



Guide to Faculty Rights and Resources

Created by the Academic Personnel Policy Committee, The University of Arizona
In collaboration with the Office of Faculty Affairs - Version 2024c20

Table of Contents

- Scope of this document ...3
- Principles: Governance, Representation, and Academic Freedom ...6
- Promotion ...9
- Grievances, Privacy, and Conflicts ...11
- University Offices and Units ...14

Scope

intent of this document

- This slideshow is an overview of some of the main rights and resources available to faculty at the University of Arizona. It has been conceived and constructed by the Academic Personnel Policy Committee (APPC)—a Faculty Senate Committee—with help from university offices acknowledged in each relevant slide.
- This is a working guide maintained by APPC with many links and pointers to online resources. Please contact the [APPC Chair](#) with suggestions for additions, corrections, or updates.
- APPC will annually revise and update this document.
- Throughout this document, underlining is used for links to external resources.

Scope

hierarchy of laws, policies, and procedures

- In terms of relative authority: **Department < College < University UHAP < UA Bylaws < UA Constitution < ABOR policies**
 - Of course, federal and state law hold primacy over all of these.
 - FAQs are oftentimes kept as a means to communicate how policies are enacted.
- Members of the Arizona Board of Regents (ABOR) are appointed by the Governor to staggered eight-year terms. Chapter 6 of ABOR's [Policy Manual](#) pertains to personnel, including faculty.
- The [University of Arizona Faculty Constitution](#) sets forth the basic organization and processes through and by which the General Faculty of the University of Arizona shall function, within the scope of its authority and responsibility, under state law and the policies and regulations of the Board of Regents authorized by that law.
- The [Faculty Bylaws](#) are more specific regarding implementation of the Constitution. UHAP (next slide) is an implementation of these policies.

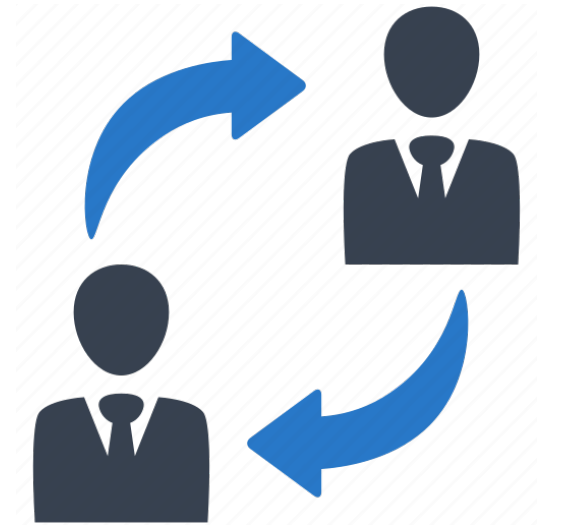
Scope

implementation of policies

- You will hear frequent reference to [UHAP](#) (the University Handbook for Appointed Personnel) at the University of Arizona.
- This UHAP is a collection of policies specific to appointed personnel at of The University of Arizona. The term "appointed personnel" includes faculty members, academic and service professionals, and administrators, as defined herein (see chapters 3, 4, and 5 respectively).
- UHAP Chapter 3 pertains to Faculty employment, promotion, and review:
 - 3.1 [Duties and Appointment of Faculty](#).
 - 3.2 [Annual Performance Reviews of Faculty \(APR\)](#).
 - 3.3 [Promotion and Tenure](#) (for both Tenure-Eligible and Career Track).
 - 3.4 [Suspensions and Terminations of Faculty Appointments](#) (including information on non-renewal and appeals).

Driving Principles

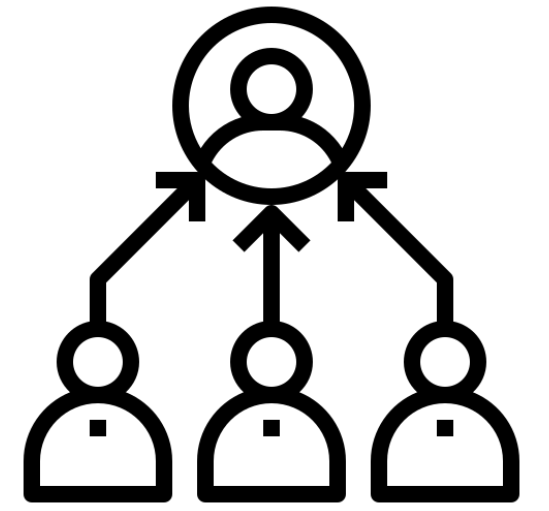
shared governance



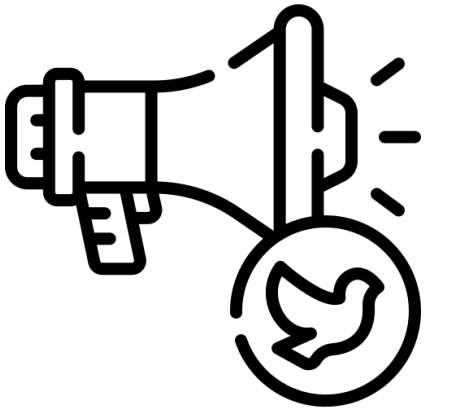
- The faculty [share in the responsibility](#) of academic, educational, and faculty matters. It is mandated by Arizona State Law:
 - *“The Universities shall have colleges, schools and departments and give courses of study and academic degrees as the Board (of Regents) approves. Subject to the responsibilities and powers of the Board and the University Presidents, the faculty members of the Universities, through their elected faculty representatives, shall share responsibility for academic and education activities and matters related to faculty personnel. The faculty members of each University, through their elected faculty representatives, shall participate in the governance of their respective Universities and shall actively participate in the development of University policy.”* — [ARS 15-1601B](#)

Driving Principles

representation



- The latest [Memorandum of Understanding](#) (5/2022) between faculty officers and senior leadership indicates that the primary stakeholder groups for shared governance include:
 - The [Faculty Senate](#) (and, by extension, its committees).
 - The [Strategic Planning and Budgetary Committee](#) (SPBAC).
 - The [Committee of Eleven](#) (C11).
- Faculty members are represented by Senators elected by faculty within their college (or other unit) in even-numbered years for two-year terms, and by Senators At-Large elected in odd-numbered years for two-year terms. The current Senate roster is [here](#).
- There are three Faculty Senate Officers: Chair, Vice Chair, and Secretary. Their roles are described [here](#).



Driving Principles

academic freedom and freedom of expression

- Faculty Senate approved the “[Adoption of Chicago Statement of Freedom of Expression](#)” in 2018, a recommendation endorsed by [President Robbins in 2019](#).
- **Excerpt of note:** *“Of course, the ideas of different members of the University community will often and quite naturally conflict. But it is not the proper role of the University to attempt to shield individuals from ideas and opinions they find unwelcome, disagreeable, or even deeply offensive. Although the University greatly values civility, and although all members of the University community share in the responsibility for maintaining a climate of mutual respect, concerns about civility and mutual respect can never be used as a justification for closing off discussion of ideas, however offensive or disagreeable those ideas may be to some members of our community. The freedom to debate and discuss the merits of competing ideas does not, of course, mean that individuals may say whatever they wish, wherever they wish. The University may restrict expression that violates the law, that falsely defames a specific individual, that constitutes a genuine threat or harassment, that unjustifiably invades substantial privacy or confidentiality interests, or that is otherwise directly incompatible with the functioning of the University. In addition, the University may reasonably regulate the time, place, and manner of expression to ensure that it does not disrupt the ordinary activities of the University. But these are narrow exceptions to the general principle of freedom of expression, and it is vitally important that these exceptions never be used in a manner that is inconsistent with the University’s commitment to a completely free and open discussion of ideas.”*
- See also UHAP section 7.01.02

Employment and Promotion

faculty designations



- Types of faculty at the University of Arizona are described [here](#).
- Tenure-Track Faculty members are originally appointed with the words "with tenure" or "tenure-eligible" on their Notice of Appointment. Tenure-eligible faculty members means those full time members of the faculty who have the opportunity to be reviewed for tenure appointments. Those whose titles do not include such designations as "visiting," "adjunct," "research," or "clinical." See [UHAP Chapter 3](#).
- Career-Track Faculty are in non-tenured (and non-tenure-eligible) positions with terms as "lecturer," "instructor," or "professor of practice" in their title. Length and types of appointments of career-track faculty members can vary from one to three years. For rules and procedures regarding successive renewal, non-renewal, and promotion of career-track faculty members, begin with [UHAP Chapter 3.01](#).
- Continuing-Status Professionals may be appointed for various terms of employment. Their duties, terms, and conditions for retention and promotion are set by the President. Continuing-Status Professionals are subject to [ABOR 6-302](#). See [UHAP Chapter 4](#).

Promotion promotion & tenure



- The go-to resource for faculty is the [Vice Provost for Faculty Affairs](#).
 - The tenure and promotion processes are described [here](#).
- If you ask ten colleagues how to manage P&T (Promotion & Tenure), you will likely get eleven different answers; most of them will be at least partially incorrect due to the evolution of policies and procedures.
- Know that each college has unique criteria for promotions.
 - Find yours [here](#) – be sure to find the correct column (tenure- or career-track).

Grievances

informal and formal conflict resolution



- Grievances may arise between faculty, or between faculty and administrators.
 - **Informal** advising and resolution can be sought by contacting the [Ombuds Office](#) or through the [Committee on Conciliation](#).
- UHAP Chapter 6 provides a “high-level” summary and guide for **formal** resolution.
 - It is important to review the most current [grievance processes](#). Do not presume that what was in place for one colleague years ago is still the current process.
 - This [grievance flowchart](#) is a comprehensive resource that can help untangle the complexities of the process.
- Broadly speaking, the handling of grievances begins with the immediate administrative supervisor above the level of the concern. If unsuccessful, it may be further addressed to the level above that supervisor.
- Formal grievance processes may further proceed to the [Grievance Clearinghouse Committee](#) after internal review through UHAP has been completed. The GCC process can be accessed by filing a [petition](#).
- Feel free to inform your Senate representative of your grievance if you wish.

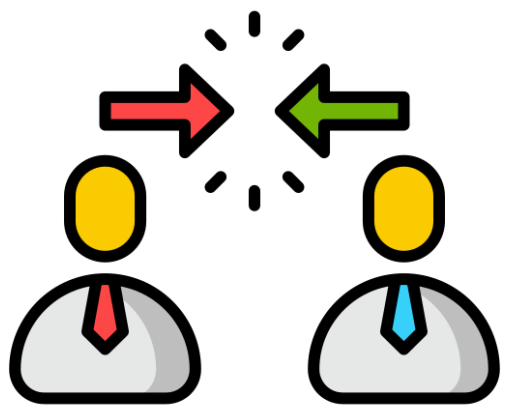


FERPA and HIPAA

two different laws that protect private information

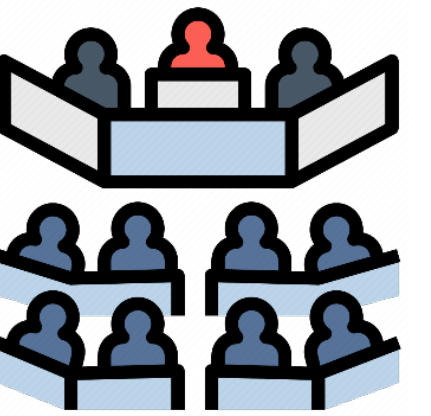
- [FERPA](#) (Family Educational Rights and Privacy Act) is a federal law designed to protect the privacy of a student's education record.
 - With only a few exceptions, student education records are considered confidential and may not be released without the written consent of the student, not even to parents, regardless of who "pays the bills."
 - As a faculty or staff member you have a responsibility to protect education records in your possession.
 - As a faculty or staff member you may only access information that is needed for legitimate completion of your responsibilities as a university employee.
 - All faculty must take (FERPA) [training](#).
 - Forms for students to authorize the release of information are [here](#).
- [HIPAA](#) (the Health Insurance Portability and Accountability Act of 1996) is a federal law that established national standards to protect patient health information from being disclosed.
 - UA is a hybrid entity and does have designated health care components. Only [some units](#) have such designation.
 - If you are working with protected health information (PHI), you will need to complete HIPAA [training](#).
 - Faculty should E-mail the [Central Privacy Office](#) if they have any questions.

Conflicts of Interest and Commitment



<https://research.arizona.edu/OROI>

- Conflicts of interest arise when University personnel's external and personal interests pose risks of undue influence as it relates to the University's missions and financial interests, or from business or administrative decisions.
- Conflicts of Commitment arise when a University Employee's outside activity interferes with, or could interfere with, their obligations to the University of Arizona.
- CoIs and CoCs are defined [here](#), and are governed by [ABOR policy](#), [UA policy](#), and [RII](#).
- All outside interests and outside activity must be reported.
- Conflicts can arise from you or a family member having decision-making authority (*i.e.*, you are an administrator), from holding copyrights or patents, from owning equity in (or consult for, obtain honoraria from, or are otherwise paid by) external companies, from having managerial, professional, or fiduciary positions in external companies.
- Conflicts are particularly problematic (but not exclusively) in regards to research and funding, so they are generally managed through the Office of Research, Innovation, and Impact (RII).
- Investigators must (1) update their disclosure within 30 days of a new Outside Interests or a change to an existing Outside Interest, and (2) submit a certification at least annually. (Disclosures persist across certifications so there are individuals who do not have to disclose, but only submit a certification.)
- See weblink here or more information and FAQs on [professional consultation and external employment](#).



Faculty Center

facultygovernance.arizona.edu/about-us

- The core administrative office of the Faculty Senate.
 - The current roster of senators, including yours, is [here](#).
- The Faculty Center is directed by the Chair of the Faculty, and is staffed by two employees who manage and coordinate the activities and proceedings of the Faculty Senate, as well as the Faculty Senate Standing committees, General Faculty committees, and University-wide committees. The Faculty Center's meeting room can host meetings of up to ten people, and offers resources regarding faculty/shared governance to any member of the faculty or the University Community.
- Contact this office for general administrative questions about the Senate activities or its committees, if you cannot find answers on the faculty governance website. For content matters, contact your Senate representative.
- The Faculty Center receives grievances for the Grievance Clearinghouse Committee.



Disability Resource Center (DRC)

drc.arizona.edu

- The Disability Resource Center (DRC) centralizes all disability access and ADA compliance for students, employees, and guests. DRC facilitates individual accommodations through a confidential, interactive process, and also works proactively to promote universal design across campus environments and experiences.
- Provides help and resource for all members of the community – faculty and students.
 - DRC is a resource to the entire campus community and can provide consultation and education on how to maximize disability access and promote inclusion.
 - Students can affiliate with DRC online; the DRC will work with faculty to arrange specific accommodations.
 - Faculty and staff (including graduate assistants and undergraduate student workers) can affiliate with DRC online to explore accommodations in the workplace. DRC will consult with department heads, managers, and supervisors on accessibility.
 - Contact DRC with questions or for consultation by phone: 520-621-3268 or email: disability@arizona.edu.

Office of Institutional Equity (OIE)

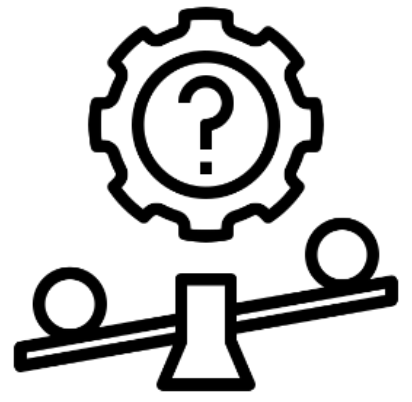
equity.arizona.edu



- Acts to ensure equal opportunity and safeguard the civil rights of UA community members.
- OIE is responsible for reviewing and, where appropriate objectively investigating complaints of discrimination and harassment, including but not limited to complaints of sexual discrimination and sexual misconduct, against employees, students and other UA affiliates.
- OIE encourages [online reporting](#) of discrimination concerns. OIE will reach out to impacted persons to discuss options and available resources. Faculty who receive information about suspected discrimination toward students or others whom the faculty supervise are required ([Policy](#)) to promptly report it and provide all available information and documentation to OIE.
- UA's Non-discrimination [statement](#).
- If you are approached by a student who may have a grievance, [here](#) is some advice on helping.

Bias Education & Support Team (BEST)

equity.arizona.edu/university-resources/best



- Deal with issues related to bias and free speech.
- Resource for members of the university community who believe they have experienced a bias-related incident for which they would like to receive support or facilitate communications when that incident would not be subject to investigation and accountability under the Nondiscrimination and Anti-harassment Policies. BEST will refer cases to specific UA offices for due process.
- Note: BEST does not restrict free speech, conduct investigations, or issue disciplinary sanctions.
- You can submit an incident report [online](#).



UA Ombuds Office

ombuds.arizona.edu

- Ombuds is a confidential, informal, impartial, and independent resource for effective communication, collaboration and conflict management. The Ombuds Committee consists of a diverse array of campus professionals such as faculty and staff that provide resources and informal problem-solving solutions. Ombuds operate informally outside and independently from the grievance processes. The Ombuds committee is made of appointed faculty, staff and students.
- The Ombuds do **not** deal with: promotion and tenure of faculty, termination of an employee during a probationary period, student misconduct and academic integrity, and issues noticed by compliance investigators. Ombuds do not generally keep written records of their work, do not give legal advice, and are not advocates for either side of a dispute.
- Inquiry and Retaliation are Inappropriate: The University supports efforts to manage and resolve concerns informally, so as to preserve collegial and effective working relationships, maintain a vibrant University community, and avoid the time and expense required in formal processes. Because the Ombuds Program is intended to be a confidential resource, it is not appropriate to inquire about an individual's use of the program or any communication that may have taken place there. Furthermore, discouraging or preventing anyone who is eligible from using the program is inappropriate. An individual's use of the program or participation in the process will always be completely voluntarily, although it is acceptable to remind individuals that the program is available as an option or a resource.
- You can contact the Ombuds program by email: ombuds@arizona.edu. Note that emails are not confidential at UA and can be accessed internally or by using the office of public records.

UA Office of General Counsel

ogc.arizona.edu



- The [Office of the General Counsel](#) (OGC) analyzes and advises University administrators on the legal implications of policy and other decisions under applicable law, regulations, and policies; represents the University in litigation matters, administrative proceedings, and significant transactions; engages in various activities to prevent legal claims against the University; and conducts and participates in a number of training sessions and department specific presentations on selected legal topics.
- In general, the purpose of OGC is to represent and protect the interests of the institution, not individual faculty. That said, faculty can request legal advice for issues of interest to the University by submitting this [form](#) with the signature of their Dean, Department Head, or Unit Administrator.
- OGC can provide free Notarization services for faculty and staff, but not for students.



UA Office of Public Records

arizona.edu/publicrecords

- The University of Arizona has a special responsibility to make information easily available to the public. It is meant to respond in a timely manner to all legally permitted requests for information.
- To file a request: Please email the completed form to publicrecords@email.arizona.edu, or fax to (520) 621-9001, or mail your request form to P.O. Box 210066, Tucson, AZ 85721-0066.
- You can also link to the website below.
 - <https://www.arizona.edu/publicrecords>
 - [FAQs](#) about public records requests are found on OGC's site.

UA Police Department

uapd.arizona.edu



- The Police officers of the University of Arizona – [Emergency Alert System](#).
- All students, faculty, and staff are encouraged to promptly and accurately report all suspicious activity and crimes to the UAPD or other local law enforcement for activity occurring off-campus.
- Crimes and other emergencies can be reported to UAPD 24 hours a day by calling 9-1-1, or for non-emergences bay calling 520-621-UAPD (8273) or coming to the UAPD station at 1852 E First St.
- There is also a free app utilized by UAPD called LiveSafe which allows individuals to make reports anonymously and provides additional resources.
- You can also make a report on-line for certain types of crimes on the UAPD website www.uapd.arizona.edu .
- UAPD officers are sworn certified peace officers under Arizona Revised Statute titles 1-215 and 13-3871 with the authority to carry firearms, enforce state laws, issue citations, and make arrests across the state of Arizona. UAPD's primary patrol jurisdiction is the University's main campus.

Threat Assessment and Management

tamt.arizona.edu



- The University's Threat Assessment and Management Team (TAMT) works to determine if an individual poses or could potentially pose a threat of violence to others.
- TAMT reviews reports about threatening, disruptive, or otherwise concerning behaviors, considers various approaches to managing concerning behavior, and provides guidance regarding how to address and prevent violent and disruptive behavior.
- Examples of behaviors to report to TAMT include (but are not limited to) actual or implied threats of violence, stalking or other intrusive behaviors, harassing conduct, concerning electronic communications, and any behaviors that make people feel afraid about potential safety issues.
- Report concerns to TAMT by visiting tamt.arizona.edu
- However, TAMT is not an emergency service, so if you feel you are in imminent danger, call 9-1-1.
- The campus community is encouraged to review the TAMT website for more information.



Life and Work Connections

lifework.arizona.edu

- Unit that can provide or connect you with resources for mental, physical, financial and social health.
- Services:
 - Mental health: regular free workshops, training in suicide prevention, suicide-prevention, and [12 free individual therapy sessions](#).
 - Physical health: regular mini and in-depth health screenings and workshops.
 - Financial: workshops and on-demand video; financial, relocation, and legal services.
 - Social: consultations on adult and elder care, parenting, and childcare – up to 80 hours of dependent Back-Up Care services.
 - Childcare reimbursement (up to \$2,000/year).
 - Full access to LinkedIn Learning.
- Phone: 520-621-2493, Email: lifework@arizona.edu, Subscribe to their [newsletter](#).



Human Resources

hr.arizona.edu

- Provides guidance on navigating benefits such as health plans, retirement, and leave.
- Training modules are available [here](#).
- Phone: 520-621-3660, Email: hrsolutions@arizona.edu.