or supervising faculty member's external funding. Postdoctoral appointments that are dependent upon continuation of funding from a specific source other than state appropriations shall so state in the appointment document and may terminate when the funding is no longer available.

4. Postdoctoral scholars shall have no expectation of appointment beyond the end of the current appointment period and are not eligible for tenure or continuing status.

### 12.0.1.04 Compensation

**Policy Number: 12.0.1.04**

1. The president may set individual salaries. Salary rates for reappointments will depend upon available funding. Merit raises may be allocated by the president within the limitation of available funds.
2. Certain fringe benefits are made available to postdoctoral scholars and are subject to change by the legislature, the board, or the university.

3. Postdoctoral scholars are entitled to twelve (12) days of sick leave accrual per year, ten (10) days of vacation leave during the first year of appointment and fifteen (15) days per year for subsequent appointments. Vacation leave does not carryover from year-to-year and is not paid out upon termination.

4. Policies governing outside activities and supplementary compensation are administered by each university.

12.01.05 Employment related board policies

Policy Number: 12.0105

1. The board has adopted various policies which may be a part of the employment relationship depending upon the terms of the particular policy. Among these policies are the patent policy, medical service plan, royalty policy and leave policy. Changes to existing policies may be made by the board and such changes will normally become effective at the beginning of the first appointment period following the period in which a change is adopted. Additional policies may be added to be effective as determined by the board.

2. Each university shall maintain a compilation of such policies and shall take reasonable steps to inform postdoctoral scholars of the existence of such policies.

12.01.06 Duties and responsibilities

Policy Number: 12.0106

1. Duties and responsibilities of a postdoctoral scholar shall consist of those assigned by the president or the president's designee, who may be the principal investigator or supervising faculty member. All duties and responsibilities shall be carried out under the direction of the president or the president's designee. Duties and responsibilities shall be related to the expertise and competence of the postdoctoral scholar.

2. Performance of assigned duties by postdoctoral scholars shall be subject to evaluation by a principal investigator, supervising faculty member and/or appropriate administrator and performance shall be considered in decisions relating to compensation, retention, termination or a decision not to reappoint.

12.01.07 Reappointment

Policy Number: 12.0107

Postdoctoral scholars shall be given at least a sixty (60) day notification of non renewal prior to the end of the appointment period. Failure to provide a sixty (60) day notification of non renewal shall not constitute an automatic renewal of appointment. If notice of non renewal is given less than sixty days prior to the end of an appointment period, then the postdoctoral scholar shall be entitled to continuation of compensation for sixty (60) days from the date of notification. If funding is no longer available or eliminated, a postdoctoral scholar shall be provided with a thirty (30) day notification of termination of the appointment due to loss of funding.

12.01.08 Termination

Policy Number: 12.0108

1. Methods of termination The appointment of a postdoctoral scholar may terminate through resignation, non-renewal of appointment, loss of funding which supports the appointment, or dismissal for just cause during the appointment period for
poor performance, work related misconduct, violation of board or university policies, or other serious reason as determined by the supervising faculty member.

2. Dismissal during the appointment period
   1. The supervising faculty member shall provide a written recommendation of dismissal to the academic unit head, with a copy to the postdoctoral scholar. The recommendation shall provide the reasons or basis for the proposed action.
   2. If the postdoctoral scholar disagrees with the reasons for dismissal, he/she may, within five (5) days after receipt of the recommendation, submit an appeal to the academic unit head, with a copy to the supervising faculty member.
   3. The academic unit head will meet with the postdoctoral scholar and the supervising faculty member. Within ten (10) days after receipt of the appeal, the unit head will issue a written determination, affirming, reversing or modifying the recommendation of dismissal with the reasons for the decision.
   4. Within five (5) days after receipt of the decision, the postdoctoral scholar may submit a request for reconsideration of the determination to the college dean, who will review the case and issue a final decision within ten (10) days after receipt of the request for reconsideration.

3. The supervising faculty member may decide not to renew the appointment of any postdoctoral scholar. In such case, the postdoctoral scholar is not entitled to a reason for the decision to non-renew the appointment or a hearing either prior to or subsequent to the decision.

4. Interim action
   A postdoctoral scholar may be suspended with pay pending a dismissal in a case in which the supervising faculty member, unit head and college dean determine that the continued presence of the individual on the campus constitutes a substantial interference with the orderly functioning of the university or of a substantial area, unit, college or department of the university.

12.01.09 Discrimination review procedures

Policy Number: 12.01.09

1. Each university shall maintain a procedure for reviewing claims of unlawful discrimination.

2. Whenever a postdoctoral scholar believes that a decision on reappointment, non-renewal, or dismissal was based on unlawful discrimination, the individual shall have a right to have his or her complaint reviewed in accordance with university policies and processes for investigation and disposition of such complaints.

12.01.10 Implementation

Policy Number: 12.01.10

The president shall establish such additional policies and procedures consistent with this policy as may be needed to carry out the conditions of postdoctoral service (ABOR 6-310).

12.01.11 Severability

Policy Number: 12.01.11

If any section, paragraph, subdivision, clause, sentence or phrase of this policy shall for any reason be held illegal or unenforceable, such decision shall not affect the validity of the remaining portions of the policy. If any provision of this policy contains an ambiguity, which may be construed as either valid or invalid, the valid construction shall prevail.