Policy Revision

Policy Title	Undergraduate Certificate Definition, Procedures, and Policies
Policy Link	https://catalog.arizona.edu/policy/undergraduate-certificate-definition-procedures-and-policies
Rationale for Update	The Undergraduate Certificate Definition, Procedures, and Policies were originally written with small plans in mind, usually consisting of 12-18 units of credit. Since the policy was initially approved, it has become clear that some undergraduate certificates with a larger number of units may be proposed. The limits on duplication of credit that were originally drafted as 6 units are proposed to be updated to 50% of units; for most 12-unit certificates this will have no effect, but it will enable larger certificates to be structured appropriately based on their needs. Similarly, the initial requirement for all changes to certificates to be approved through shared governance was drafted with 12-unit certificates in mind; requiring only substantial changes to be approved through shared governance will align the procedures for certificates with those already in place for majors and minors, and will allow departments to more nimbly make regular updates to certificate requirements.
Contact Person for Questions	Stephanie Carlson, Program Manager, Curricular Affairs

Approvals Granted (for council use only)	UGC Policies Subcommittee	Scheduled: 10/27/2020	Status: Approved 10/27/2020
	Undergraduate Council	Scheduled: 11/10/2020	Status: Approved 11/10/2020
	CAAC	Scheduled: 11/24/2020	Status: Scheduled
	Faculty Senate	Scheduled: 12/7/2020	Status: Scheduled

Policy Revision Side by Side

Additions in Green – Deletions in Yellow

Existing Policy	Proposed Edit
An undergraduate certificate is a focused, structured and interrelated set of courses that enhances the undergraduate experience in an emerging academic area, addresses a professional development need, or provides "step-up" preparation for a degree program. ## Admission to Certificates 1. Undergraduate certificates and advanced undergraduate certificates are available to degree seeking or non-degree	An undergraduate certificate is a focused, structured and interrelated set of courses that enhances the undergraduate experience in an emerging academic area, addresses a professional development need, or provides "step-up" preparation for a degree program. ## Admission to Certificates 1. Undergraduate certificates and advanced undergraduate certificates are available to degree seeking or non-degree

Last updated: 8/31/2020 7:39 AM

seeking students (1) at the UA main campus, branch campuses, and domestic locations, (2) in degree seeking programs at international universities where UA has approved international partnerships, and (3) at approved UA global locations.

2. Certificate applicants must meet UA Undergraduate Admission requirements.
3. Students enrolled in an undergraduate degree program may add a certificate before completing their degree requirements by contacting the offering unit and satisfying the admission requirements for the certificate.

Certificate Approval and Modification Procedures

1. Sufficient resources must exist to support the certificate without penalizing existing academic programs, including subplans/options and minors.
2. Certificates may be offered by an academic unit that does not currently offer a related degree program. Non-academic units may create certificates that are sponsored by an academic unit that undergoes an academic program review.
3. Each certificate must have an oversight committee (such as a curriculum committee). The oversight committee shall consist of a minimum of 3 members, 2 of which are faculty and at least one of the 2 is participating faculty in the certificate program. The oversight committee is responsible for:
   a. qualifications of participating faculty,
   b. coordination of admission recommendations with the Office of Admissions, and
   c. curricular changes.

4. Departments must have support staff for the program to advise students on their status, financial aid eligibility, and curricular offerings.
5. ~~Any change in~~ the originally approved certificate shall be approved by Curricular Affairs, Undergraduate Council (UGC), and College Academic Administrators Council (CAAC) prior to implementation.
6. Certificates must be included in the unit's academic program review (APR) process.
7. Undergraduate certificates that do not have a total of 9 completions over a 3-year period will be subject to disestablishment. Units offering certificates that fall below this threshold must submit documentation justifying continuation of the program. Requests for continuation will be reviewed by Curricular Affairs and may be added as consent agenda items for the UGC's Academic Programs Subcommittee.
8. Certificate programs may be disestablished at any time by the offering academic unit with approval from Curricular Affairs. Students currently enrolled should be accommodated until completion of their certificate program.

Certificate Policies

1. Certificates may be structured either as discipline-specific or cross-disciplinary. Academic units applying for certificates must consult with and obtain support from related programs and departments to ensure availability of required courses that are offered by another department, and to avoid duplication of content. Evidence of support from these departments should be included with the certificate proposal.

4. Departments must have support staff for the program to advise students on their status, financial aid eligibility, and curricular offerings.
5. Substantial changes to the originally approved certificate shall be approved by Curricular Affairs, Undergraduate Council (UGC), and College Academic Administrators Council (CAAC) prior to implementation. The threshold for substantial change is defined by Curricular Affairs.
6. Certificates must be included in the unit's academic program review (APR) process.
7. Undergraduate certificates that do not have a total of 9 completions over a 3-year period will be subject to disestablishment. Units offering certificates that fall below this threshold must submit documentation justifying continuation of the program. Requests for continuation will be reviewed by Curricular Affairs and may be added as consent agenda items for the UGC's Academic Programs Subcommittee.
8. Certificate programs may be disestablished at any time by the offering academic unit with approval from Curricular Affairs. Students currently enrolled should be accommodated until completion of their certificate program.

Certificate Policies

1. Certificates may be structured either as discipline-specific or cross-disciplinary. Academic units applying for certificates must consult with and obtain support from related programs and departments to ensure availability of required courses that are offered by another department, and to avoid duplication of content. Evidence of support from these departments should be included with the certificate proposal.

2. Certificates may be stand-alone or linked to an existing degree program.
3. Emphases, focal areas, tracks, sub-specializations, or subplans are not permitted in an undergraduate certificate.
4. Minimum number of units:
    a. An undergraduate certificate must consist of at least twelve (12) units of credit, regardless of a student's status when the credits were earned (current degree seeking or prior non-degree seeking).*
    b. At least six (6) units of credit must be upper division UA course work.
    c. No more than ~~six (6)~~ units of credit used to complete the certificate can also be used for a current degree requirement (i.e., major, minor, or General Education) ~~or~~ second certificate.**
5. ~~The maximum duplicate units from a current or previously awarded degree program or certificate applicable to a certificate is six (6) units.~~
6. Offering units may determine whether course work taken at another institution may be applied to a certificate. A minimum of six (6) units used to complete the certificate must be University credit.
7. Course work completed more than four (4) years before admission to a certificate may not be applied unless approved through an appeals process with the offering unit.
8. Completed approved certificates will be noted on the student's official academic record.
9. All University policies apply, including academic, grading, admission, retention, contact hours, and faculty eligibility to teach.

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3. Emphases, focal areas, tracks, sub-specializations, or subplans are not permitted in an undergraduate certificate.
4. Minimum number of units:
    a. An undergraduate certificate must consist of at least twelve (12) units of credit, regardless of a student's status when the credits were earned (current degree seeking or prior non-degree seeking).*
    b. At least six (6) units of credit must be upper division UA course work.
    c. No more than 50% of the units of credit used to complete the certificate can also be used for a current degree requirement (i.e., major, minor, or General Education), second certificate, or previously awarded degree program.**
5. Offering units may determine whether course work taken at another institution may be applied to a certificate. A minimum of six (6) units used to complete the certificate must be University credit.
6. Course work completed more than four (4) years before admission to a certificate may not be applied unless approved through an appeals process with the offering unit.
7. Completed approved certificates will be noted on the student's official academic record.
8. All University policies apply, including academic, grading, admission, retention, contact hours, and faculty eligibility to teach.
9. These certificate policies cannot be petitioned.

10. These certificate policies cannot be petitioned.

* Previously approved certificates with fewer units would not be subject to these requirements, unless the offering unit proposes a modification to the certificate, at which point all current unit requirements and policies must be met.

** This double-use policy would not impact students enrolled in previously approved certificates who may be double-dipping more than 6 units.

* Previously approved certificates with fewer units would not be subject to these requirements, unless the offering unit proposes a modification to the certificate, at which point all current unit requirements and policies must be met.

** This double-use policy would not impact students enrolled in previously approved certificates who may be double-dipping more than 50% of units.

Policy Revision

Policy Title	Course Syllabus Policy: Undergraduate (with Template)		
Policy Link	https://policy.arizona.edu/faculty-affairs-and-academics/course-syllabus-policy-undergraduate-template		
Rationale for Update	To provide updated and streamlined information about the University's Nondiscrimination and Anti-harassment policy and available resources for students, including confidential survivor advocacy services.		
Contact Person for Questions	Mary Beth Tucker, Interim Associate Vice President, Equity and Title IX Coordinator mtucker@email.arizona.edu		
Approvals Granted *(for council use only)*	UGC Policies Subcommittee	Scheduled: 10/27/2020	Status: Approved 10/27/2020
	Undergraduate Council	Scheduled: 11/10/2020	Status: Approved 11/10/2020
	CAAC	Scheduled: 11/24/2020	Status: Scheduled
	Faculty Senate	Scheduled: 12/7/2020	Status: Scheduled

Policy Revision Side by Side

Additions in Green – Deletions in Yellow

Existing Policy	Proposed Edit
UNDERGRADUATE SYLLABUS TEMPLATE Course Number & Title Location and Times Revisions to Course Objectives/Expected Learning Outcomes, Absence/Class Participation Policy, and Accessibility/Accommodations approved by Faculty Senate, 11/5/18. **Description of Course** (recommended) Short and concise, giving enough detail to be useful	**UNDERGRADUATE SYLLABUS TEMPLATE** Course Number & Title Location and Times Revisions to Course Objectives/Expected Learning Outcomes, Absence/Class Participation Policy, and Accessibility/Accommodations approved by Faculty Senate, 11/5/18. **Description of Course** (recommended) Short and concise, giving enough detail to be useful

Last updated: 10/19/2020 7:22 AM

Course Prerequisites or Co-requisites (recommended)

List all course prerequisites and any courses that must be taken simultaneously with this course.

Instructor and Contact Information (required)

Instructor name, office location, telephone number, e-mail address

Office Hours/"Open Door Policy"

Teaching assistants (if applicable) and their contact information and office hours (if applicable)

Web information, including course home page, instructor home page, and D2L information

Course Format and Teaching Methods (recommended)

Lecture only, lecture and lab combination, seminar, studio, small-group activities or group projects, experiential or service-learning, in-class discussion, web-delivered content or assessment, etc.

Course Objectives (required)

Course objectives describe what the instructor plans to cover in the course. The objectives should be related to the Course Catalog description and the scheduled topics.

Expected Learning Outcomes (required)

Learning outcomes describe what a student should know or be able to do upon completing the course, based on knowledge/skills gained. Outcomes are stated in measurable terms and should be aligned with the learning outcomes for the program (e.g., Major, Minor, General Education).

Resources:

- [OIA learning outcome guide](#)

Absence and Class Participation Policy (required)

Required language:

The UA's policy concerning Class Attendance, Participation, and Administrative Drops is available at: http://catalog.arizona.edu/policy/class-attendance-participation-and-administrative-drop

Required language:

The UA policy regarding absences for any sincerely held religious belief, observance or practice will be accommodated where reasonable, http://policy.arizona.edu/human-resources/religious-accommodation-policy.

Required language:

Absences pre-approved by the UA Dean of Students (or Dean Designee) will be honored. See: https://deanofstudents.arizona.edu/absences

Recommended language:

[This may be edited to fit a particular course. Note, however, that faculty may not require students to provide documentation of health-related issues in order to have an absence excused.] Participating in the course and attending lectures and other course events are vital to the learning process. As such, attendance is required at all lectures and discussion section meetings. Absences may affect a student's final course grade. If you anticipate being absent, are unexpectedly absent, or are unable to participate in class online activities, please contact me as soon as possible. To request a disability-related accommodation to this attendance policy, please contact the Disability Resource Center at (520) 621-3268 or drc-info@email.arizona.edu. If you are experiencing unexpected barriers to your success in your courses, the Dean of Students Office is a central support resource for all students and may be helpful. The Dean of Students Office is located in the Robert L. Nugent Building, room 100, or call 520-621-7057.

Makeup Policy for Students Who Register Late (recommended)

Statement on whether students who register after the first class meeting may make up missed assignments/quizzes and the deadline for doing so

Course Communications (recommended)

Existing Policy	Proposed Edit
Means by which online communication will be conducted (e.g., official UA e-mail address, D2L)	Means by which online communication will be conducted (e.g., official UA e-mail address, D2L)
Required Texts or Readings (required)	**Required Texts or Readings (required)**
List both required and recommended texts, books, articles, etc.; delineate required versus optional.	List both required and recommended texts, books, articles, etc.; delineate required versus optional.
Availability: purchased, library reserve, or class handouts and D2L	Availability: purchased, library reserve, or class handouts and D2L
Required or Special Materials (required, if applicable)	**Required or Special Materials (required, if applicable)**
Special tools or supplies needed: graphing calculator, thumb drives, drafting tools, etc.	Special tools or supplies needed: graphing calculator, thumb drives, drafting tools, etc.
Required Extracurricular Activities (required, if any)	**Required Extracurricular Activities (required, if any)**
Explain field trips, service-learning projects, etc., with the expected time commitment.	Explain field trips, service-learning projects, etc., with the expected time commitment.
Assignments and Examinations: Schedule/Due Dates (required)	**Assignments and Examinations: Schedule/Due Dates (required)**
Number of required papers and assignments, with description	Number of required papers and assignments, with description
Number of quizzes and exams	Number of quizzes and exams
Recommended language: Policy on revision and resubmission of assigned papers, with appropriate deadlines.	Recommended language: Policy on revision and resubmission of assigned papers, with appropriate deadlines.
Writing Requirement (required for General Education courses)	**Writing Requirement (required for General Education courses)**
All Tier One and Tier Two General Education Courses are writing intensive (http://gened.arizona.edu/proposal-guidelines/writing-requirement). Explain how this writing requirement is to be fulfilled in the course, including the opportunity to revise and resubmit at least one assignment.	All Tier One and Tier Two General Education Courses are writing intensive (http://gened.arizona.edu/proposal-guidelines/writing-requirement). Explain how this writing requirement is to be fulfilled in the course, including the opportunity to revise and resubmit at least one assignment.
Final Examination or Project (required)	**Final Examination or Project (required)**
The date and time of the final exam or project, along with links to the Final Exam Regulations, https://www.registrar.arizona.edu/courses/final-	The date and time of the final exam or project, along with links to the Final Exam Regulations, https://www.registrar.arizona.edu/courses/final-

Existing Policy	Proposed Edit
examination-regulations-and-information , and Final Exam Schedule, http://www.registrar.arizona.edu/schedules/finals.htm	examination-regulations-and-information , and Final Exam Schedule, http://www.registrar.arizona.edu/schedules/finals.htm

Grading Scale and Policies (required)

Specify the grade distribution for the course. University policy regarding grades and grading systems is available at http://catalog.arizona.edu/policy/grades-and-grading-system

Provide a detailed explanation of the methods of evaluation and how the final grade will be calculated, including components/assignments, weightings, evaluation criteria, explanation of how late work will be graded, and description of extra-credit opportunities.

General Education Tier One and Tier Two courses must follow the "40% rule," which means that students will complete at least 40% of the grade-points by the end of the 8th week of classes (or equivalent for longer or shorter terms).

Incomplete (I) or Withdrawal (W):

Requests for incomplete (I) or withdrawal (W) must be made in accordance with University policies, which are available at http://catalog.arizona.edu/policy/grades-and-grading-system#incomplete and http://catalog.arizona.edu/policy/grades-and-grading-system#Withdrawal respectively.

Dispute of Grade Policy (recommended):

Provide the acceptable time period for disputing a grade on a paper, project, or exam.

Honors Credit (required for General Education courses)

All Tier One and Tier Two courses must be available for Honors credit. If the course does not have a stand-alone Honors section, the requirements to fulfill an Honors contract should be listed. Honors contract information is available at https://www.honors.arizona.edu/honors-contracts.

Scheduled Topics/Activities (required)

List topics in logical units in a weekly/daily schedule, including assignment due dates and exam dates.

Bibliography (recommended)

Current research and/or writings, along with access and availability

Classroom Behavior Policy (required)

Recommended language:

To foster a positive learning environment, students and instructors have a shared responsibility. We want a safe, welcoming, and inclusive environment where all of us feel comfortable with each other and where we can challenge ourselves to succeed. To that end, our focus is on the tasks at hand and not on extraneous activities (e.g., texting, chatting, reading a newspaper, making phone calls, web surfing, etc.).

Additional recommendations depending on instructor preferences:

Students are asked to refrain from disruptive conversations with people sitting around them during lecture. Students observed engaging in disruptive activity will be asked to cease this behavior. Those who continue to disrupt the class will be asked to leave lecture or discussion and may be reported to the Dean of Students.

Alternate language for those who want to restrict computers and laptops to an area of the classroom:

Some learning styles are best served by using personal electronics, such as laptops and iPads. These devices can be distracting to other learners. Therefore, students who prefer to use electronic devices for note-taking during lecture should use one side of the classroom.

Alternate recommended language for those who do not wish to permit laptops in the classroom:

The use of personal electronics such as laptops, iPads, and other such mobile devices is distracting to the other students and the instructor. Their use can

Existing Policy	Proposed Edit
degrade the learning environment. Therefore, students are not permitted to use these devices during the class period.	degrade the learning environment. Therefore, students are not permitted to use these devices during the class period.

Threatening Behavior Policy (required)

Required language:

> The UA Threatening Behavior by Students Policy prohibits threats of physical harm to any member of the University community, including to oneself. See http://policy.arizona.edu/education-and-student-affairs/threatening-behavior-students.

Notification of Objectionable Materials (recommended)

> Recommended language, if applicable: This course will contain material of a mature nature, which may include explicit language, depictions of nudity, sexual situations, and/or violence. The instructor will provide advance notice when such materials will be used. Students are not automatically excused from interacting with such materials, but they are encouraged to speak with the instructor to voice concerns and to provide feedback.

Accessibility and Accommodations (required)

> Recommended language is provided on the Disability Resource Center website: http://drc.arizona.edu/instructors/syllabus-statement.

Code of Academic Integrity (required)

Required language:

> Students are encouraged to share intellectual views and discuss freely the principles and applications of course materials. However, graded work/exercises must be the product of independent effort unless otherwise instructed. Students are expected to adhere to the UA Code of Academic Integrity as described in the UA General Catalog. See: http://deanofstudents.arizona.edu/academic-integrity/students/academic-integrity.

Recommended language:

The University Libraries have some excellent tips for avoiding plagiarism, available at http://new.library.arizona.edu/research/citing/plagiarism.

Recommended language:

Selling class notes and/or other course materials to other students or to a third party for resale is not permitted without the instructor's express written consent. Violations to this and other course rules are subject to the Code of Academic Integrity and may result in course sanctions. Additionally, students who use D2L or UA e-mail to sell or buy these copyrighted materials are subject to Code of Conduct Violations for misuse of student e-mail addresses. This conduct may also constitute copyright infringement.

~~UA~~ Nondiscrimination and Anti-harassment Policy (required)

Required language:

The University is committed to creating and maintaining an environment free of discrimination; see http://policy.arizona.edu/human-resources/nondiscrimination-and-anti-harassment-policy

Recommended language:

Our classroom is a place where everyone is encouraged to express well-formed opinions and their reasons for those opinions. We also want to create a tolerant and open environment where such opinions can be expressed without resorting to bullying or discrimination of others.

Additional Resources for Students (recommended links)

UA Academic policies and procedures are available at http://catalog.arizona.edu/policies

Student Assistance and Advocacy information is available at http://deanofstudents.arizona.edu/student-assistance/students/student-assistance

Campus Pantry (recommended)

Nondiscrimination and Anti-harassment Policy (required)

Required language:

The University of Arizona is committed to creating and maintaining an environment free of discrimination. In support of this commitment, the University prohibits discrimination, including harassment and retaliation, based on a protected classification, including race, color, religion, sex, national origin, age, disability, veteran status, sexual orientation, gender identity, or genetic information. For more information, including how to report a concern, please see: http://policy.arizona.edu/human-resources/nondiscrimination-and-anti-harassment-policy

Recommended language:

Our classroom is a place where everyone is encouraged to express well-formed opinions and their reasons for those opinions. We also want to create a tolerant and open environment where such opinions can be expressed without resorting to bullying or discrimination of others.

Additional Resources for Students (recommended links)

UA Academic policies and procedures are available at http://catalog.arizona.edu/policies

Campus Health

Existing Policy	Proposed Edit
Any student who has difficulty affording groceries or accessing sufficient food to eat every day, or who lacks a safe and stable place to live and believes this may affect their performance in the course, is urged to contact the Dean of Students for support. In addition, the University of Arizona Campus Pantry is open for students to receive supplemental groceries at no cost. Please see their website at: campuspantry.arizona.edu for open times. *Furthermore, please notify me if you are comfortable in doing so. This will enable me to provide any resources that I may possess.* Title IX (recommended) The University of Arizona is committed to removing educational barriers created by sex discrimination and sexual harassment. Sex discrimination under Title IX can include acts of violence based on sex, such as sexual assault, domestic violence, dating violence, and stalking. If you (or someone you know) has experienced or experiences any of these incidents, you have options for help at the University. The University of Arizona has staff members trained to support you in navigating campus life, accessing health and counseling services, providing academic and housing accommodations, helping with legal protective orders, and more. Please be aware that UA faculty and instructors who work with students are required to report allegations of sex discrimination to the Title IX Office. This means that if you tell me about a situation involving sexual harassment, sexual assault, dating violence, domestic violence, or stalking that involves another student or employee, or that happens on campus or in a UA program, I ~~must~~ share that information with the Title IX Coordinator. Although I have to make that notification, you will have choices regarding whether or not you want to pursue a formal complaint against anyone on campus. Our goal is to make sure you are aware of the range of options available to you and have access to the resources you need.	http://www.health.arizona.edu/ Campus Health provides quality medical and mental health care services through virtual and in-person care. Phone: 520-621-9202 **Counseling and Psych Services (CAPS)** https://health.arizona.edu/counseling-psych-services CAPS provides mental health care, including short-term counseling services. Phone: 520-621-3334 **The Dean of Students Office's Student Assistance Program** http://deanofstudents.arizona.edu/student-assistance/students/student-assistance Student Assistance helps students manage crises, life traumas, and other barriers that impede success. The staff addresses the needs of students who experience issues related to social adjustment, academic challenges, psychological health, physical health, victimization, and relationship issues, through a variety of interventions, referrals, and follow up services. Email: DOS-deanofstudents@email.arizona.edu Phone: 520-621-7057 **Survivor Advocacy Program** https://survivoradvocacy.arizona.edu/ The Survivor Advocacy Program provides confidential support and advocacy services to student survivors of sexual and gender-based violence. The Program can also advise students about relevant non-UA resources available within the local community for support. Email: survivoradvocacy@email.arizona.edu

Existing Policy	Proposed Edit
~~If you wish to speak to someone privately, you can contact any of the following on-campus resources:~~	Phone: 520-621-5767
~~• Counseling & Psych Services (CAPS), https://health.arizona.edu/counseling-psych-services, 520-621-6490, 520-570-7898 (after hours)~~ ~~• Oasis Sexual Assault, Relationship Violence, and Trauma Services, https://health.arizona.edu/counseling-oasis (same phone as CAPS)~~ ~~• Campus Health, https://health.arizona.edu/home, (520) 621-6490~~ ~~• University of Arizona Ombuds, https://ombuds.arizona.edu/, (520) 626-5589~~ ~~• Title IX section on sexual assault support & resources (https://titleix.arizona.edu/title-ix/sexual-harassment-violence) has more information, as well as a link explaining options if you have a concern, need assistance/support, or would like to file a complaint.~~	## Campus Pantry (recommended) *Any student who has difficulty affording groceries or accessing sufficient food to eat every day, or who lacks a safe and stable place to live and believes this may affect their performance in the course, is urged to contact the Dean of Students for support. In addition, the University of Arizona Campus Pantry is open for students to receive supplemental groceries at no cost. Please see their website at: campuspantry.arizona.edu for open times.* *Furthermore, please notify me if you are comfortable in doing so. This will enable me to provide any resources that I may possess.*
## Preferred Gender Pronoun (recommended) This course affirms people of all gender expressions and gender identities. If you prefer to be called a different name than what is on the class roster, please let me know. Feel free to correct instructors on your preferred gender pronoun. If you have any questions or concerns, please do not hesitate to contact me directly in class or via email (instructor email). If you wish to change your preferred name or pronoun in the UAccess system, please use the following guidelines: **Preferred name:** University of Arizona students may choose to identify themselves within the University community using a preferred first name that differs from their official/legal name. A student's preferred name will appear instead of the person's official/legal first name in select University-related systems and documents, provided that the name is not being used for the purpose of misrepresentation. Students are able to update their preferred names in UAccess. **Pronouns:** Students may designate pronouns they use to identify themselves. Instructors and staff are encouraged to use pronouns for people	## Preferred Gender Pronoun (recommended) This course affirms people of all gender expressions and gender identities. If you prefer to be called a different name than what is on the class roster, please let me know. Feel free to correct instructors on your preferred gender pronoun. If you have any questions or concerns, please do not hesitate to contact me directly in class or via email (instructor email). If you wish to change your preferred name or pronoun in the UAccess system, please use the following guidelines: **Preferred name:** University of Arizona students may choose to identify themselves within the University community using a preferred first name that differs from their official/legal name. A student's preferred name will appear instead of the person's official/legal first name in select University-related systems and documents, provided that the name is not being used for the purpose of misrepresentation. Students are able to update their preferred names in UAccess. **Pronouns:** Students may designate pronouns they use to identify themselves. Instructors and staff are encouraged to use pronouns for people

Existing Policy	Proposed Edit
that they use for themselves as a sign of respect and inclusion. Students are able to update and edit their pronouns in UAccess. More information on updating your preferred name and pronouns is available on the Office of the Registrar site at https://www.registrar.arizona.edu/.	that they use for themselves as a sign of respect and inclusion. Students are able to update and edit their pronouns in UAccess. More information on updating your preferred name and pronouns is available on the Office of the Registrar site at https://www.registrar.arizona.edu/.

Safety on Campus and in the Classroom (example - recommended)

Familiarize yourself with the (insert college building name here) Evacuation and Active Shooter plans specific to (insert classroom building name here):

https://cals.arizona.edu/fcs/sites/cals.arizona.edu.fcs/files/McClelland-Park-Evacuation-Plan.pdf (replace by instructor depending on location of classroom)

https://cals.arizona.edu/fcs/sites/cals.arizona.edu.fcs/files/McClelland-Park-Emergency-Action-Plan%20-%20Active-Shooter.pdf (replace by instructor depending on location of classroom)

Also watch the video available at https://ua-saem-aiss.narrasys.com/#/story/university-of-arizona-cert/active-shooter

Confidentiality of Student Records (recommended)

http://www.registrar.arizona.edu/personal-information/family-educational-rights-and-privacy-act-1974-ferpa?topic=ferpa

Existing Policy	Proposed Edit

Subject to Change Statement (required)
 	
Required language:
 	
    Information contained in the course syllabus, other than the grade and absence policy, may be subject to change with advance notice, as deemed appropriate by the instructor.
	Subject to Change Statement (required)
	
	Required language:
	
	    Information contained in the course syllabus, other than the grade and absence policy, may be subject to change with advance notice, as deemed appropriate by the instructor.

FROM: President Robert Robbins http://president.arizona.edu/

DATE: December 7, 2020

GOALS and ACCOMPLISHMENTS:

Spring Re-Entry

- For Spring 2021 Re-Entry, the University will implement an enhanced Test, Trace, and Treat protocol in order to support the health and safety of our campus community. This protocol includes required weekly COVID-19 testing for all dorm students and all students attending class in-person on the Main Campus. Additionally, any student visiting campus to access other services will be expected to have taken a University of Arizona diagnostic test within the previous week. If students do not fulfill testing requirements and expectations, they will not have access to the UA WiFi network.
- A working group with representation from the Public Health Advisory Campus Team (PHACT), Faculty Senate, CSC, Human Resources, Risk Management, RII, OGC and additional faculty members is being assembled in order to provide recommendations on a potential employee testing program. In the interim, employees are strongly encouraged to take advantage of the free and convenient COVID-19 testing resources on campus.
- Antigen tests will be used to support large-scale testing blitzes. Ongoing surveillance testing will deploy a combination of antigen tests and Saline Gargle PCR (SG-PCR) tests. When feasible, we will shift primarily to using SG-PCR tests, which provide superior sensitivity to antigen tests. Additionally, antibody testing will continue to be available for all students, employees, and designated campus colleagues.

Student Support

- The Executive Office of the President was pleased to partner with the Graduate & Professional Student Council (GPSC) and Arizona Catering to provide students staying in Tucson over the break with a free meal on Wednesday, November 25. Over a four-hour period, more than 1,000 meals were distributed.
- From March 25, 2020 – December 3, 2020, a total of 4,835 unique students received nearly $3.5M in financial support from the Student Emergency Fund.
- Since the onset of COVID-19, the Campus Pantry has seen 12,411 users and distributed more than 45 tons of food. The significant increase in Campus Pantry usage is largely attributed to the financial impact of COVID-19.
- I am pleased to share that a collaborative search process is under way to hire four mental health counselors who will be embedded in African American Student Affairs (AASA), Asian Pacific American Student Affairs (APASA), Guerrero Student Center (GSC), and Native American Student Affairs (NASA). The creation of an embedded counselor model in each Cultural Center will significantly reduce the barriers Queer and Trans, Black, Indigenous, People of Color (QT+BIPOC) often face in accessing culturally responsive mental health care. These positions, jointly funded by the Executive Office of the President and Campus Health Service, are an important step towards creating the institutional change necessary to meet the demands of our student population.

Student Accountability

- COVID-19 compliance issues comprised 51% of all DOS Student Code of Conduct cases in Fall 2020.
- Due to the Tucson Police Department's increased red tag surveillance, 36 red tag cases resulted in students being suspended from the University of Arizona (many pending appeal to the University of Arizona Hearing Board) for violating Tucson nuisance laws for inappropriate gatherings. In addition to violating the law, they would have been a source of spread of COVID-19 had they been allowed to continue. This is a 106% increase in suspensions compared to the 2019-2020 Academic Year.
- Fifty off campus events (Red Tags) were referred to DOS in Fall 2020 resulting in a 133% increase in off campus Red Tag referrals compared to the 2019-2020 Academic Year. Eighty students were referred to the DOS in relation to these off-campus events.
- The Dean of Students Office (DOS) engaged with students and parents in need of support, intervention, and guidance, particularly related to financial stress, mental health, physical illness, and isolation given the COVID-19 restrictions on campus.

REPORT TO FACULTY SENATE

FROM: Senior Vice President for Academic Affairs and Provost Liesl Folks
https://provost.arizona.edu

DATE: 4 Dec 2020

ACCOMPLISHMENTS and GOALS:

- **Campus Announcements:**
  - Memo sent to students on 11/10 announcing relaxed Fall 2020 Academic Grading and Withdrawal Policies, as a pandemic mitigation measure.
  - Memo sent 12/7 announcing call for proposals for Provost's Investment Fund (PIF). https://provost.arizona.edu/provost-investment-fund

- **Bi-Weekly Live Chat session topics with faculty and instructors in the past month;**
  - November 5th – Faculty Demographics and Hiring
  - November 18th – General Education Refresh
  - December 3rd – HLC Reaffirmation of Accreditation 2021
    Next session will be January 28, 2021 – Student Services (https://provost.arizona.edu/content/provost-forum)

- **Update on leadership searches**:
  - COS Dean Finalists held public open forums on November 20th.
  - Final campus visits scheduled for Dec 11th, 14th and 17th.

- **Faculty Recognition:**
  - Virtual ceremonies to recognize various awards taking in early December in place of in-person event that was postponed from April 2020.

    Graduate Teaching and Mentoring Awards:
    Ian Pepper, College of Agriculture and Life Sciences
    Melissa Tatum, College of Law
    Five Star Faculty Award:
    Faten Ghosn, College of Social & Behavioral Sciences
    Swanson Prize for Teaching Excellence:
    Susan Knight, College of Social & Behavioral Sciences
    Lisa Rezende, College of Science
    Robert Williams, College of Law
    Koffler Prize:
    G. Dirk Mateer, Eller College of Management
    Sherrill Creative Teaching Award:
    Joela Jacobs, College of Humanities
    Distinguished Scholars Award:
    Ali Behrangi, College of Science

Kacey Ernst, College of Public Health
Jonathan Sprinkle, College of Engineering
Early Career Scholars Award:
Ann Shivers-McNair, College of Social & Behavioral Sciences
Vasiliki (Vicki) Karanikola, College of Engineering
Caleb Simmons, College of Humanities
Outstanding Postdoctoral Award:
Rachel Neville, College of Science

More information here: https://facultyaffairs.arizona.edu/awards-distinction

- **Updates to RCM**: Partnering with Business Affairs staff to incorporate inputs provided by academic units and campus leaders on Guiding Principles for any possible changes to RCM – outcomes to be reviewed with SPBAC at next meeting.

- **Reorganization to support Undergraduate Student Success:** re-structured the units within the Provost's Office to increase focus on student success, including retention and completion. Full details to campus during week of 12/7/2020.

REPORT TO FACULTY SENATE

FROM: The Faculty Officers http://facultygovernance.arizona.edu/

DATE: December 7, 2020

ACCOMPLISHMENTS:

- Chair Summers called and Vice Chair Hingle presided over a special session of Senate on November 30th focused on findings of the Global Campus Senate Advisory Committee (GCSAC) regarding the acquisition of Ashford University. The Committee's report and recommendations can be found here: https://facultygovernance.arizona.edu/events/608-special-session-faculty-senate-meeting
- Chair Summers worked with members of the Committee of Eleven to administer a campus survey on leadership and communication, the results of which are being summarized for a report that will be delivered to campus by the end of the calendar year.
- Chair Summers and GFFAC members met with the FSERT Students Working Group to discuss questions related to net tuition revenue, student discounting, and enrollment. GFFAC is providing an update to their July report at today's meeting.
- Chair Summers will take a sabbatical in Spring 2021; as discussed in Senate Executive Committee, Chair Summers will continue to attend Senate, Shared Governance Review Committee, and ABOR meetings in Spring 2021. Per the Faculty Constitution, Vice Chair Hingle and Secretary Brewer will stand in for Chair Summers at other meetings requiring her regular attendance such as C11, SPBAC, Provosts' Council, Senior Leadership Team, and meetings with student leaders.
- Secretary Brewer worked with UAIR and UITS to begin work on creating a separate listserv for emeritus faculty, requested by Senator Smith. Secretary Brewer also provided Senator Smith with a list of emeritus faculty and emails as well as the template letter/language used by the President's office when granting individuals emeritus status.
- Secretary Brewer participated in the kick off meeting for the Senate ad hoc Committee on Career Track issues, providing them with the set of draft proposals developed by the Steering committee convened by Provost Folks earlier in the year.

GOALS:

SHORT-TERM
- Work with the Provost, the Senate Ad Hoc Committee on Career Track Faculty, and others to move forward proposed changes to clean up faculty data and improve and clarify titling for career track faculty. Any policy changes will come to Senate prior to approval and implementation.

LONG-TERM
- To ensure a continued successful, safe, and healthy return to campus life for all members of the UA community.

- To broaden participation in shared governance to ensure that the University lives up to its values and supports its mission as we move ahead.
- To work with you to do all that we, as a community, can do to save lives, support our most vulnerable community members, and increase faculty participation in all decision-making that affects our lives and the long-term health and well-being of all of us.

To Our Senate Colleagues: We remain grateful to you for your hard work, your input, your ideas and your continued engagement in shared governance. We continue to work to support the work of the University and to ensure the prominence of the Faculty voice.

REPORT TO FACULTY SENATE

FROM: Research Policy Committee

DATE: December 7, 2020

ACCOMPLISHMENTS:

We had a very frank and thorough meeting with RII.
We believe they heard our concerns about the importance of Faculty governance as demonstrated by faculty members/users at the same table as senior RII leadership (as was demonstrated in our Shared Governance proposal for the Cores).
We just received their revised proposal for governance and maintenance of the Cores and it appears that they have placed faculty members at the same table.
Our RPC will discuss their proposal at our meeting on 12/3/2020

GOALS:

Arrive at a shard governance policy for the Cores.

REPORT TO FACULTY SENATE

FROM: Student Affairs Policy Committee

DATE: December 7, 2020

ACCOMPLISHMENTS:

- Worked with Provost and UA Website Team to create UA homepage link to provide a clearly visible link to virtual support services for students.
- Data dive into various and recent UA survey data to pin-point and prioritize student needs
- Continued to work with and support Student Basic Needs initiative as spear-headed by Student Regent Rusk.

GOALS:

- More of the same: increase timely and clear communication to students about critical issues and to support need, comb data with the added potential of informing the planned Campus Climate survey early in Spring '21, continue to assist in the development of a Basic Needs Coalition on the UA campus and statewide

REPORT TO FACULTY SENATE

FROM: Committee on Diversity, Equity, and Inclusion

DATE: December 7, 2020

ACCOMPLISHMENTS:

Met with Associate Vice Provost for Diversity and Inclusion, Ivy Banks. Initiating conversations related to productive collaborations between DEI and Provost D&I office.

GOALS:

REPORT TO FACULTY SENATE

FROM: Graduate Council

DATE: December 7, 2020

ACCOMPLISHMENTS:

The Graduate Council met on November 20 to consider and approve the following:
- Name change of MS in Econometrics and Quantitative Economics to MS in Economics
- Name change of MS and PhD in Soil, Water and Environmental Science to MS and PhD in Environmental Science
- Curricular change to reduce required credits for MS in Biostatistics from 39 to 33

A new MA proposal in Philosophy, Politics and Economics was discussed. The curriculum is rigorous and appropriate, but there may be conflicts with courses in economics. The proposal was deferred until the December meeting when a program representative will be present to address Council questions.

As a follow-up to the discussion in Faculty Senate on November 2, the Graduate Council discussed whether an additional statement on the program's ability to add or remove faculty should be added to the Graduate Faculty Policy (https://grad.arizona.edu/policies/academic-policies/graduate-faculty-policy). The following sections were discussed: 1.1.1. Tenure-eligible/tenured faculty and Continuing Status eligible/Continuing Status academic professionals with faculty appointments are **automatically members of the Graduate Faculty in their programs**, 1.1.3. Career Track may be appointed as members of the Graduate Faculty *upon the advice of the program they serve.* 1.1.4. A faculty member… *may also be appointed to serve in the GF of programs in other units **if recommended by the faculty of that program.*** 6.1.1. If the program determines that a faculty member does not currently meet the standards for appointment for membership in the GF, then **they may recommend …(the faculty member)… not be appointed at all.** Therefore, the Council determined that the current content of the policy is sufficient to empower the graduate programs to make the desired membership changes.

Graduate Council has 33 members from all UArizona colleges including the Deans of the Graduate College. Thirty members attended the November meeting.

GOALS:

Ongoing review of new program proposals and Graduate College policies.

Report on the "Ashford Acquisition"
Global Campus Senate Advisory Committee
November 25, 2020

The Establishment of Global Campus Senate Advisory Committee (GCSAC)

The Global Campus Senate Advisory Committee (GCSAC) was convened in September 2020 by Faculty Chair Summers and Vice-Chair Hingle pursuant to a motion by the Faculty Senate on Documentation and Due Diligence on the Ashford University Deal, August 17, 2020. A survey conducted by the Faculty Senate on August 19, 2020 revealed that over 80% of the 1,074 faculty respondents "did not endorse the acquisition," and most were "extremely dissatisfied" with the handling and communication of the acquisition.[1] The ad hoc committee was charged with "understanding all aspects of the Ashford acquisition, educating the Senate/faculty on their findings, and advising senior leadership on behalf of Senate and faculty stakeholders across our campus." The committee members are:

Carine Bourget, Professor of French, COH, Senator and Committee of Eleven
Kyle DiRoberto, Associate Professor of English CAST, Senator
Leila Hudson (Co-Chair), Associate Professor of Middle Eastern and North African Studies,
     SBS, Senator,
Paul Michas, Associate Professor of Accounting, Eller
John Milbauer, Professor of Music COFA, Senator
Lynn Nadel, Professor Emeritus of Psychology, Regents Professor, COS; Past Chair of the
     Faculty
Gary Rhoades (Co-Chair), Professor of Higher Education, COE
Billy Sjostrom, Professor of Law, Rogers COL
Michael Staten, Professor of Agricultural Economics; Associate Dean for Academic Affairs,
     CALS
Rob Stephan, Assistant Professor of Religious Studies and Classics, COH, Elected Member of
     SPBAC

The committee charge is to:
-Review the Ashford deal against needs for adapted business models in higher education, including the rationale and faculty involvement in pursuing the deal

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[1] UArizona Opinion: The Acquisition of Ashford University. Presented to the Arizona Board of Regents by the Faculty Senate. August 20, 2020.

-Review current plans for how the University of Arizona Global Campus (UAGC) will be established and governed

-Scrutinize the relationships between UArizona and the newly established UAGC (especially Arizona Online and UArizona Global), including the "affiliation agreement"

-Review current plans to manage Ashford liabilities and exposure to legal, financial, and ethical risks, including damage to UArizona's reputation and rankings and potential or actual conflicts of interest or conflicts of commitment

-Assess potential /actual effects on academics and operations, including but not limited to revenue and cost/financial implications for UArizona, recruitment, hiring, retention, and salary of faculty and staff; recruitment, retention and graduation rates of students, particularly BIPOC, active military/veterans, international students

Shared Governance at the University of Arizona Relative to the Ashford Acquisition/Zovio Partnership

The Ashford acquisition and UAGC partnership is clearly a matter of shared governance as it involves the acquisition of an academic entity and the extension of the University of Arizona (UArizona) name, reputation, values, and mission. Also evident are the implications this acquisition has for UArizona academic colleges, departments, and their deans, faculty, and staff.

The value of shared governance is that it leverages the collective faculty's insights, expertise, international networks, and knowledge about the institution's core work of education, research, and outreach to inform and enhance policy and practice. Thus far, the SLT has not fully engaged in such a process with this Faculty Senate's ad hoc advisory committee or with the Senate itself. We believe that should change.

Shared governance at the University of Arizona, pursuant to [Arizona Revised Statute 15-1601b](#), requires senior administrators to consult and collaborate with elected shared governance entities and the subcommittees of those elected bodies. Again, thus far, such collaboration has been largely lacking with regard to this Senate Advisory Committee.

The committee notes the priority and importance of elected entities and bodies responsible to the Senate as compared to committees appointed by and reporting to central administration. Appointed task forces have important roles to play, but they do not substitute for working in meaningful ways with the elected bodies.

Finally, meaningful shared governance depends on shared governance entities (i.e., the Faculty Senate and this committee) receiving timely and sufficient information from central administration to engage in substantive deliberation before decisions are taken, rather than

simply being informed on policies or decisions *after* they have been implemented. Thus far, the SLT has not provided GCSAC with any of the documents that we requested (Appendix 1). That is not indicative of a commitment to meaningful shared governance.

GCSAC Activities

Our report is based partly on documents that we have gathered from sources outside the university in addition to the materials presented by Faculty Senate Chair, Jessica Summers August 20, 2020, including a faculty/staff/student survey of opinions about the Ashford acquisition, a memo from the Strategic Planning and Budget Advisory Committee (SPBAC) on the topic, an analysis by a committee comprised of Eller College faculty, and a College of Education analysis of the acquisition. Of particular value in understanding the challenges confronting Ashford were the July 12, 2019 "Notice of Concern" from Ashford University's accreditor, the Western Association of Schools and Colleges (WASC) and the November 11, 2020 "Structural Change Commision Action Letter, Change of Control and Legal Status" (WASC letter) (available here as a pdf) which reiterated and remphasized the continuing need to redress the weak student outcomes of Ashford.

Our report is also based on conversations GCSAC has had with Craig Wilson, UArizona Vice Provost of Online and Distance Education; Liesl Folks, UArizona Provost; and Professor Regina Deil-Amen, a UArizona scholar who studies open access institutions and their students. The conversation with Dr. Deil-Amen and the scholarly resources she provided (Appendix 2) were particularly valuable in clarifying the depth of the challenges entailed in reforming an institution such as Ashford with a pattern of substandard student outcomes. We also used information from public presentations and informal conversations with Brent White, Vice Provost for Global Affairs. We requested but did not obtain meetings with President Robbins and Paul Pastorek, Interim President of UAGC. GCSAC met regularly (at least bi-weekly) through the months of September, October, and November 2020.

Four Superordinate Principles

We start with four superordinate principles identified by GCSAC that we recommend to help optimize the workings of the University of Arizona and its relationship with UAGC and Zovio. Shared governance leaders and elected representatives should work to ensure that these superordinate principles are observed in all current and future policy in relation to UAGC.

1. The integrity and future direction of UAOnline, UA Global and micro-campuses, and distance campuses should not be adversely affected by UAGC, and the goal of the partnerships should be a synergistic win-win and complementarity through the respective entities thriving in distinct

realms and student markets. That should entail ample financial investments going to UAGC to ensure quality educational outcomes, along with sufficient financial allocation to the University of Arizona to justify the arrangement.

2. Industry standard, responsible, ethical recruitment and financial practices towards UAGC students should be ensured, as well as quality education for students that provides value in their outcomes, including degree completion and successful careers.

3. Specific mechanisms of intersection between UAGC and UArizona, and of overview by the University of Arizona should be established, beyond simply a UAGC Board of Directors that has minority representation from University of Arizona appointees.

4. As a result of its utilization of the University of Arizona brand, the development of UAGC should be consistent with the University of Arizona's core values and mission as articulated in the university's current Strategic Plan, and as a flagship public land-grant Hispanic Serving Institution.

The University of Arizona's Senior Leadership Team (SLT) has publicly articulated three of these principles (1, 2 & 4), indicating in public meetings that the arrangement would not adversely affect University of Arizona programs, that Ashford and Zovio's practices would be or are already improving, and that the deal and the operation of UAGC are and will be consistent with the University of Arizona's core values and mission.

However, multiple groups, constituencies, and individuals on and off campus have articulated and currently maintain strong concerns that the acquisition is already adversely impacting the University of Arizona and existing UAOnline programs; that the University of Arizona central leadership has offered no clear path for rectifying Ashford's practices in marketing, recruitment, and financial aid, and in student outcomes of graduation rate, student debt and default, and job outcomes; and that aspects of the deal are fundamentally inconsistent with the University of Arizona's core mission and values. Indeed, these concerns not only remain unresolved, they have been unaddressed in any specific ways by the SLT. More importantly, it is not certain that these issues can be solved, given the current contractual agreement with Zovio that guarantees exclusivity to Ashford University's for-profit former parent corporation without significant oversight mechanisms. Further, the November 11, 2020 letter from WASC regarding the acquisition makes clear that several of these issues continue to be of concern to that accrediting body. Thus, GCSAC believes that it is imperative to translate these principles through shared governance processes and entities into actions, policies, and practices at the University of Arizona and at UAGC.

Guided by the above principles, the GCSAC report addresses 1) governance, 2) academic program quality and student outcomes, and 3) finances/financial strategy. It offers principles that we believe should guide the University of Arizona central leadership, academic deans, and

shared governance bodies, and should be considered by the UAGC Board of Directors, particularly the University of Arizona appointed members on that board. In some cases, we offer recommendations of some specific measures. For each of the sections, we provide an opening summary narrative about the issues at hand. Subsequent to these three sections, we provide an additional list of recommendations. In the Appendix we list resources and links to public documents.

Section One - Governance

The new UAGC was incorporated on July 29, 2020 as an Arizona nonprofit corporation with a single member. The initial member was the Law Colleges Association of UArizona but was replaced on October 14, 2020 by the UA Foundation. The new non-profit UAGC was initially overseen by a Board of Directors consisting of UArizona administrators. The original five-person board (President Robbins, Provost Folks, Dean Marc Miller, Vice Provosts Wilson and White) subsequently appointed other UArizona personnel (Lisa Rulney, Treasurer, and Laura Todd Johnson, Secretary) and others (Paul Pastorek, President) as officers of the new entity. In mid-November, the original Board of Directors was replaced by a new nine member board. Three directors chosen by UArizona (Lehman Benson III, Gail Burd, and Gary Packard) and one chosen by the UA Foundation (Marc Miller) serve as individuals rather than *ex-officio* members. This means that should they terminate their relationship with UArizona, they personally, rather than their replacements at UArizona, will continue to serve on the UAGC Board. They serve alongside five independent directors (Kerri Briggs, Nivine Megahed, Sean O'Keefe, Ty Smith, and Omar Vasquez.) Updated bylaws reflecting the mechanisms of appointments to and by the Board have not been seen by GCSAC as of November 25, 2020. This arrangement raises concerns about conflicts of commitment, conflicts of interest, and weak or nonexistent oversight mechanisms regarding the Board as it is currently comprised. Legal analyses commissioned by the Century Foundation, a progressive think tank that has been critical of the Ashford acquisition, suggest that the UAGC Board structure and other aspects of the acquisition and partnership could compromise the non-profit status of UAGC and/or violate the Anti-Subsidy Clauses of the Arizona Constitution.[2]

Governance Principle One:
Independence and Fiduciary Responsibilities of Board of Directors Members

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[2] Century Foundation Legal Analyses by Perlman and Perlman, LLP: "The Implications of the Creation of the University of ARizona Global Campus" 10/07/2020 Memo and The Implications of the Creation of the University of Arizona Global Campus Anti Subsidy Clause Memo 11/13/2020.

UArizona employees appointed to the Board of Directors for UAGC should be independent and, to that end should be given guidance so that they can better navigate potential conflicts of interest and commitment that could arise between their (fiduciary) responsibilities as members of UAGC and their duties as employees of UArizona.

The UAGC Board structure is unusual in that most board structures do not involve people with explicit vested interests in the success of both their employer and the organization on whose board they sit at the same time as both organizations are supposed to be working in partnership but in potentially competing arenas. Given this unusual situation, UAGC Board members should be provided additional guidance, training, and resources for how to navigate this situation, with one possibility being training from the Association of Governing Boards, of which ABOR is a member, on matters of optimal board practices, conflicts of commitment, and fiduciary responsibility.

This governance principle is consistent with superordinate principles #3 & #4.

Governance Principle Two: University of Arizona Oversight in Relation to Zovio

Given Zovio's history, that its work will affect the overall success of UAGC, and that Zovio's practices will have implications for the University of Arizona's academic and public missions, there should be a formal body responsible for monitoring and auditing the marketing, recruitment, and financial aid practices of Zovio, beyond simply the UAGC Board of Directors' ad-hoc oversight.[3] As Boards of Directors typically are not involved in such detailed matters, appropriate oversight might involve creating a separate committee or working group.

This governance principle is consistent with superordinate principles #1, #2, & #4, and with the November 11, 2020 WASC letter, section 2.C.

Governance Principle Three: Board Advisory Committees

Given UAGC Board of Directors' responsibilities for enhancing the new institution, UArizona appointed members of the UAGC Board should propose adopting an advisory committee structure that draws members from UAGC and the UArizona.

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[3] Bridgepoint Inc., Zovio Inc. and Ashford University have been the target of numerous lawsuits, including an ongoing suit brought by the Attorney General of California in 2017. In addition, the US House of Representatives Education and Labor Committee is conducting an investigation. A series of lawsuits is related to Ashford's eligibility for GI Bill funds in several states. See Beynon, Steve. "Vets Groups Sound the Alarm After VA Greenlights Controversial Ashford University for GI Funds." *Stars and Stripes*, February 21, 2020.

Board advisory committees in various realms (e.g., academic affairs, student outcomes, strategic planning, finance) are a common and valuable practice in structuring effective and efficient Board activity.

This governance principle is consistent with superordinate principles #1, #2, & #4.

Section Two - Quality of Education and Student Outcomes

The UAGC has acquired the assets of an institution with a consistent history of underperformance in student outcomes that has elicited criticism by its accrediting body. From a list of 217 WASC accredited institutions of higher learning, Ashford is one of eight that is "Accredited with a Notice of Concern." This notice is the warning that is used when an institution "is in danger of being found out of compliance with one or more Standards if current trends continue." Over time, Ashford has experienced significant declines in enrollments, from nearly 70,000 students in 2013 to 35,000 at the time of acquisition in 2020. The number of full-time compared to part-time faculty has declined significantly, from 2,470 part-time and 274 full-time faculty in 2015 to 2,300 part-time and 100 full-time faculty in 2020.[4] Ashford's full-time regular faculty-to-student ratio is about 1:177 and this may have widened further in recent months. Its high dropout rate is estimated at around 80% and it is estimated to leave students with an average of $36,000 in debt.[5] A number of lawsuits alleging institutional wrongdoing vis a vis students and employees (some settled and some ongoing) have been filed. Ashford's "Notice of Concern" status from WASC will require a follow-up Special Visit in the fall of 2021. The "Notice of Concern" was not affected by WASC's November 2020 approval of the structural change on which the UAGC acquisition is contingent. Indeed, WASC's "Structural Change Commision Action Letter" of November 11, 2020, specified a range of suggestions: the need to target, set, and monitor specified metrics and the need to analyze, audit, and ensure accountability, regarding student outcomes and institutional patterns of initiative and investment, in order to reverse long standing weakness relative to comparable institutions, in a range of student outcomes.[6]

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[4] Grand Canyon Institute Analysis "University of Arizona Global Campus: Critical Legal and Ethical Issues for Consideration." November 18, 2020. (Preliminary)

[5] Miller Kevin, Century Foundation "Analysis of Ashford Student Outcomes." 10/06/2020

[6] The November 11, 2020 WASC letter, available at a link on this page, states, "In taking the following actions, the Commission notes that the reaffirmation with Notice of Concern and follow-up requirements specified in the Commission's Action Letter for reaffirmation dated July 12, 2019 apply in full force without modification to the accredited institution/new entity (Ashford/UAGC), independent of the status of the structural change. The necessity for improvement of weak student outcomes is a significant basis for the detailed Notice of Concern in the Commission action of July 2019 [https:// wascsenior.box.com/s/2lpv6xw5gt3mk3yuk9j4ep6je3pj6246] and will be addressed through the Interim Report (fall 2020) review, Special Visit (fall 2021), and continuing oversight and monitoring. The Commission re-emphasizes the crucial importance of improving retention and graduation rates in the near future in order to satisfy WSCUC accreditation standards."

The ongoing "Notice of Concern" and subsequent visit from WASC in 2021 also focuses on independent monitoring and auditing of marketing and recruitment practices. Such practices are part of another problematic history of Ashford/Zovio which has manifested in several settlements and an ongoing lawsuit by the state of California, regarding alleged fraudulent practices in these realms that target underserved student populations, including veterans. Together, this history and ongoing "Notice of Concern" make it clear that the change to not-for-profit status, the adoption of a University of Arizona name, and a Board of Directors on which the University of Arizona has minority representations are in themselves insufficient to the large organizational challenge of reversing Ashford's past patterns of outcomes and practices.

Quality Principle One:
Oversight of UAGC and UAOnline Overlapping Academic Programs

In order to study overlap and reduce competition, as well as to address complementarity and program development in the entities, there should be university-wide oversight (by UArizona colleges, departments and programs) of UAGC in relation to UAOnline's academic programs.

GCSAC recommends that there be a university-wide committee chaired by the Vice Provost of UAOnline, with deans and elected faculty representatives from programs and colleges in which there is overlap between UAGC and UAOnline.

GCSAC also recommends that the proposed committee address not just degree programs, but also general education programs, including second language requirements, such that they are neither duplicated nor outsourced to UAGC.

GCSAC has heard from the Provost and the Vice Provost of Online and Distance Education about the possibility of forming a Joint Academic Advisory Committee (JAAC). However, the charge of this committee is unclear. Beyond broad references to promoting cooperation, the membership of JAAC has yet to be determined and has changed, we were told, from consisting of Associate Deans to appointed faculty. Thus, the committee has not been defined to meet the needs identified in our principles of independent shared governance delineated in the November 11, 2020, WASC letter.

This quality principle is consistent with all four superordinate principles, and with the full thrust of the November 11, 2020 WASC letter, as well as with section D.i-vi of that letter.

Quality Principle Two: Investment in Academic Expenditures

UAGC should move towards meeting a industry-standard level of investment in instruction. At present, Ashford spends 19.1% on instructional expenditures, whereas for-profit higher education industry standard is 29%.[7]

This quality principle is consistent with superordinate principles #2 & #4, and with the full thrust of the November 11, 2020 WASC letter, section 2.D.ii.

Quality Principle Three: Program Review, Oversight, and Articulation

Given the UArizona's core academic missions and the history of Ashford, there is concern that UAGC's quality will affect the overall success of the enterprise. Mechanisms for overseeing academic programs and assuring quality should be provided by UArizona, beyond simply the Board of Directors and outside accrediting agencies. This should take place at the programmatic level with clear consequences for failing to meet quality standards.

GCSAC recommends that there be a university-wide committee chaired by the Vice Provost of UAOnline, with dean and elected faculty representatives from programs and colleges in which there is overlap between UAGC and UAOnline and shared governance bodies to engage in the activities prescribed in the WASC November 11, 2020 letter.

We recommend that UAGC's academic programs have rolling program reviews similar to UArizona. Review committees should consist of a combination of external experts and UArizona faculty in the relevant programs. Like APRs at UArizona, the reviews should include consultation with students. The program reviews should focus particularly on the student outcomes such as persistence rates, graduation rates, student debt and default rates, and income/job placement outcomes. There should also be an accountability mechanism for monitoring, achieving and improving outcomes.

This quality principle is consistent with superordinate principles #2 & #4, and with the full thrust of the November 11, 2020 WASC letter, as well as sections 2.D.v. & 2.D.vi.

Quality Principle Four: Distinctive Websites and Marketing

UAGC and UAOnline websites should be distinctive and separate to ensure clarity and allow for differentiation between these entities for distinct target populations. Already UArizona websites promote UAGC in ways that can be confusing to prospective students, especially with regard to

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[7] Miller, Kevin, Century Foundation "Analysis of Ashford Student Outcomes."

UArizona Global. Ashford University has already begun to use the UArizona "Block A Mark"in spite of the lack of a trademark licensing agreement. UArizona colleges with overlapping programs should be centrally involved in developing the websites and messaging, as well as establishing "an independent monitoring and marketing audit plan with results periodically reported to WASC," as mentioned in the November 11, 2020 WASC letter.

This quality principle is consistent with superordinate principles #1& #3 and with the November 11, 2020 WASC letter, sections 2.B., & 2.C.

GCSAC recommends that to eliminate confusion created by having two entities with extremely confusing, overlapping names, UAGC should be renamed.

This quality principle is consistent with the November 11, 2020 WASC letter, Section 2.A.

Quality Principle Five: Transfer Regulation Standards and Competition

Any deliberations and decisions about creating "pipelines" between UAGC and the University of Arizona should involve consultation with faculty and shared governance bodies as well as invested academic colleges, departments, and programs.

This quality principle is consistent with superordinate principles #1 & #3.

Based on the concerns and assessments of relative program quality by faculty and deans in at least two of the largest academic colleges at the UArizona in which there are overlapping graduate programs (Business and Education), we particularly recommend against promoting a "pipeline" strategy between graduate programs.

Section Three - Finance and Growth Plans

From the initial announcement of the Ashford acquisition and the service arrangement with Zovio, President Robbins has indicated that over the next 15 years the University of Arizona would not incur any costs or liabilities, and that it would receive $15M a year, on average, in addition to a larger front-loaded payment the first year and a differentiated payout in the first five versus the remaining ten years.[8] At this point, however, to our knowledge, the terms of money

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[8] President Robbins included the following in his August 3, 2020 email announcing the deal: "The acquisition itself will cost Global Campus only $1. Zovio also has agreed to guarantee Global Campus a substantial income stream of $225 million over the next 15 years, including an upfront payment of $37.5 million."

flow between UAGC and the University of Arizona have not been clearly articulated. Moreover, the WASC letter to UAGC dated November 11th, 2020 makes clear that there is an expectation of direct investments in UAGC that will enhance student outcomes to remedy the accreditors' Notice of Concern.

Although the "revenue cascade" by which revenues of UAGC will be allocated is only indirectly manifest in the heavily redacted 340-page agreement, it seems that after covering operating expenses of UAGC for its faculty, curriculum and officers, Zovio's payment for services will consume between 65-71% of gross revenues, plus a contractual 19.5%.[9] According to the interpretation of some GCSAC members, what has been presented as a guaranteed income to the new entity and/or the University of Arizona is not guaranteed if UAGC underperforms, since Zovio seems to have prior claim under the Strategic Service Agreement. Moreover, it is not clear to members of GCSAC whether the "Residual Amount" of UAGC revenues that constitutes the guarantee would flow back to the University of Arizona directly or first to UAGC and subsequently to UArizona subject to the terms of the pending affiliation agreement between UAGC and UArizona. GCSAC is troubled by the lack of clarity on these central points. GCSAC's inability to ascertain after considerable due diligence that the arrangement does not deprive UAGC of funds necessary for investment in quality education only strengthens the need for continued shared governance attention from UArizona.[10]

Complying with accreditation requirements to ensure material change to Ashford's historical practices consistent with the values, mission and reputation of the University of Arizona may require some, if not all, of the residual funds anticipated by many to flow to UArizona. To our knowledge, there are no plans in place for UAGC to change its Ashford-era business model. Given the impending change in the federal administration and possible changes in the regulation of online education, such changes may be important. Furthermore, to our knowledge, there are no plans in place for reversing the long-term trend of enrollment decline at Ashford. That is of serious concern given that in a somewhat parallel situation, Purdue Global has experienced reduced enrollments on the order of 15% since the agreement between Kaplan and Purdue was enacted. On the other hand, if UArizona will take a regular allocation of revenues earlier in the distribution of UAGC revenues, it is not clear that there will be enough resources remaining to ensure that students receive a high-quality education, and that faculty and staff are being compensated fairly.

Finance Principle One: Priority of Quality Outcomes in Financial Cascade
The educational integrity and quality outcomes of students should be primary in determining the yearly financial allocation between UAGC and the University of Arizona. UArizona, in keeping

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[9] See Century Foundation Financial Analyses by Kolari Consulting Initial Estimate.
[10] Hill, Phil. Updates on University of Arizona Global Campus Financial Terms, August 10, 2020. PhilOnEdBlog and McKenzie, Lindsay, Unpacking the Arizona-Ashford Deal, Inside Higher Ed, September 15, 2020.

with its public mission, should ensure that monies are not drawn away from UAGC students' educational outcomes, and that UAGC has the resources needed to properly serve its students and meet key student outcome metrics.

This finance principle is consistent with superordinate principles #1 & #2, and with the full thrust of the November 11, 2020 WASC letter about "weak student outcomes" underscoring the ongoing Notice of Concern.

Finance Principle Two:
Investment in Marketing for Academic Colleges' UAOnline Programs

For those University of Arizona programs and colleges in which there is overlap with UAGC offerings, the size of Zovio's marketing budget creates a challenge. A mechanism to enhance financial support for UArizona colleges' marketing of their UAOnline programs is important to reach distinct student market segments. GCSAC is concerned about confusing advertising and student expectations, but is wary of the possibility of a "marketing arms race" with UAGC.

This finance principle is consistent with superordinate principle #1.

Finance Principle Three: Financial and Enrollment Strategy Plan

Having worked through the initial logistics of ensuring the acquisition agreement, the SLT should work collaboratively in shared governance with elected faculty entities and academic college deans to develop a financial strategy action plan.

In GCSAC's conversations with Provost Folks and with Vice Provost of Online and Distance Education Craig Wilson, there was not a clear, developed financial plan or enrollment strategy in relation to UAOnline and UAGC. GCSAC recommends the development of a plan with costs, market surveys, realistic enrollment modeling at various levels, and assessment in relation to major competitors like Arizona State University, Grand Canyon University, and Southern New Hampshire University.

This finance principle is consistent with superordinate principles #1 & #4, as well as with the November 11, 2020 WASC letter, section 2.B.

Additional Recommendations

In addition to the principles articulated above, we further recommend that the SLT and the UAGC Board of Directors and Officers should:

1. Clarify the role of the Arizona Board of Regents in overseeing this and other affiliates of the University of Arizona
2. Form an advisory board of high-profile former military supervisors of US military academies to oversee veteran students' well being
3. Form a special advisory board of UA experts from programs that have historic success in underrepresented and nontraditional student outcomes
4. Address the [request from US Senators Brown and Durbin](#) to disallow the practice of "mandatory arbitration," which forces students to give up their rights to sue or join a class action lawsuit to hold a school accountable in a court of law and ensure that similar practices are in place for faculty
5. Clarify the status of the Ashford Honors College which, based on comparative and National Collegiate Honors Council criteria, should be designated a "program" rather than a "college."
6. Review Ashford faculty promotion and tenure processes to ensure that they are aligned with UArizona's values and practices.
7. Share with the UArizona and UAGC stakeholders a strategic plan to improve faculty to student ratio
8. Review the workload and compensation structures for adjunct faculty
9. Share a detailed assessment of the range of revenue scenarios based on publicly available materials, like the Eller and Kolari analyses cited in this report
10. Share the estimates of current and future legal liabilities and their relationship to the $1.00 asset sales price
11. Demonstrate that the financial allocations coming to UArizona will be invested in the UArizona programs that are consistent with our strategic growth plans.
12. Clarify the mechanisms for distributing any financial allocation coming to UArizona and for the participation by elected shared governance bodies in developing these mechanisms.
13. Clarify how the financial allocation coming to UArizona will pay for the efforts required by those at UArizona to engage with Ashford at the college and program level.

Appendices And Links To Public Documents

1. **Appendix 1. List of Documents Requested by GCSAC from SLT**
     a. The chair, membership, charge and authority of UArizona/UAGC overlap committee mentioned in "Heads Up" meeting on 9/15
     b. The unredacted sales contract
     c. The affiliation agreement between UArizona and UAGC
     d. The negotiators for each party in the affiliation agreement
     e. The licensing agreement on UArizona marks and the respective negotiating parties
     f. Department of Education Pre-acquisition Review materials and communications with UArizona
     g. List of purchased assets with valuations
     h. All materials shared with those who signed an NDA--PowerPoint presentation and any other materials.
     i. Zovio's "pitchbook" on Ashford
     j. The "pitchbook" UArizona used for getting ABOR signoff. (i.e., the presentation materials used to sell the deal).
     k. FY 2019 audited financials for both Zovio and Ashford University.
     l. A financial statement for Ashford University for 2020.
     m. A pro forma, preliminary financial statement for UAGC for 2021 that shows the cost structure of the newly formed institution
     n. 2020 UArizona CAFR or pre-audit materials
     o. 2020, 2019, 2018 audited financial statements of the Law College Association
     p. By-laws for UAGC (including provisions on governance)
     q. Identity and contact information of interim president of UAGC
     r. All outside financial advisers hired and/or consulted in the process, and their presentations/advice, hiring contracts
     s. Any outside counsel hired to negotiate the deal
     t. Any risk/benefit analyses done prior to the deal and any being done currently
     u. Any market surveys that were done prior to the deal and any being done now
     v. Any projections of Zovio's fees and expenses over the term of the Strategic Services Agreement
     w. Any projections or models of UAGC enrollments over the next 15 years by the firm referred to by Brent White to the Committee of 11, which modeled the Ashford deal,

    x. The name of the modeling firm and terms of hiring
    y. Information on Ashford student waivers of right to sue or be part of class action, or binding arbitration agreements
    z. contact information for Paul Pastorek

2. Appendix 2. References Provided to GCSAC by Dr. Deil-Amen

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3. **Links to Public Documents**

UAGC Articles of Incorporation and Amendments

Redacted Purchase, Strategic Services and Transition Agreements

Century Foundation Legal Analyses "Implications of the Creation of the University of Arizona Global Campus" by Perlman and Perlman LLP: 10/07/20 Memo and 11/13/2020 Anti Subsidy Clause Memo

Kevin Miller, Century Foundation "Analysis of Ashford Student Outcomes" 10/06/2020

Century Foundation Legal Analyses by Perlman and Perlman, LLP: "The Implications of the Creation of the University of ARizona Global Campus" 10/07/2020 Memo and The Implications of the Creation of the University of Arizona Global Campus Anti Subsidy Clause Memo 11/13/2020.

"Structural Change Commision Action Letter, Change of Control and Legal Status, November 2020," (referred to as WASC Letter, November 11, 2020 and available as pdf download towards the bottom of the page)

Grand Canyon Institute Analysis "University of Arizona Global Campus: Critical Legal and Ethical Issues for Consideration." November 18, 2020. (Preliminary)

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Innovation & Impact

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Vice President
Research Development

JOHN MESTER
Associate Vice President
Research Development

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Assistant Vice President
Research Intelligence

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SANGITA PAWAR
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STEPHEN HARSY
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RACHEL RICE
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Arizona Institutes for Resilience:
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Director, Institute for Lesbian, Gay, Bisexual
and Transgender Studies

JONATHAN SPRINKLE
Director, Transportation Research Institute

CHRISTOPHER A. SCOTT
Director, Udall Center for Studies in Public Policy

Existing RII Faculty Committees

Unit Name	Faculty Standing Committee Name
Arizona Institutes for Resilience	AIR Design Committee
Arizona Institutes for Resilience	AIR Justice, Equity, Diversity and Inclusion (JEDI)
Arizona Institutes for Resilience	Bridging Biodiversity and Conservation Sciences (BBCS)
Arizona Institutes for Resilience	Center for Climate Adaptation Science and Solutions (CCASS)
Arizona Institutes for Resilience	Climate Assessment for the Southwest (CLIMAS)
Arizona Institutes for Resilience	Institute for Energy Solutions (IES)
Arizona Institutes for Resilience	Desert Laboratory at Tumamoc
Arizona State Museum	Continuing Status and Promotion
Arizona State Museum	Market Adjustment Committee
Arizona State Museum	Annual Evaluation Committee
Arizona State Museum	Bylaws and Standing Rules
BIO5 Institute	Member Advisory Board
BIO5 Institute	Annual review committee
Conflict of Interest	Institutional Review Committee
Conflict of Interest	Executive Review Committee
Institute for LGBT Studies	The Institute for LGBT Studies Faculty Advisory Committee
Institute for LGBT Studies	TSRC Faculty
Research Integrity Program	University Committee on Ethics and Commitment
Research Laboratory & Safety Services	Institutional Biosafety Committee (IBC)
Research Laboratory & Safety Services	Laser Safety Committee (LSC)
Research Laboratory & Safety Services	Radiation Safety Committee (RSC)
Research Laboratory & Safety Services	Lab & Chemical Safety (projected to charter in 2021)
Tech Launch Arizona	Intellectual Property Policy Committee
Tumamoc Hill	Tumamoc Hill Advisor Council
Tumamoc Hill	Desert Laboratory Plant Ecology Working Group
University Animal Care	Continuing Status and Promotion Committee
University Core Facilities	Micro/Nano Fabrication Center
University Core Facilities	UA Genetics Core
University Core Facilities	TBIR - 3T
University Core Facilities	TBIR - 7T
University Core Facilities	TBIR - High Resolution Ultrasound (Vevo)
University Core Facilities	Imaging Cores LSN and Marley - Optical Microscopy
University Core Facilities	Imaging Cores LSN - Electron
University Core Facilities	Analytical & Biological Mass Spectrometry (co-operated as UACC Proteomics Shared Facility)
University Core Facilities	Flow Cytometry Shared Resource (Oversight Committee; co-managed with UACC)
University Core Facilities	Functional Genomics Core (co-managed with AZ Drug Discovery, College of Pharmacy)

RII Faculty Advisory Council (RIIFAC); kicking off 01/01/2021

- Standing committee charged with advising the Senior Vice President for Research & Innovation on matters pertaining to UArizona research activities

- Monthly meetings, members must attend 60%

- Composition

  - 2-year service, supported by RII office staff

  - 15-20 faculty members nominated by their dean/directors and approved by RII

  - Members must be participants in active research programs and demonstrate keen interest in research advancement and/or innovation at the UA

  - Ex-officio members: Chair or member designated by each of the chair of the Research Policy Council and the chairs of Strategic Planning and Budget Advisory Committee

THE UNIVERSITY OF ARIZONA

ITHAKA Report 1/1/2020
Senior Research Officer Challenges

- Evolution from service to professional model, driven largely by growth in complexity, competitiveness, increasing need for external partnerships, compliance mandates, impact & reputation mandates, infrastructure costs and securing new, large, multi-disciplinary and/or more sustainable funding

- Strategies to develop research and innovation success have challenges associated with:
  - Responding to critical or immediate events
  - Developing approaches for Grand Challenges: partnerships, consortia, etc
  - Limited resources / focus on revenue models & fundraising
  - Heightened compliance responsibility & accountability
  - Increasing and articulating impact, influence funders & stakeholders
  - Research support – avoiding diminishing returns

THE UNIVERSITY OF ARIZONA

F&A RECOVERY

FACILITIES & ADMINISTRATIVE (F&A) COSTS // INDIRECT COSTS (IDC)

THE EFFECTS OF RCM

WHAT ARE F&A COSTS? *

When universities perform research on behalf of the federal government through agency grants, contracts, or other agreements, "Facilities and Administrative" (F&A) costs are incurred (often "indirect costs" in vernacular).

WHAT IS F&A RECOVERY?

Funds are recovered from granting agencies as reimbursements to support the University for the costs ofits services and infrastructure provided in order for grants and contracts to operate with minimal overhead costs.
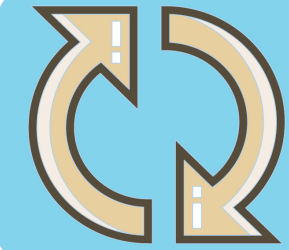
COLLEGE/RCU DISTRIBUTIONS INCREASE FASTER THAN CENTRAL

	2015	2016	2017	2018	2019
CENTRAL	$55.1M 75.00%	$54.9M 76.78% -0.5% Δ	$55.7M 71.10% +1.5% Δ	$56.2M 68.20% +0.9% Δ	$57.5M 61.83% +2.3% Δ
COLLEGES (RCUs)	$18.4M 25.00%	$16.6M 23.22% -10.7% Δ	$22.6M 28.90% +26.8% Δ	$26.2M 31.80% +13.6% Δ	$35.5M 38.17% +26.2% Δ

$73M 2015 TOTAL

$93M 2019 TOTAL
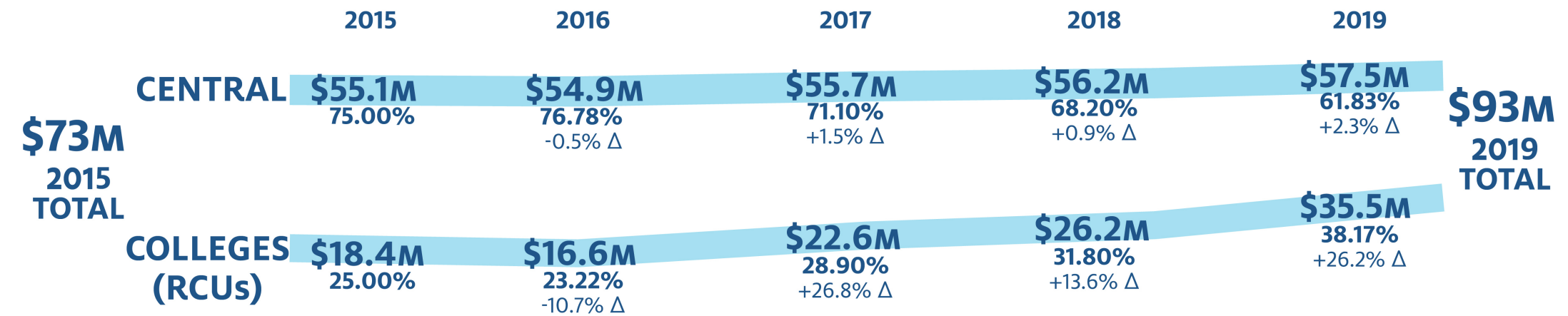
2019 COLLEGE/RCU, CENTRAL, AND RII UNITS SHARE THE FUNDS

SERVICES FROM RII RESEARCH, INNOVATION, & IMPACT (RII)

Sponsored Projects Services and Contracting Services
Pre- and post-award and contracting services

Research Development Services
Complex proposal development

Compliance
Human Subjects Protection Program, Conflict of Interest, Export Control, Research Integrity, Privacy, Research Laboratory & Safety Services

Research Infrastructure
Core facilities and research space

University Animal Care
Animal subject research

BUDGET FOR RII
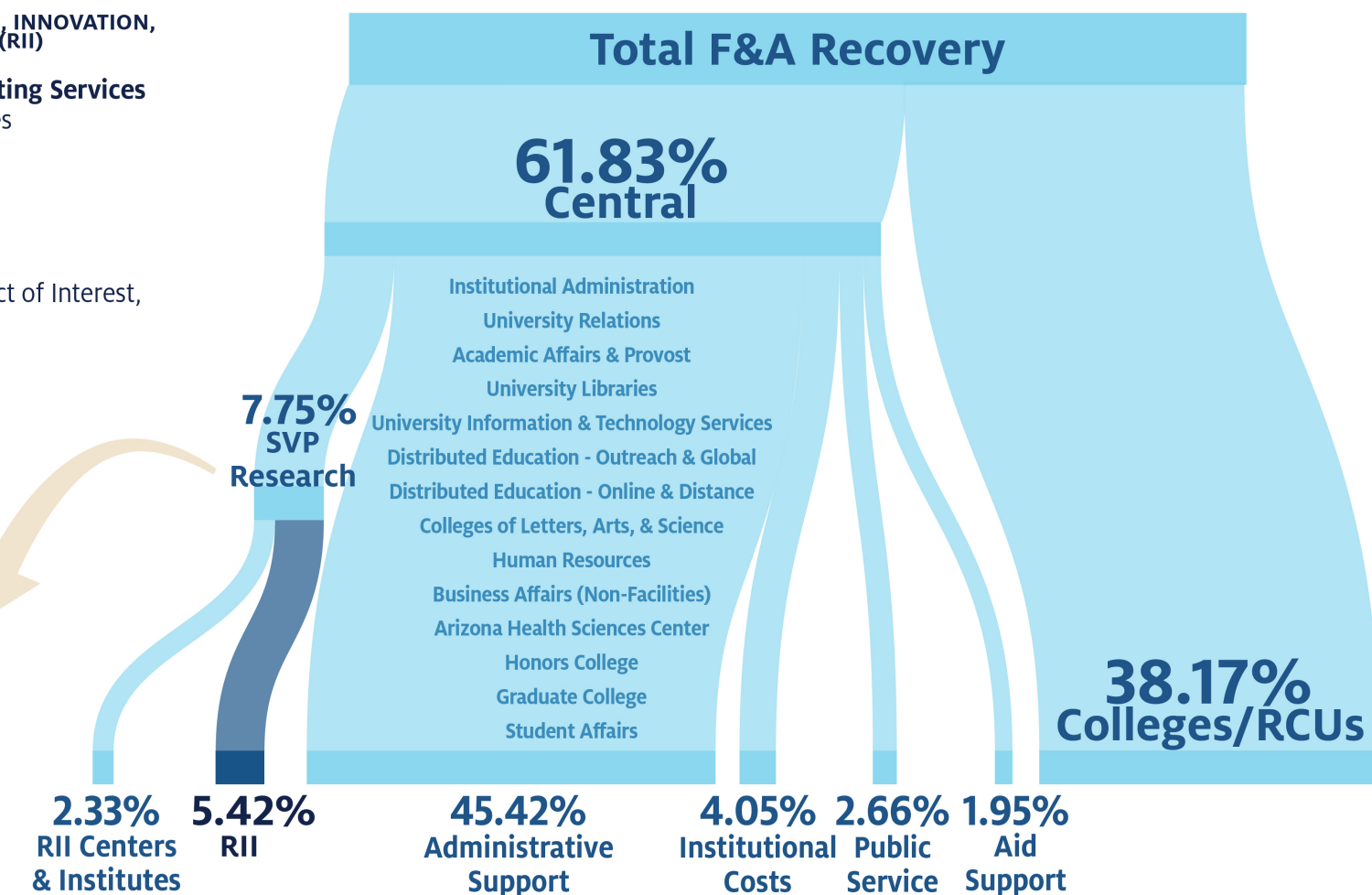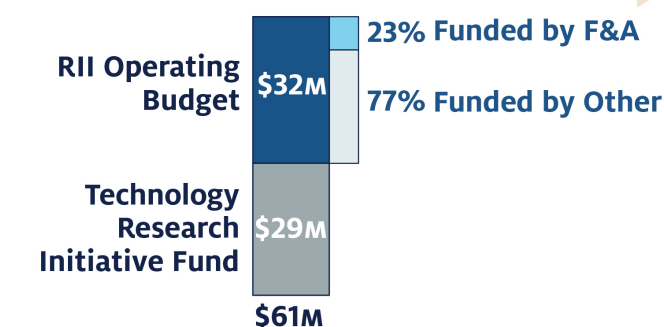
23% Funded by F&A
77% Funded by Other

RII Operating Budget $32M

Technology Research Initiative Fund $29M

$61M

Total F&A Recovery

61.83% Central

Institutional Administration
University Relations
Academic Affairs & Provost
University Libraries
University Information & Technology Services
Distributed Education - Outreach & Global
Distributed Education - Online & Distance
Colleges of Letters, Arts, & Science
Human Resources
Business Affairs (Non-Facilities)
Arizona Health Sciences Center
Honors College
Graduate College
Student Affairs

7.75% SVP Research

38.17% Colleges/RCUs

2.33% RII Centers & Institutes

5.42% RII

45.42% Administrative Support

4.05% Institutional Costs

2.66% Public Service

1.95% Aid Support

TRIF
& THE UNIVERSITY OF ARIZONA

The TRIF-funded research infrastructure already in place enabled rapid response by researchers in the BIO5 Institute to tackle COVID-19

First Covid-19 cases:
JANUARY 20 - US
JANUARY 26 - Pima

MARCH 21
Health Sciences students assist county health departments inundated with COVID-19 calls

MARCH 23
Labs pivot to produce and ship 15,615 diagnostic test kits, including 250 to Navajo Nation

MARCH 26
Produces medical-grade hand sanitizer for healthcare workers

MARCH 27
Makes 3-D printed masks for AZ healthcare workers and first responders

APRIL 1
Invents a new respiratory-assist device

APRIL 2
Tests wastewater across the country to trace coronavirus prevalence

APRIL 8
Tracks virus evolution and transmission with the Arizona COVID-19 Genomics Union

APRIL 15
Awards $620,000 in TRIF funds to seed 13 research projects to combat Covid-19

APRIL 16
Begins performing diagnostic tests on patient samples

APRIL 20
Launches texting system to gather and provide COVID-19 information

APRIL 30
Deploys UArizona-developed antibody test, the most effective in the U.S.

MAY 18
Expands antibody testing statewide to 250,000 front line workers testing statewide

Future of Technology and Research Initiative Fund (TRIF)

CURRENT INITIATIVES

- Improving Health; Water, Environmental & Energy Solutions; Space Exploration & Optical Sciences; National Security Systems, and Access & Workforce Development
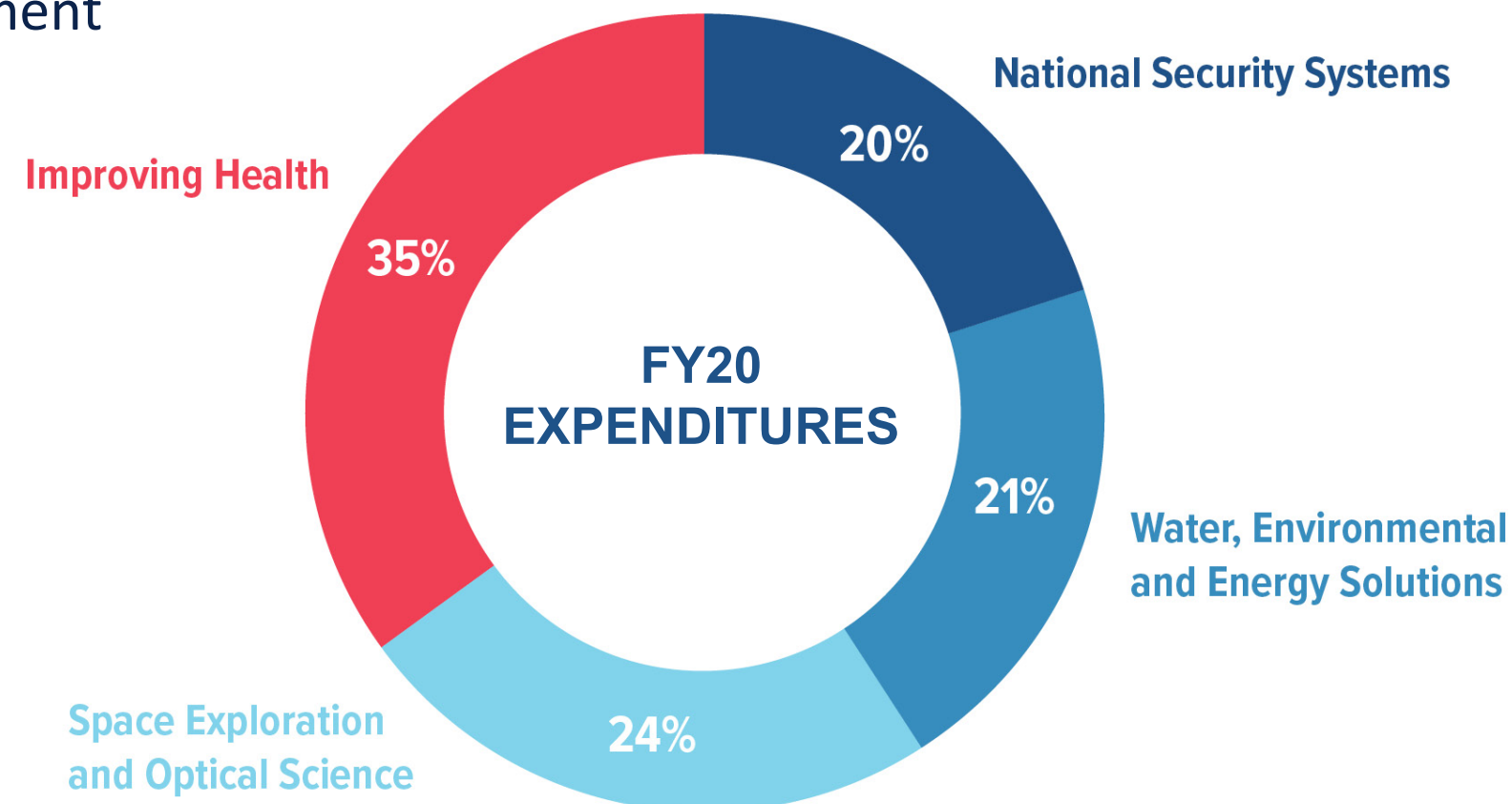
NEW INITIATIVES, Beginning FY22

- Health Futures, Resilience Science, National Security Systems, Space Exploration & Optical Sciences, Innovative Technology, and Access & Workforce Development

- Our TRIF allotment could vary year by year

FY20 EXPENDITURES

- National Security Systems — 20%
- Water, Environmental and Energy Solutions — 21%
- Space Exploration and Optical Science — 24%
- Improving Health — 35%

THE UNIVERSITY OF ARIZONA
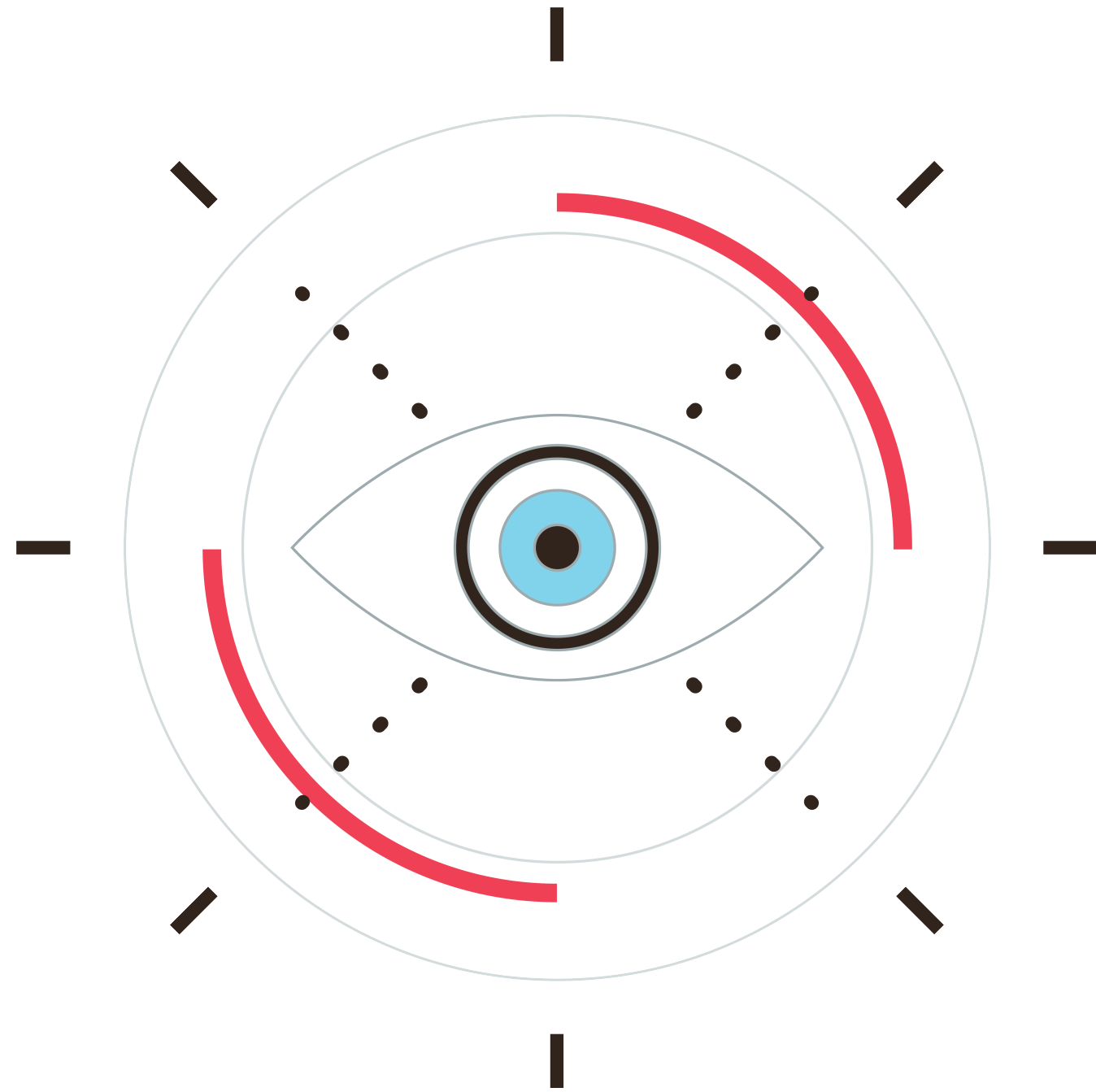
Eye on the Future

RII GOALS

- Anticipate and prepare the UA and our community for future challenges and opportunities

- Expand our impact and influence in the world

- Strengthen our creativity, resilience, and sustainability

THE UNIVERSITY OF ARIZONA

Eye on the Future

- Anticipate and prepare the UA and our community for future challenges and opportunities
  - Apply broad and deep collaboration to anticipate and solve problems, produce enduring knowledge and develop our innovation ecosystem
  - Enhance the University's knowledge and capabilities through strategic investments in multidisciplinary centers & institutes, research & innovation infrastructure and faculty support

- Expand our impact and influence in the world
  - Design for inclusion, equity and diversity in all we do
  - Expand with whom and how we engage and partner
  - Enhance our institutional capabilities in infrastructure, faculty and student support through strategic investments in advanced technologies
  - Enable the UA to embrace innovation and an entrepreneurial mindset

- Strengthen our creativity, resilience, and sustainability
  - Innovate new business models and methods
  - Balance priorities
  - Design for distinctiveness
  - Continuously review governance
  - Ensure optimization of program/division structure

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RII AWARDS

- Life on Ancient Earth and Alien Planets: NASA awarded ~$12 million to UA astrobiology researchers Betul Kaçar and Daniel Apai – 2 of 8 awards.

- NSF Convergence Accelerator: 2 awards integrating multi-disciplinary human-centered research by junior faculty Zheshen Zhang (MSE, Op Sci) and Laura Condon (Hydrology & Atmo Science). The only two convergence accelerator awards in Arizona.

- NIH DP2 (New Innovator) Award: Alicia Allen (Clinical Translational Science, Family and Community Medicine, Public Health). First such award (DP2) to UArizona since 2010.

- Institute of Museum and Library Services: Dr. Berlin Loa, (iSchool), Knowledge River: National Impact on Diversity, Equity, and Inclusion in Libraries, Archives, and Museums enhances the UA's efforts to provide a diverse and inclusive education.
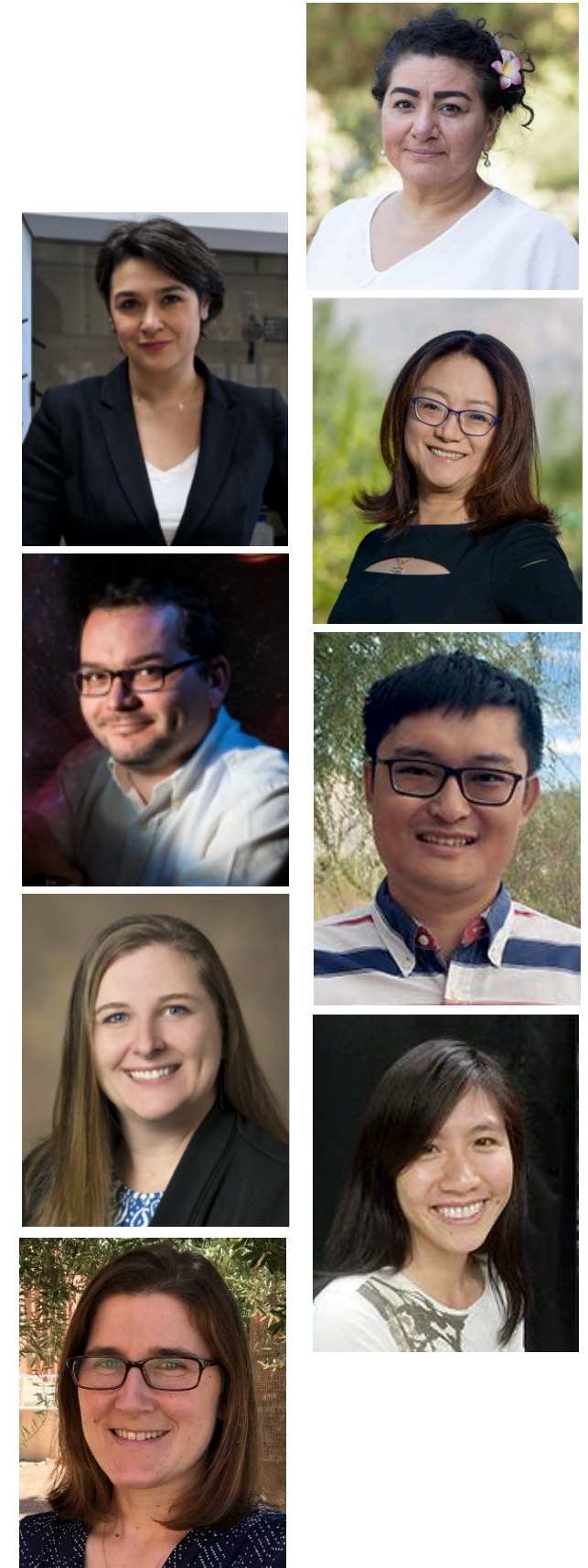
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QUESTIONS?

THANK YOU

THE UNIVERSITY OF ARIZONA
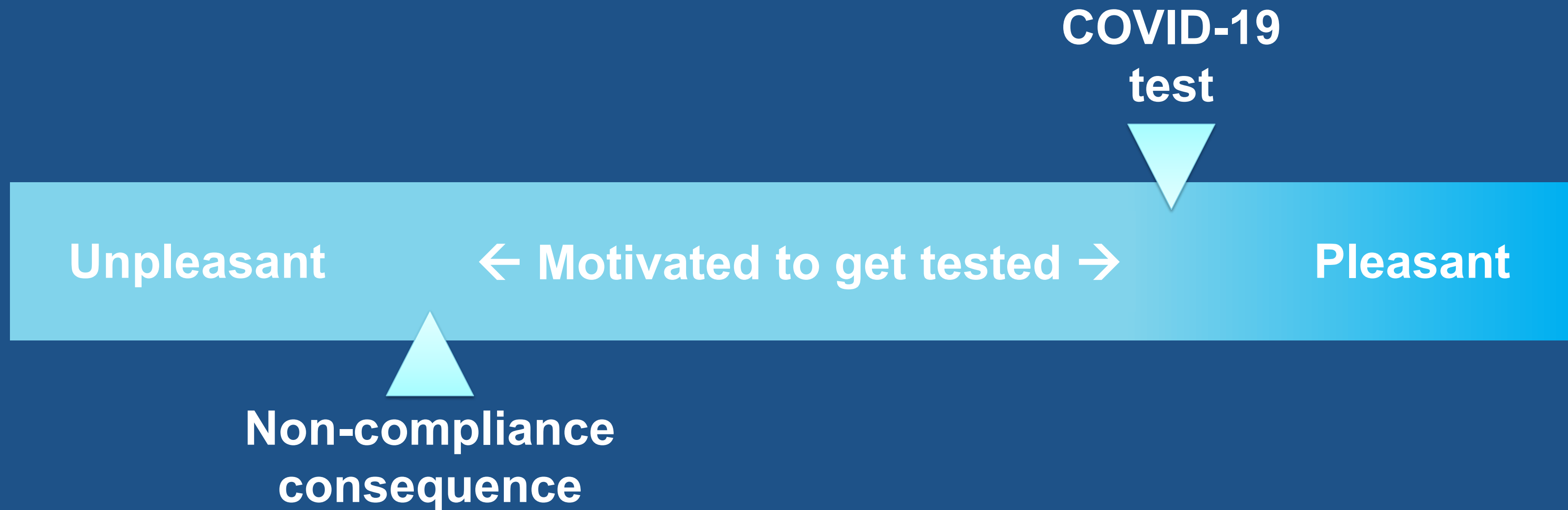
PCR Saline Gargle (SG)

- Sensitivity: superior to antigen and PCR NP tests

- Cost of supplies/lab personnel: less than half compared to antigen tests*

- Results delivery time: Same day or next day compared to 2 hours for antigen tests*

- Collection process: minimal supervision required for self-administered tests

* Direct PCR technology significantly reduces cost and processing time
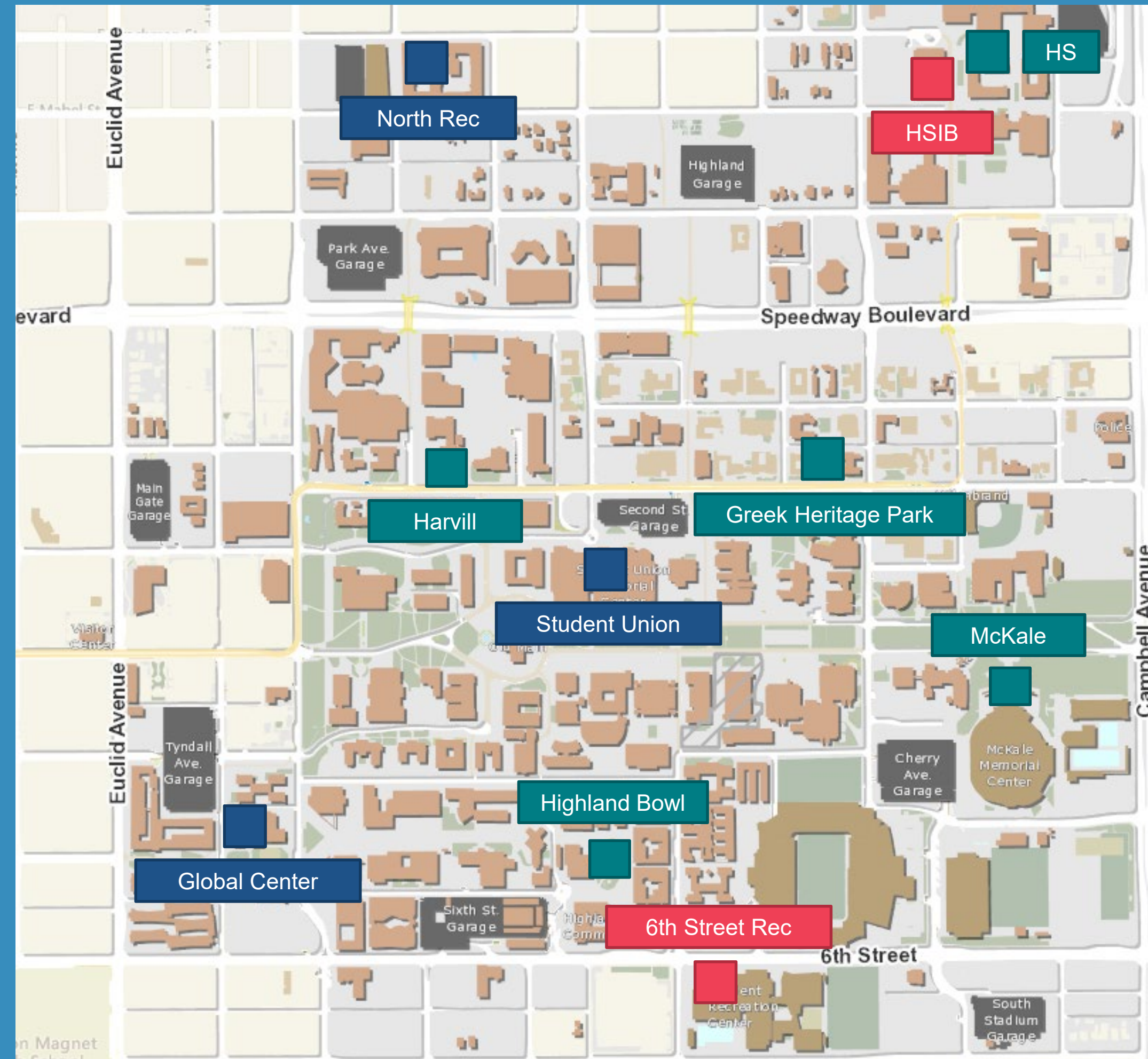
Integration of Test Registration and Wildcat WellCheck
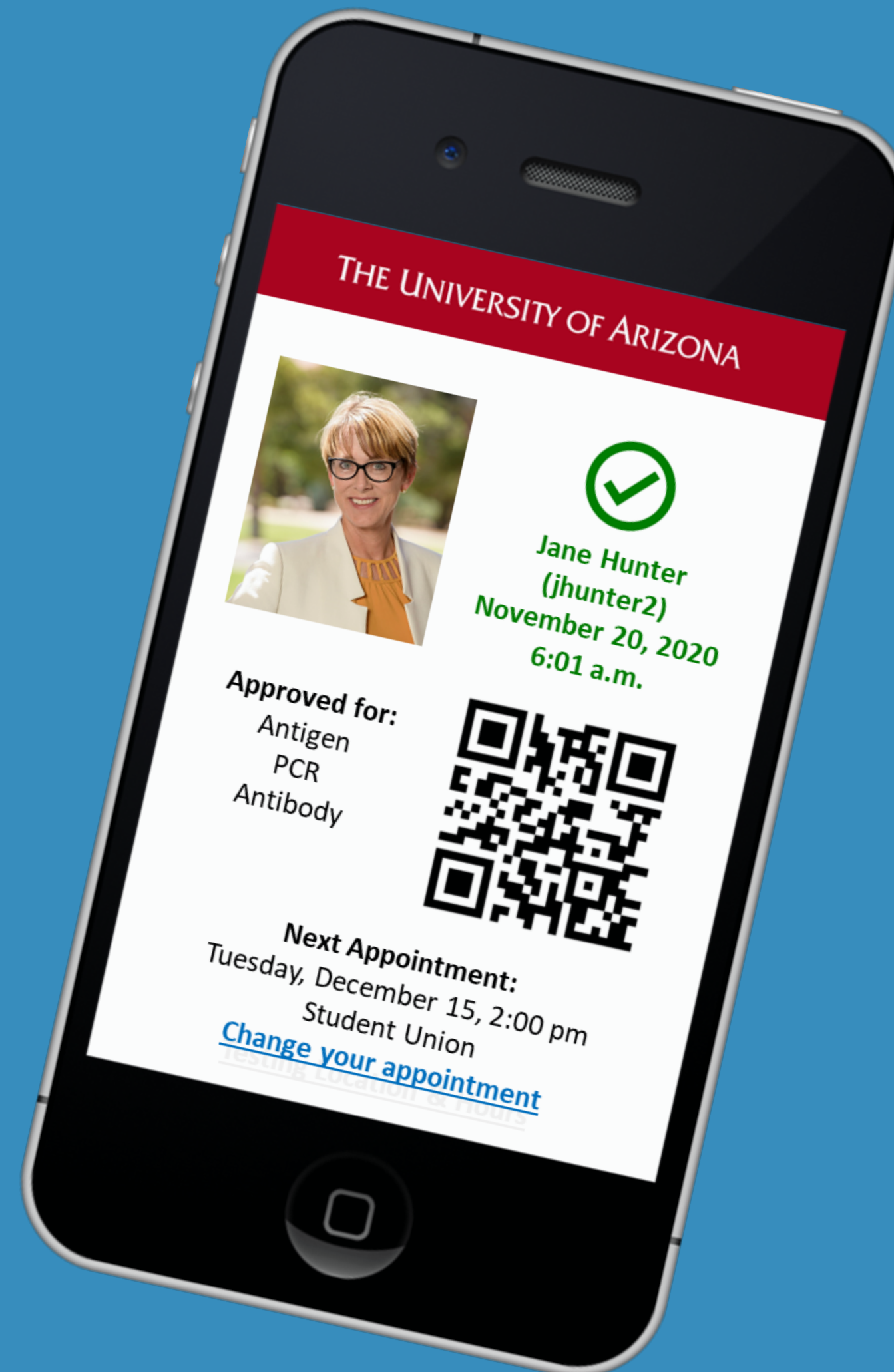
Recommendations for Reentry and Surveillance Testing

- All students who will spend time on campus will get tested before the semester begins (January 6 – 12)

- Dorm students will be required to get tested weekly (~5,000 per week)

- Off-campus students enrolled in courses with an in-person component on the main campus will be required to get tested weekly (~3-4,000 per week)

- Off-campus students spending time on-campus but not enrolled in courses with an in-person component will be expected to get tested within 7 days prior to spending time on the main campus (~3-4,000 per week)

Kiara Kimmons at North Rec Antigen Testing Site

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Recommendations for Compliance and Exemptions

Compliance

- UArizona Wi-Fi access restrictions

- Registration holds (considered, but not currently planned)

Exemptions

- Medical, religious, disability, etc.

- Positive virus test (90-days)

- Positive antibody test – TBA

- Vaccine exemptions – TBA

Jessica Hlomatchi and Zasha Ajero (students)
Tatyana Banks (collection supervisor)
North Rec Antigen Testing Site

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Recommendations for Reentry and Surveillance Testing

Diverse working group convened to consider options for a faculty and staff testing program

- Chairs: Leila Barraza (Associate Professor, Public Health)
  Steve Holland (Chief Risk Officer)

- Intended for faculty and staff who will spend time on-campus

- Opt-in or mandatory testing under consideration

In the interim, employees are strongly encouraged to take advantage of the free and convenient COVID-19 testing resources on campus.

THE UNIVERSITY OF ARIZONA

Furlough and Finance at UArizona in the Wake of Covid-19: Follow-Up Report

Presented by the General Faculty Financial Advisory Committee (GFFAC)

With Input From

- **Ravneet Chadha,** Executive Director of University Analytics & Institutional Research
- **Liesl Folks**, Senior Vice President for Academic Affairs and Provost
- **Don Lukes**, Indiana University Treasurer
- **Garth Perry,** Vice President & Chief Budget Officer
- **Helena Rodrigues & members**, Workforce Working Group, FSERT*
- **Robert C. Robbins,** President
- **Lisa Rulney**, Senior Vice President for Business Affairs and CFO
- **John Sullivan**, University of Michigan Treasurer
- **Kasey Urquidez & members**, Students Working Group, FSERT*
- **Susan Wiedemer**, Pennsylvania State University Assistant Controller
- **Faculty Senate**

*Financial Sustainability Emergency Response Task Force Teams

GFFAC Members

- **Brian Berrellez** - SPBAC/APAC/Staff (CALS)

- **Scott Cederburg** – Faculty (Eller)

- **Ravi Goyal** – Senator/Faculty (CALS)

- **Ron Hammer** – Senator/Faculty (CoM-P)

- **Mona Hymel** – Senator/Faculty (Law)

- **Marcia Klotz** – CAJUA/Faculty (SBS)

- **Guadalupe Lozano** – Faculty (CoS)

- **Farid Matuk** – CAJUA/Faculty (SBS)

- **Ruth Oropeza** – Graduate Student (SBS)

- **Christina Rocha** - Staff (RII)

- **Jessica Summers** – CoF/Faculty (CoEd)

- **Russ Toomey** – CAJUA/Faculty (CALS)

- **Mayela Trevino** - Staff (CoEd)

GFFAC TIMELINE

Furlough Plan Announced

- General Assembly Votes to delay furlough until September
- Furlough is delayed until August 10

JUNE

JULY

- GFFAC is formed
- GFFAC presents at Senate
- GFFAC submits report to administration

AUGUST

- GFFAC attends SPBAC meetings
- Furlough continues as planned by administration
- ABOR allows for universities to pursue line of credit

- GFFAC plans additional meetings with FSERT
- Fall census reports enrollment
- Contract renewals are issued reflecting reduced salaries

SEPTEMBER

OCTOBER

Furlough Plan Adjusted

4

GFFAC: Where are we now?

OCTOBER — **NOVEMBER**

December Senate

➢ GFFAC Follow-Up Report

➢ Moody's issues Aa2 bond rating
➢ GFFAC meets with President Robbins, Provost Folks, & CFO Rulney
➢ **Based on census data and net tuition revenue, furlough is shortened**

➢ Academic and support units receive their new budgets
➢ ABOR approves legislative package that includes budget for COVID relief, increased state appropriations for universities, and ability to seek system-wide century bonds for opportunities and initiatives funding

Presentation Overview/Outline

- **Reflection of Covid-19 Impact on Reactionary Budgeting in FY21**

- **Outlook for Cautionary Budgeting in FY22**

- **Strategic Budgeting and Finance Recommendations Moving Forward**

- **Update on Shared Governance**

How Budgetary Decisions in FY21 Can Inform Better Practices FY22 and Beyond

FY21 Reactionary Budgeting

- Adjustments pre-Covid based on tuition discounting exposes the University to radical shortfalls that cannot be anticipated or mitigated without serious disruption to our operations.

- Financial mitigation strategies during Covid focus on maintaining cash-on-hand by using estimated projections and drawing money primarily from employee salaries.

- With the shortening of the furlough, many colleges and academic support units are being required to use existing reserves and/or borrow money from other units to cover deficits, thus having the following effects:
  - ✓ Reducing university cash on hand
  - ✓ Limiting units' ability to invest in academic programming for current/future students
  - ✓ Forcing some units to consider employee layoffs in FY21 and FY22

- Quick decisions left major stakeholders (including shared governance) out of the conversation.

Actual Tuition Loss: ~$55M (40% improvement)

updated 10/9/20 - Estimated Impacts Resulting from COVID-19 Crisis University of Arizona			
Description	Actuals FY20 (3 mos)	Projected COVID IMPACTS FY21 (12 mos)	Total (15 mos)
Revenue			
Tuition and Fee Revenue (NET)			
In-State Students		-$6,600,000	**-$6,600,000**
Out of State - Domestic Students		-$24,900,000	**-$24,900,000**
Out of State - International Students		-$21,600,000	**-$21,600,000**
Arizona Online		$20,000,000	$20,000,000
All Other Tuition and Fees	-$7,894,000	-$3,600,000	-$11,494,000

October: Projected Loss

	Actuals	Projected COVID IMPACTS	
	FY20	FY21	Total
Description	(3 mos)	(12 mos)	(15 mos)
Revenue			
Tuition and Fee Revenue (NET)			
In-State Students		-$6,600,000	**-$6,600,000**
Out of State - Domestic Students		-$24,900,000	**-$24,900,000**
Out of State - International Students		-$21,600,000	**-$21,600,000**
Arizona Online		$20,000,000	$20,000,000
All Other Tuition and Fees	-$7,894,000	-$3,600,000	-$11,494,000
Investment Income	-$17,165,000	-$17,493,000	-$34,658,000
Philanthropy		-$8,383,000	-$8,383,000
Auxilliary Revenues: Housing, Student Union, Bookstores,			$0
Parking, Campus Health, and Campus Recreation	-$15,223,000	-$68,727,000	-$83,950,000
Intercollegiate Athletics		-$48,900,000	-$48,900,000
Facilities and Admnistrative Cost Recovery		$0	$0
Department Sales & Service and Conferences		-$5,800,000	-$5,800,000
Estimated Revenue Impact	-$40,282,000	-$186,003,000	-$226,285,000
Expenses			
Increased costs for online support for students, faculty,			
and staff COVID Protection Measures	-$1,497,000	-$20,000,000	-$21,497,000
Estimated Expenses Impact	-$1,497,000	-$20,000,000	-$21,497,000
Total Projected COVID-19 Financial Impact	-$41,779,000	-$206,003,000	-$247,782,000

Table header: updated 10/9/20 - Estimated Impacts Resulting from COVID-19 Crisis — University of Arizona

Revised Budget Still Leaves a Deficit

- Total enrollment numbers are up

- But, total revenue is down year-over-year due to the composition of types of tuition being paid by students

Total enrollment for last 10 years:

	Fall 2011	Fall 2012	Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018	Fall 2019	Fall 2020
Undergraduate Students	30,665	31,565	31,670	32,987	33,732	34,072	35,123	35,233	35,801	36,503
Graduate Students	7,083	7,162	7,443	7,720	7,817	7,946	8,106	8,334	8,423	8,585
First Professional Students	1,488	1,496	1,508	1,529	1,539	1,607	1,602	1,650	1,694	1,844
Total	**39,236**	**40,223**	**40,621**	**42,236**	**43,088**	**43,625**	**44,831**	**45,217**	**45,918**	**46,932**

Source of Tuition Revenue

- Main Campus Undergraduate Enrollment Only

First-Year Students	FY2020	FY2021	% change
Resident	5,604	5,432	-3.1%
Non-Resident	3,147	2,749	-12.6%
International	499	153	-69.3%

| Total Students	FY2020	FY2021	% change
Resident	20,364	20,158	-1.0%
Non-Resident	8,732	8,515	-2.5%
International	2,073	1,541	-25.7%

Impact of Tuition Discounting

- These data represent tuition (not fees) for all undergraduate, main campus students enrolled and paid at fall census

- Institutional aid includes merit and needs-based aid

- Arizona Online revenue is NOT included in this NTR calculation

Residency	Student Count	Tuition Revenue	Institutional Aid	Net Tuition Revenue
Resident	20,158	$103,751,132	$59,112,546	$44,638,586
Non-Resident	8,515	$131,036,449	$46,680,104	$84,356,345
International	1,541	$25,012,573	$4,453,701	$20,558,872

History of Tuition Discounting

- Year-over-year data on revenue and tuition discounting

	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18	FY19	FY20	FY21 Proj.
Revenues														
Tuition & fees	327,051	377,354	469,086	537,436	586,932	644,756	670,322	749,413	805,144	854,294	867,563	890,558	911,407	911,300
Less Scholarship Allowance	(95,515)	(107,907)	(139,500)	(158,237)	(176,426)	(183,176)	(185,513)	(194,646)	(196,465)	(200,568)	(214,043)	(232,468)	(267,055)	(287,900)
Net Tuition and Fees	231,536	269,447	329,586	379,199	410,507	461,580	484,809	554,767	608,679	653,726	653,519	658,090	644,352	623,400
Discount	29%	29%	30%	29%	30%	28%	28%	26%	24%	23%	25%	26%	29%	32%

Discount Rate

13
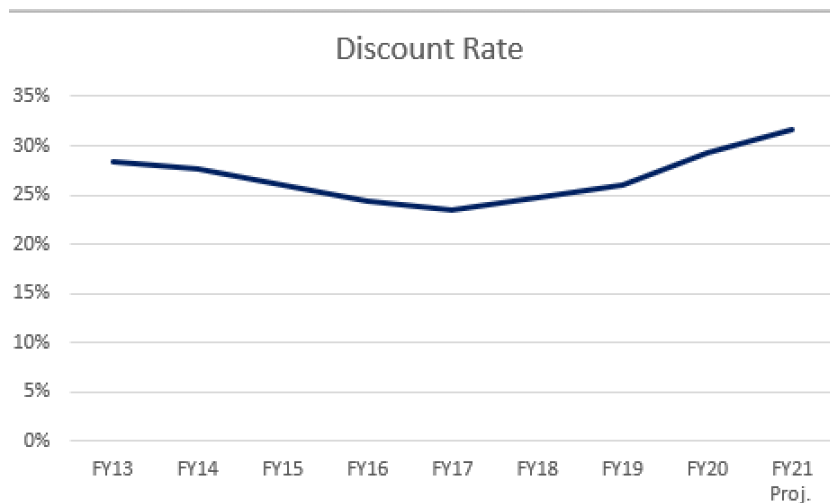
Mitigation Will Not Cover FY21 Deficit

- Previous mitigation strategies:
  - ✓ Furlough/Flex program ($55M); wage freeze ($20M); hiring freeze; strategic plan halt ($58M); postpone capital projects ($22M), CARES act funding ($15M)
  - ✓ All of the above are ONE TIME ONLY sources of cash – there will not be a furlough in FY22

- Updated mitigation strategies include:
  - ✓ **Refinancing**: UArizona has refinanced a bond payment due in December 2020, which allows for short-term access to $19M that can be repaid later. At least half of this money will be designated for auxiliary relief
  - ✓ **Consultants**: Public Financial Management (PFM) has been appointed to evaluate the pros and cons of outsourcing auxiliaries at UArizona, starting with Facilities Management and the Bookstores
  - ✓ **State Relief**: ABOR will go to the legislature asking for up to $75M for FY21

How Budgetary Decisions in FY21 Can Inform Better Practices FY22 and Beyond

FY22 Cautionary Budgeting

- ABOR intends to push legislation on the following issues:
  - ✓ Obtain an increase in UArizona state appropriated budget (FY21 = $280M) for FY22 (additional $110M)
  - ✓ Propose change to state statutes to include century bonds for innovative and strategic investments (not operational expenses)
- University of Arizona Leadership has decided not to apply for a line of credit (LOC) at this time for the following reasons:
  - ✓ Existing cash balances have been used to offset losses, and a LOC will only be considered if we run low on cash
  - ✓ ABOR members have discouraged Arizona Universities from using LOCs to pay for operating costs
  - ✓ No other Arizona state entity has applied for LOCs as a Covid-19 financial mitigation strategy
  - ✓ Obtaining and using LOCs to cover operational costs may affect UArizona's credit rating and/or relationship with state legislature
- When we talk about shrinking the University of Arizona, where are the cuts going to be made?

How Budgetary Decisions in FY21 Can Inform Better Practices FY22 and Beyond

FY22 ~~Cautionary~~ Strategic Budgeting

Other universities are actively using debt markets, including issuing bonds, issuing commercial paper, and using lines of credit to cover Covid-19 related costs. New lines of credit for COVID-related relief are being used at the following institutions (among others)

- **University of Michigan** has taken out three lines of credit for operating expenses at different repayment terms (2, 3, and 4 years)

- **Penn State University** has taken a $250M line of credit for operating expenses with a three year repayment term

- **Indiana University** brokered a $600M line of credit for operating expenses as a syndicate deal with JP Morgan with terms of one year repayment (refinancing will allow additional time for repayment flexibility)

Recommendations: Short-Term Mitigation

1. Provide formal feedback to the university community on specific recommendations that were considered/not considered with accompanying rationale from the original GFFAC Report

2. Apply for a system-wide line of credit for all three Arizona universities to help University of Arizona with operating expenses and debt accrued by auxiliaries, or provide formal feedback on why this option wasn't chosen

3. Use supplemental relief from state legislature or Congress to cover academic and support unit losses due to decreases in NTR* for FY21

4. Create a budget model for FY22 that optimizes employment retention with financial efficiencies

*Net Tuition Revenue (NTR)

Recommendations: Long-Term Mitigation

1. Modify/truncate tuition discounting models for future recruiting, and require admissions to include colleges as partners in strategic decision-making

2. Use land grant mission and academic reputation to recruit students; improved rankings could make admissions more competitive for Arizona students who are historically disadvantaged

3. Evaluate operational efficiencies and redundancies within and between units

4. Work with a variety of stakeholders and shared governance groups to reassess the value and restructuring of Responsibility Centered Management (RCM) and Activity Informed Budgeting (AIB)

5. Use furloughs, pay reduction, and employee layoffs as the LAST strategy for dealing with financial exigency rather than the FIRST; if a layoff program is established, a process for transparent and equitable performance evaluations needs to be in place beforehand

Investment in Core Mission

- Application rates are currently climbing

- Demographic trends suggesting fewer future applicants ≠ Existential Threat for **all** universities

- Shrinking applicant pools can trigger a consolidation of the higher-ed marketplace, with larger, well-regarded universities left to reap a larger market share

- Fewer freshmen will NOT have fewer interests

- Invest now across our disciplinary spectrum to attract varied interests of all future applicants

Applicants, Admits, and Yield Trends
First-Year Undergraduates by Fall Admit Term
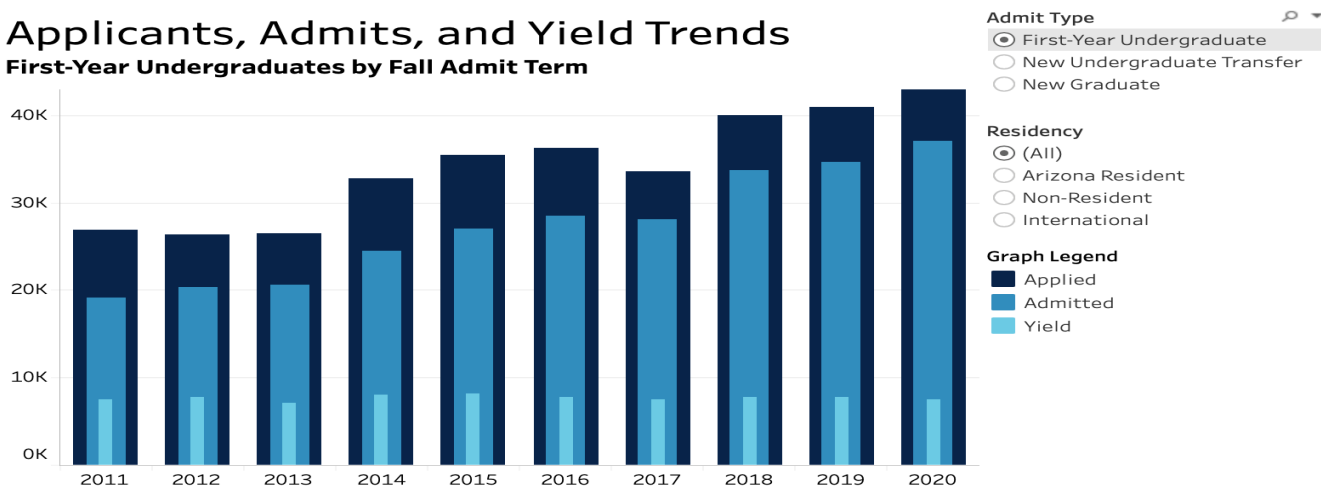
Leadership Through Solidarity

In ABOR's recent review, they granted Robbins a $100K bonus for meeting a number of at-risk enterprise metrics: research expenditures, graduates from high-demand programs, university initiatives, and improved rankings. We are concerned that these metrics reward one individual for the labor of the entire university community. Moreover, at a time when the president and Senior Leadership Team have required that very community to make major sacrifices, we are concerned that the president receives a monetary reward for services performed by those who have taken a pay cut or been laid off.
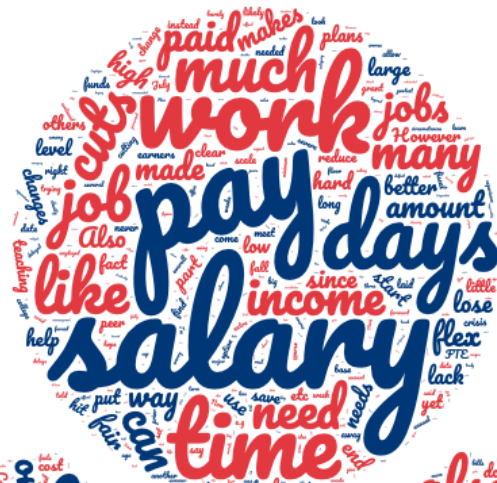
President Robbins could donate his bonus to:

- **Campus Food Pantry (or other local food bank)**
- **Student Emergency Fund**
- **Presidential Scholarship for DACA students**
- **Campus Cultural Centers**
- **Native SOAR**
- **COBA**
- **Bonuses for Essential Workers on Campus**
- **PPE**

Updates on Shared Governance

Recommendations from GFFAC's July Report

1. The University of Arizona Executive Leadership Team adopt and distribute widely a formal statement of the respective roles and responsibilities of the governing board, administration, and faculty in decisions about the institution's budget.

2. Faculty who serve on budget committees (e.g., SPBAC) have "access to all the information" they require to carry out their tasks effectively.

3. The University of Arizona Executive Leadership Team prepare a roster of faculty members who are experts in various facets of budgeting, finance, and related higher education policies.

4. The University of Arizona Executive Leadership Team develop ways to encourage faculty interest in serving on budget committees and reward such service.

5. The University of Arizona Executive Leadership Team prepare regular reports on the effectiveness of their mechanisms for reaching budgetary decisions with the goal of improving them (e.g., regular updates from FSERT committees to Faculty Senate).

Thank you!   **Questions?**