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PERSONNEL POLICIES

ARTICLE A. ADMINISTRATION

6-101 Conditions of Administrative Service

A. General

1. These Conditions of Administrative Service (6-101) shall constitute the policy under which administrative employees of the Board are employed. Each notice of appointment for administrative employees shall incorporate this policy by reference and shall provide that acceptance of the notice of appointment constitutes recognition that this policy constitutes the conditions of employment. The Board shall not be bound by, nor does it adopt or incorporate herein, the interpretations, policies or recommendations of other organizations.
2. The Board is charged by law to exercise control and supervision of the state universities and their property. Any authority delegated by the Board is always subject to the ultimate authority of the Board. The Board retains the right of periodic review and modification of all aspects of governance of the universities, and the right to enact such rules, regulations, policies and orders as it deems proper.
3. It is recognized that individual administrative employees may hold dual appointments only one of which may be to a position subject to the Conditions of Administrative Service 6-101).

B. Definitions

1. "Board" shall mean the Arizona Board of Regents.
2. "President" shall mean the president of the appropriate university or the president's designated representative, and the Administrative Director of the central staff.
3. a. "Administrator" or "administrative" shall mean an officer who reports directly to the president or to a vice president and who is responsible for planning, organizing, directing,

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controlling and evaluating the activities of a major segment of a university; promulgating and implementing university rules and regulations; preparing and administering the organizational budget; maintaining relationships with administrative officials and members of business, government and civic communities. These positions shall include vice presidents, deans, academic department heads and other positions as determined by the Board.

b. Any nonclassified or non-student employee, not covered by the Conditions of Professional Service (6-203) or Conditions of Faculty Service (6-201), who reports to a person below the level of vice president and who has a direct role in planning, organizing, directing, evaluating, and controlling a major university function. Specific positions shall be determined by the president consistent with the terms of this definition.

4. "Notice of Appointment" shall mean the document by which an appointment is made each year and which is signed by the president.

C. Appointment Procedures

1. a. The president shall establish procedures for securing recommendations for appointment to administrative positions. Appointments may become effective when approved by the president but require approval or ratification by the Board. Except in extraordinary circumstances, the president shall obtain the Board's approval prior to the effective date of an administrative appointment.

b. Appointments to positions described in section 6-101B.3.b (Conditions of Administrative Service, Definitions) shall become effective only when approved by the president.

2. All administrative employees shall receive each year an appointment for an academic year or for a fiscal year beginning July 1 or a portion thereof. Appointments and reappointments shall not be for more than one fiscal year. No oral or written

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communication made prior to or after the execution of a notice of appointment that is inconsistent or in conflict with the Conditions of Administrative Service (6-101) shall become a part of the conditions of employment.

3. Appointments which are dependent for continuation on funding from a specific source other than state appropriations shall so state in the notice of appointment and may terminate when the funding is no longer available.

D. Compensation

1. Salary ranges for administrative positions are set by the Board. The president may set individual salaries within those ranges or as otherwise approved by the Board. Salary rates for reappointments will depend upon available funding. Merit raises may be allocated by the president within the limitation of available funds.
2. Certain fringe benefits are made available to all state employees and are subject to change by the Legislature or the Board.
3. Policies governing outside activities and supplementary compensation are administered by each university.

E. Employment-Related Benefits

The Board has provided various benefits, such as the Medical Service Plan, which are a part of the employment relationship. Changes to such policies pertaining to benefits will be made by the Board normally to be effective at the start of the succeeding appointment period. Additional benefits may be added to be effective as determined by the Board.

F. Duties and Responsibilities

1. Duties and responsibilities of an administrative employee shall consist of those assigned by the president. All duties and responsibilities shall be carried out under the direction of the president who may alter or amend assigned duties or change titles at any time.

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2. Performance of assigned duties by administrative employees shall be subject to evaluation by the president and performance shall be considered in decisions relating to compensation, retention, termination or a decision not to reappoint.

G. Reappointment

1. Decisions relating to reappointment shall be made in accordance with university rules and procedures developed by the president. The decision of the president not to reappoint is final.
2. An administrative employee has no expectation of continued employment and shall not be entitled to a hearing following or prior to a decision of non-reappointment. An administrative employee whose appointment is not renewed shall not be entitled to a statement of reasons for that action.
3. Administrative employees shall be given a ninety-day (90) notification of non-renewal. Failure to provide an administrative employee with a ninety-day (90) notification of non-renewal shall not constitute an automatic renewal of appointment. If notice of non-renewal is given less than ninety days prior to the end of an administrative employee's appointment period, the employee shall be entitled to continuation of salary for ninety days from the date of notification.

H. Termination, Release and Furlough

1. Administrative employees may be removed by the president from their administrative assignment at any time, but may not be dismissed during an appointment period without reason, except as set forth in 6-101H.3 (Conditions of Administrative Service, Termination, Release, and Furlough) below.

Reasons for dismissal may include, but are not limited to, incompetence or dishonesty in professional activities, neglect of properly assigned duties, or personal conduct that impairs the individual's fulfillment of properly assigned duties and responsibilities.

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Incapacity (physical or mental) to perform properly assigned duties shall also be considered as reason with due consideration given to the nature and duration of the incapacity.

An administrative employee terminated with reason may, within fifteen work days, submit a written appeal of the president's decision to the Board. The Board's determination shall be final.

2. An administrative employee may be suspended with pay if the president determines that the continued presence of the employee on the campus may constitute a substantial interference with the orderly functioning of the university or of a substantial area, unit, college or department of the university.
3. Administrative employees may be released prior to the end of the appointment period, when deemed necessary due to a financial emergency as declared by the Board.
4. Regardless of the terms of the notice of appointment, administrative employees may be placed on furlough under a furlough plan approved pursuant to Board policy 6-810.

I. Implementation

The president shall establish such additional policies and procedures consistent with this policy as may be needed to carry out the Conditions of Administrative Service (6-101).

J. Severability

If any section, paragraph, subdivision, clause, sentence or phrase of this policy shall for any reason be held illegal or unenforceable, such decision shall not affect the validity of the remaining portion of the policy. If any provision of this policy contains an ambiguity, which may be construed as either valid or invalid, the valid construction shall prevail.

Policy Number: 6-102	Policy Name: Appointment to Administrative Positions
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6-102 Appointment to Administrative Positions

The president of each state university is responsible for the assignment of persons to administrative positions. Assignments to administrative positions shall not be made for a period longer than one year or extend beyond June 30th, and assignments may be terminated by the president at any time without cause or explanation.

Policy Number: 6-103	Policy Name: Salary Adjustments for Administrators Who Return to Faculty Positions
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6-103 Salary Adjustments for Administrators Who Return to Faculty Positions

- A. The Board delegates to university presidents the authority to enter employment contracts in which administrative personnel are changed to an academic assignment and to determine appropriate compensation for that assignment, consistent with applicable board policies.
- B. When a former university administrator who was employed on a fiscal year contract returns to an appointment as a faculty member on an academic year basis, the academic year salary shall be determined by the president on the same basis as all other academic year faculty salaries.
 - 1. In no case shall the former administrator have any expectation that the academic year salary shall be set by dividing the previous fiscal year contract by 1.2 or by any other numerical factor.
 - 2. The president shall consider the individual's academic rank, length of time in that rank, prior achievements, potential for performance as a university faculty member and salaries of faculty peers in establishing the individual's academic year salary.

Policy Number: 6-104	Policy Name: Membership on Boards of Savings and Loan Associations - Repealed
Policy Revision Dates: 12/85	Page 1

6-104 Membership on Boards of Savings and Loan Associations

Repealed

Policy Number: 6-105	Policy Name: Committees Used by Administrators - Repealed
Policy Revision Dates: 12/85	Page 1

6-105 Committees Used by Administrators

Repealed

Policy Number: 6-106	Policy Name: Evaluation of University Presidents, Executive Director, and Counsel to the Board
Policy Revision Dates: 4/90, 10/85	Page 1

6-106 Evaluation of University Presidents, Executive Director, and Counsel to the Board

A. General Policy

It shall be the intent of the Board of Regents that evaluation of those executives reporting to the Board (the university presidents, the executive director, and counsel to the Board) shall be an ongoing process which consists of open communication between the Regents and the executive of both individual and institutional goals and objectives to include affirmative action accomplishments. While this ongoing evaluation will frequently be informal, for compensation-setting purposes, a formal annual procedure will be utilized. In addition, a comprehensive evaluation of the executives' performance will be made at least once every five years. All reviews shall be conducted and maintained in complete confidence.

B. Procedures for Annual Compensation Review

The Board of Regents shall review for compensation-setting purposes the president of each university, the executive director and, following review by the executive director, the counsel to the Board, at least once each year. The evaluation shall be both written and oral and shall be completed no later than two months before the annual compensation decision is made.

1. The Board of Regents shall review with each executive to be evaluated the standard evaluation form and shall allow the executive to suggest alterations or additions to the format. A major component of the compensation review form will be a portion which identifies agreed-upon goals and objectives for the individual under review.
2. The Board shall establish procedures for the compensation review process which may include provisions for the establishment of a Regent review team comprised of less than the entire Board. Regardless of whether or not a team approach is utilized, all members of the Board will complete a compensation review form on each individual under review, transmitting the completed review form to the President of the Board. The executive may also complete a form.

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- a. If the team approach is used, a team form will be developed in consultation with the executive under review. After the team has completed its review, it will report to the Board in executive session.
 - b. If the entire Board conducts the review, upon receiving the completed forms, the President of the Board will convene the Board and the executive in an executive session to conduct the compensation review.
3. The procedure adopted by the Board will include a planning component and will provide for direct input from the executive under review. The planning component will form the basis of the review for the following year, although it may be modified throughout the year as long as any modifications or additions are fully understood by all parties.

C. Procedures for Comprehensive Performance Evaluation

In addition to the annual compensation review, to assist the Board in making compensation decisions, the Board shall undertake a comprehensive performance evaluation of each executive reporting to the Board at least once every five years. The performance evaluation process shall be a means of gathering information concerning executive performance that will be useful to the Board and the respective executive in improving the administrative or, in the case of counsel to the Board, legal operations, identifying areas of strength, and determining areas in need of improvement. Every effort shall be made to make the entire performance evaluation experience positive and constructive for all participants.

1. The Board of Regents shall establish a procedure which may include identification of a standardized form, any evaluators other than Regents, and specified time frames for completion of the process.
2. The evaluation shall be discussed by the full Board in executive session with the executive present.

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3. A discussion of future goals and objectives shall be held with the executive and a date for the next comprehensive performance evaluation shall be designated prior to adjourning the executive session.

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6-107 Administrative Leaves of Absence

- A. It is understood that an administrative leave of absence is an action which should be employed in those instances where it is deemed necessary for a member of the administrative staff holding an appointment at a vice-presidential level or above to keep abreast of his or her field, remain effective in his or her present position, or render the greatest possible service to the university.
- B. A leave of absence shall be taken only in those instances when in the considered judgments of the administrator concerned and the university president, the leave would be in the best interest of the university; leaves of absence for the president must be approved by the Board of Regents; and leaves will be granted only to administrators holding an appointment at a vice-presidential level or above who have served on full-time continuous appointment to the university for a period of not less than three (3) years.
- C. Service counted toward requirements for a leave begins with the appointment to a vice-presidential level position or above. Service in a lower level administrative position is not counted.
- D. The leave of absence will be for a period of three (3) months with full pay. Administrators on leave will be regarded as on active university employment status for purposes of benefits and will continue to receive and accrue such benefits under applicable university policies. Unless the president approves other arrangements in advance, the administrative leave must be taken in the summer months and not require employment of a replacement. Accrued annual leave shall be included as part of the administrative leave of absence.
- E. It is permissible for those members of the administration on leave to supplement their compensation from the university to cover such special expenses resulting from the approved leave program, through fellowships, scholarships, employment, or grants-in-aid. Such special expenses referred to might include such items as travel, secretarial assistants, tuition, research, and publication. Additional compensation expected is to be fully explained on the application form and approved before the leave is granted. Should opportunities for supplemental compensation develop after the leave has begun or after the application form has been submitted

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and approved, such opportunities must be cleared with the university at the earliest opportunity.

- F. Application for leave must be filed not later than February 1 to the president or to the Board in the case of a president's application. The application must detail plans for the purpose of research or investigation or to acquire professional experience of value and significance to the university.
- G. An administrator granted leave is required to return to the university for further service. If he or she chooses not to return, the case will be reviewed by the proper authorities who may require a refund of the amount of pay received during the period of leave.
- H. On completion of the leave, and not later than the end of the first semester thereafter, a concise final report shall be filed with the president of the university covering the attainment of the purposes stated in the application.
- I. Following the leave of absence, three (3) years of further service shall be required before the administrator can become eligible for another leave.

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6-108 Evaluation of Administrators

A. Administrative Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for an administrative performance evaluation system which identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of administrative programs and departmental goals while recognizing the unique nature and diversity of the universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular mission, objectives, and needs of the respective universities, their departments and programs.
2. The Board further recognizes that administrative staff evaluation may be an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of administrative personnel. Given the nature of the varied and specialized administrative responsibilities, the administrative evaluation system must incorporate a high level of administrative staff participation in the preparation of evaluation guidelines and in the evaluation review process. The system should permit sufficient flexibility to adapt procedures to organizational unit circumstances.
3. The administrative staff performance evaluation procedure should pursue the following objectives:
 - a. To involve administrative staff in the formulation of objectives and goals related to their departments or divisions and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of each employee's responsibility to include a reference to the accomplishment of affirmative action objectives.
 - c. To promote the effectiveness of administrative staff through articulation of the types of contributions they might make to

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the university community that will lead to greater personal and professional growth, recognition and rewards.

- d. To provide a written record of administrative staff performance to support personnel decisions such as reappointment, merit increases, transfers and reassignment.
- e. To recognize special talents, capabilities and achievements of administrative staff.

B. General Policy

It is the policy of the Arizona Board of Regents that administrative staff shall be evaluated on their performance in accordance with the following guidelines:

- 1. Administrative staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
- 2. Elements of the evaluation shall include, but shall not be limited to the following:
 - a. Written evaluation criteria will be developed through participation of the administrative staff to express performance expectations including performance in achieving affirmative action goals. Procedures and instruments for evaluation of administrative staff shall be developed by the department or organizational unit and approved by the university administration. Evaluation procedures within units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
 - b. An assessment of the administrative staff member's performance shall include an assessment by the unit administrator.
 - c. The evaluation of the administrative staff member's past performance and expectations for the future shall be

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discussed with him/her. A written statement recording the sense of this discussion shall be provided to the administrative staff member. The employee shall be given the opportunity to add his/her comments to this statement as a part of the official record.

- d. Each university shall establish a procedure by which the administrative staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.