



SBS FACULTY AFFAIRS

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UNIVERSITY HANDBOOK FOR APPOINTED PERSONNEL (UHAP)

All three of Arizona's public universities (University of Arizona, Arizona State University in Phoenix, and Northern Arizona University in Flagstaff) are governed by the Arizona Board of Regents (ABOR), a body of twelve members including (and appointed by) the Governor of Arizona (more at <http://www.azregents.edu/>). The Board is comprised of business and community leaders whose role is to provide guidance relative to educational policy at the post-secondary level.

It is through [UHAP](#) that ABOR policies are implemented. UHAP sections include:

- Faculty Personnel Policies and Procedures (Chapter 3 for faculty on the Tenure and Career Tracks; Chapter 4 for faculty with Continuing Status)
- Academic Policies and Related Information (Chapter 7)
- Leaves (Chapter 8)
- Recognition (Chapter 9)

All SBS policies are bound by UHAP; SBS policies also typically provide information about procedures within the College as they relate to UHAP policies.

See University and SBS Policies: <https://sbs.arizona.edu/faculty-policies>. On this page you'll find we have a **host** of resources, including links to UA and SBS policies and tips and templates for any number of 'asks' or processes.



REVIEWS

Typical reviews for faculty in SBS are **Annual Performance Reviews**, **3rd Year Reviews**, and **Promotion and Tenure Reviews**. Others to know about: **Annual Reviews** for Heads and Directors, **5th Year Administrative Reviews** for Heads and Directors, and 7-year **Academic Program Reviews**.

Annual Performance Reviews (UHAP 3.2)

All faculty in SBS complete an Annual Performance Review, intended to “involve faculty members in the design and evaluation of objectives and goals of their academic programs” and to “assess actual performance and accomplishments in the areas of teaching, research and professional service.” (For other objectives, see the Annual Performance Reviews of Faculty [policy](#).)

All faculty in SBS should use the Annual Profile functionality in Faculty Portfolio to report annual performance data.

Annual Performance Review reports are first reviewed by a Peer Review Committee (either appointed or elected, depending on your unit’s practice), which makes an (advisory) recommendation to the H/D. The H/D gives a final score in three potentially applicable areas (research, teaching, and service), plus an overall score.

In addition to scores, H/D are intended to give faculty feedback in the way of actionable items to help faculty meet their own goals as well as the unit’s expectations. All “junior” faculty and any faculty who earn below “meets/exceeds expectations” in any area (teaching, research, or service) are to get formative feedback in writing at the time scores are awarded.

Before written feedback is finalized and a final review score is awarded, faculty can meet with the unit H/D to discuss the review and address any issues or concerns, either with the feedback or with the scores.

If faculty have issues with their scores that cannot be resolved through conversation with the unit H/D, [UHAP 3.2.03](#) has information on appeals.



3rd Year Review (UHAP 3.3.01B and UHAP 4.3.01B)

Faculty on the tenure track and continuing track undergo 3rd Year Reviews. These are intended to mimic, as much as possible, a Promotion & Tenure (P&T) review. Faculty complete dossiers, following the same sections as in P&T/CS&P. The only difference: no external reviewers. The Head/Director then recommends reappointment or nonrenewal after fourth year in rank. Sometimes an additional 'retention' review can be recommended by the H/D for completion during the 4th or 5th year.

The Relationship between Annual Performance Reviews and Promotion & Tenure (P&T)

Annual Performance Reviews evaluate performance *in rank* for teaching, research, and service. **P&T** is about how closely faculty are meeting the expectations of the rank they're moving into. That said, faculty can use annual reviews to help shape their career trajectory in anticipation of P&T.

All annual performance reviews for probationary (i.e., tenure-eligible but not yet tenured) faculty include an additional component that addresses progress toward P&T (or Continuing Status, another faculty title used in some SBS units). This added component should be written by the H/D during annual performance reviews.

The Provost's office recommends faculty use annual performance reviews to clarify expectations for future Promotion & Tenure and to get help from H/D and mentors to prioritize commitments (often in the way of support for setting limits).

What faculty should ask during annual performance review:

- What is required in teaching for P&T? (i.e., are you expected to teach a range of courses? How is teaching effectiveness assessed?)
- What are service expectations? (i.e., discuss your service interests; ask your H/D to suggest committees that build on your work)
- What is expected in the way of your research? (i.e., what is meant by terms such as "impact"? Are you seen to have a coherent research program? Does the H/D have any concerns such as your "independence" from your Ph.D. advisor?)



Annual Reviews of Heads and Directors (UHAP 5.2)

Heads and Directors are evaluated every 12 months by the Dean. Evaluation materials include:

- a self-assessment (instrument sent annually in early Spring);
- a survey that goes to all faculty and staff (and can go to graduate students at the Head or Director's discretion), the results of which go to the person being evaluated and the Dean; and
- the peer review of non-administrative accomplishments (meaning, the teaching, research, and non-administrative service) as completed in Faculty Portfolio.

5th Year Reviews of Heads and Directors (UHAP 5.3)

Heads and Directors are reviewed as a matter of academic policy every five years. Procedurally, departmental faculty members elect three members to serve, and the Dean typically appoints a Chair as well as two additional faculty members from elsewhere on the campus or the community.

Reviews usually involve both qualitative (i.e., interviews and meetings) and quantitative (i.e., survey to faculty and graduate students) components.

PROMOTION

Promotion on the Career Track (3.3.03)

Every person hired into a Career Track (CT) position by an SBS department or school is hired with the hope and intention that they will excel and over time seek promotion in rank. CT titles include Lecturer (including Senior and Principal), Professor of Practice (Assistant, Associate, and full) and Research Professor (Assistant, Associate, and full). The promotion process and required documents vary by title (Lecturer vs a Professor title), as do the levels of review.

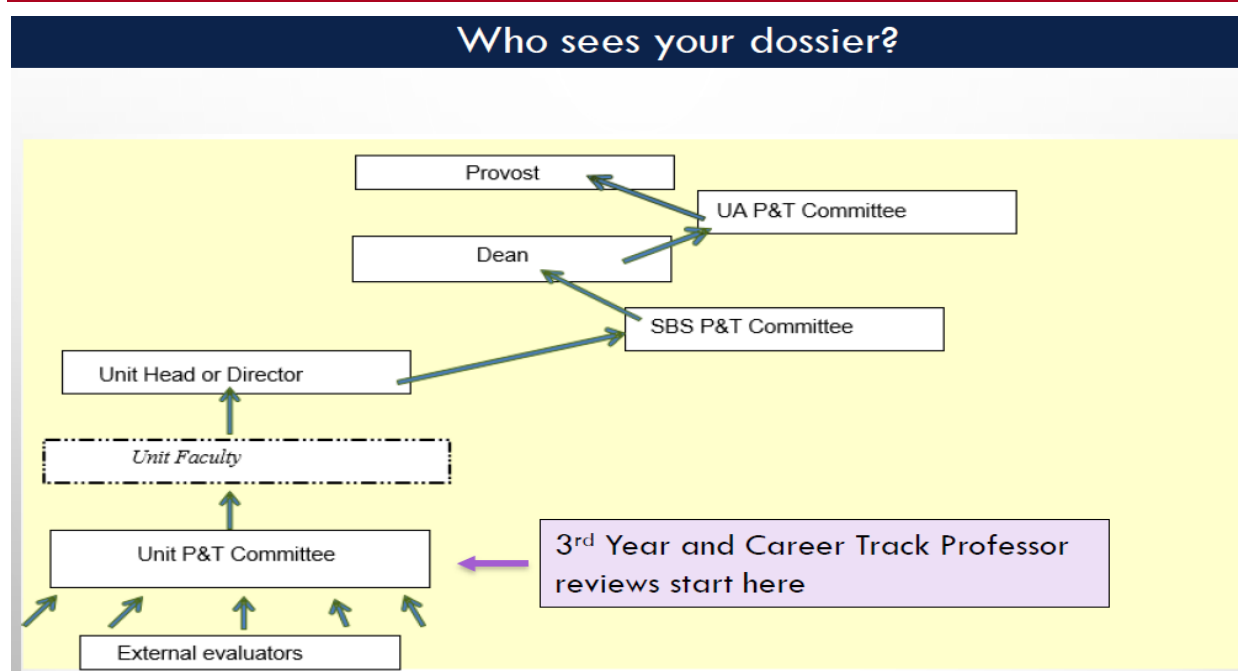
Promotion and Tenure Review (UHAP 3.3.02) and Continuing Status and Promotion Review (UHAP 4.03.02)

Those at the Assistant rank on the tenure or continuing status tracks must go up for promotion by the end of their 6th Year in rank (i.e., as assistants); in other words, there is a 6-year “clock.”

Faculty can ask for a delay of their clock for birth or adoption, personal or familial health conditions, adverse professional circumstances, or prestigious external commitments. Some of these requests go straight to the Provost, while others go through unit H/D and the college Dean first. [SBS has a template for requesting delay based on birth or adoption.](#)

Guidelines for P&T exist both institution-wide and through the College of Social and Behavioral Sciences. In all cases, faculty prepare dossiers following very specific guidelines and sections.

*NOTE: While it is good to familiarize yourself with these sections, know that they can **change**. The Faculty Affairs website and the SBS website (under “Promotion”) are updated regularly, with the latter including college-level suggestions and resources. Both the UA and SBS hold annual promotion workshops for Career Track, Tenure track, and Continuing Status faculty.*





INSTITUTIONAL AWARDS, HONORS, AND RECOGNITION

The Provost's office maintains a [list of institutional awards](#).

Information on these and many other institutional awards, honors, and recognition opportunities is available [here](#) and [here](#).

Award categories for faculty include recognition at various career stages and a variety of teaching awards (both UA and SBS).

We encourage faculty, staff, and Heads and Directors to nominate others -- including students and appointed professionals/classified staff in your units -- for unit, college, and institutional awards as appropriate.



LEAVES AND BREAKS

Sabbaticals: UHAP 8.03.02

Tenured and Continuing Status faculty are eligible for sabbaticals after every 6 years of service. Time in excess of 6 years cannot be “banked” to reduce the time needed between future sabbaticals.

Sabbaticals can either be for a semester (at full pay) or for a year (at .60 salary).

Per [UHAP 8.03.02 B](#), sabbaticals can be used to focus on (a) research and publication, (b) teaching improvement, (c) intensive public service clearly related to the applicant's expertise, or (d) integration and interpretation of existing knowledge into larger interdisciplinary frameworks.

Applications are due Nov 1st of every year.

Junior Professional Development Leave (aka Junior Sabbaticals) (SBS Policy)

Junior Sabbaticals (officially called Junior Faculty Professional Development Leaves) give tenure-eligible and continuing-eligible faculty the opportunity to pursue research interests independently of teaching or other institutional responsibilities.

A junior sabbatical may be taken in the second semester of the faculty member's third year of appointment, or in either semester of the fourth or fifth years. (If taken in the second semester of the third year, faculty would complete the application at the same time as the 3rd Year Review and the application could be approved pending a successful review outcome).

*Important: we encourage all faculty aim to apply for (even if they don't receive) external grant or fellowship funding for Junior Sabbaticals.
SBSRI is the ideal resource for this type of endeavor.*

Professional Development Leaves for Career-track faculty (meaning, those off the tenure-track)

Professional Development Leave is available for those off the tenure-track who have been at the UA for not less than six years on full-time status. Since Career-track faculty are hired primarily as teachers, eligibility requires a minimum of 60% teaching in the Distribution of Effort, which the College defines as a 3:3 teaching load. The review and recommendation for Career-track Professional Development Leave follows the same process as the review of sabbaticals.



Leave of Absence (UHAP 8.04.01)

Leaves of Absence are usually granted for a maximum period of one year. During an approved leave of absence without pay, employees may continue health benefits by paying both the employee and employer premiums for any such benefits, for up to one year for medical-related leaves and up to six months for nonmedical-related leaves.

Leaves that permit faculty to make normal or accelerated progress towards meeting tenure do not require special accommodation in the review clock. When the conditions of a leave permit faculty to conduct as much research as would normally be the case, a delay of tenure will be granted only with Provost approval and only under extraordinary circumstances.

Research Leaves (with and without pay)

There are two tracks available for externally-supported research activities in SBS: Non-prestigious and Prestigious Fellowships and Awards.

Non-prestigious Fellowships and Awards requiring a leave from regular university duties are treated as unpaid Leaves of Absence (from **UHAP 8.04.01** Leaves of Absence – General)

Prestigious Fellowships and Awards requiring a leave have an additional benefit: the University will provide a matching value up to a maximum of 50% of the faculty member's salary for the period of the leave. This is to increase/incentivize the number of truly prestigious awards obtained by SBS faculty. Unit H/D help determine, both for interested faculty and for the Dean's office, what rises to the level of "prestigious."

Faculty Exchange Policy (SBS Policy)*

This policy allows UA faculty to teach in a partner institution, while a faculty member from the other institution comes to teach at the UA (either during the same semester or, even better, in an alternate semester to enable more robust collaboration). UA faculty members continue to earn UA salary throughout their time at the other institution. Research and service responsibility typically remain with the home institution.



Course Reduction Options (SBS Practice)

If a faculty member would like to teach less in a given semester but is otherwise fully present here on campus and engaged in the life of the unit, there are a few options to consider.

Prior Arrangement

You may arrange with the H/D to teach an additional course or courses in the semester(s) leading up to the semester in which a course reduction is to be taken. The agreement must be signed by both you and the H/D, with a memo sent to the Dean's office.

Course Buy Out

Faculty may temporarily reduce their salaries in order to “buy out” a course or courses in a given semester, while continuing to fulfill all other responsibilities. Course buy outs require advanced prior approval from the H/D, the Dean, and the Provost (this last one depending on the circumstances). The total amount of funds required to buy out a single course is 10% of current salary. (When applying for grants, it is often wise to include a request for course buy out funds).

NOTE: course buy-out is only available to faculty who will be here in Tucson and who will maintain their other service responsibilities to the unit, college, and/or university.



SUPPORT FOR LIFE EVENTS

Parental Leave, Alternate Duties, and Family & Medical Leave

All benefits-eligible employees employed for at least 12 months can take 6 weeks of paid parental leave following the birth or adoption of a child. Along with Parental Leave, two commonly used UA policies are TADA (Temporary Alternative Duty Assignment) and FMLA (Federal Family and Medical Leave Act of 1993).

TADA can also apply in a variety of “need to care for others” circumstances, while FMLA works for care for self as well as others.

TADA

Per UHAP 08.05.01, TADA can apply under the following circumstances:

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

What happens with TADA: During the period of TADA (usually 16 weeks or a semester; can be used for the weeks in a semester not covered by parental leave, for example), the full - time equivalency (FTE) remains unchanged, but the balance of duties is adjusted to make it more feasible for faculty to continue working. (In practice, TADA usually involves increasing service or research and decreasing teaching for a semester). [SBS has a template for those wanting a TADA.](#)

FMLA

Per UHAP 08.04.06, FMLA applies under these circumstances:

- the birth of the employee's child and the care of such newborn child;
- the placement of a child with the employee for adoption or foster care;
- the care of the employee's spouse, child or parent who has a serious health condition;
- the employee's own serious health condition that prevents him/her from performing the essential functions of his/her position.

What happens with FMLA: Faculty use accrued sick leave and can use accrued vacation, after sick leave is exhausted, if they have any and if they'd like. After those are exhausted, the job is still protected (for a total of 12 weeks).

Comparison

The advantage of TADA relative to FMLA, should it be applicable and pending departmental and Dean approval, is that TADA allows faculty to maintain 1.0 FTE under appropriate circumstances. FMLA, meanwhile, requires the use of sick time. If TADA can apply, it is usually the preferred route.



UA Life & Work Connections

Below are resources through **UA Life & Work Connections**; please visit <http://lifework.arizona.edu/> for more on these and other resources:

- **Childcare Information** including consultations, financial assistance, specialized sick and emergency care options, and lactation resources
- **UA Childcare Choice** for reimbursement for qualified, childcare expenses
- **Significantly subsidized costs** for Emergency/Back-up Childcare for when a child is ill or regular childcare is unavailable
- **Lactation Rooms and Resources** are mapped across the UA campus and can be accessed on the Life-Work website.
- **Elder Care and Life Cycle Resources** to help you identify quality resources and, if interested, connect with others through the UA Caregiver Support group. They also make referrals to organizations, agencies and experts.
- And for your own health and wellness: Employee Wellness & Health Promotion programs include a variety of services that assist UA employees in maintaining or improving their health, ranging from health screenings and flu shots to fitness classes and healthy recipes.

Campus Recreation

From [Campus Recreation for Youth](#)

Activity camps, family programs and birthday parties are offered throughout the year with youth camps coinciding with school breaks.

- Integrative programs range from individual classes to weeklong camps and are designed for all ages with a focus on wellness, discovery, adventure and fun.

NOTE: For all life events, individual circumstances and needs vary; best bet is to talk to your unit H/D, HR, the UA's Disability Resource Center (if/as appropriate) and/or with the SBS Associate Dean for Faculty Affairs and Inclusion.



FACULTY AFFAIRS TIMELINE OVERVIEW

Fall Overview

August – September:

- Orientations for New Faculty and New Heads and Directors (H/D)
- 5th Year Review initiation letter sent to eligible H/D; committee selection initiated by H/D or as per agreement with Dean. Committee report due within 120 days of charge
- Dean appoints self-study committee for Academic Program Review
- Unit reviews of P&T and CS&P dossiers

September:

- Faculty are encouraged to review goals and eligibility for Sabbatical, Junior Leave, or Professional Development Leave for CT Faculty with unit H/D
- Call for Honorary Degrees sent by Provost
- Career Track promotion dossiers (for those with Professor titles) or Promotion Portfolios (for those with Lecturer titles) are put together by faculty
- University Teaching Award nominations announced
- SBS Faculty Advisory Committee, serving as the Dean's Audit Committee, reviews and writes report for Post-Tenure Review (from previous year's annual performance reviews)

October:

- P&T, CS&P, and Career Track (Professorial titles) Dossiers are due to the College by October 15th
- Strategic Priorities Funding Initiative hiring applications due on the last Friday of each month (Note: these require pre-approval by the College)

November:

- Sabbatical applications due to Dean's office November 1st
- Honorary Degrees nominations due to the Dean's office one week before Provost's deadline
- Career Track promotion materials are due to units
- Regents' Professor applications due

Early December:

- Sabbatical applications reviewed by Dean's appointed committee
- Award Nominations are typically due for University Distinguished Professor, University Distinguished Outreach Faculty, UA Teaching Awards, and Distinguished Scholar Award, plus others as offered centrally. Those nominations that require a Dean's letter are due to Dean's office two weeks prior to Provost deadline.



Spring Overview

January:

- Dean's Office initiates Annual Performance Reviews and Annual Administrative Assessment Reports (for Heads and Directors)
- Peer Review Committees for Annual Performance Reviews are appointed/elected

February:

- The latest that Sabbatical decisions sent to candidates from the Dean's office (we try to get these out before winter break)
- UA Academic Leadership Institute applications due to Dean's office one day prior to Provost deadline
- P&T and CS&P candidate names for next year's cycle are generated by Provost's office for unit confirmation
- P&T and CS&P: workshops offered through the Provost's office and through SBS.
- Career Track dossiers for those with Lecturer titles are due to the Dean's office Feb 15th.

March:

- Peer Review Committees provide their Annual Performance Reviews to H/D by very early March; unit H/D provide preliminary feedback to faculty by end of March

April:

- P&T and CS&P: Decision letters from previous cycle sent to candidates from Provost; prospective candidate names for current cycle generated by Provost's office for departmental confirmation.
- Academic Program Review site visits to be completed by April 30th (planning starts previous year)

May:

- Annual Administrative Assessment Reports for H/D due to Dean's office
- Dean's Audit Review due to Dean to forward to Committee

May – July:

- P&T and CS&P dossiers are prepared by candidates
- Heads and Directors of units undergoing Academic Program Review the upcoming year attend an orientation in the Provost's office (may be in late Spring or early Fall)

Summer:

- Strategic Priorities Funding Initiative campus visit applications due the 15th of each month