

## Academic Senate Summary

Monday, February 19, 2007

3:15 – 5:00 p.m.

SCOB 228

### Present:

Alberto Acereda, Barbara Acker, Craig Allen, Maria Allison, Rojann Alpers, Marcia Anderson, Patricia Arredondo, Jim Blasingame, Alexandra Brewis, Tannah Broman, Karen Bruhn, Richard Burg, Jeff Bush, Heather Campbell, Betty Capaldi, Charles Colbourn, Joe Comfort, Edward Cook, Peter Crozier, Stephanie deLusé, Sarah Duerden, Charles Elliot, Paul Espinosa, Jack Farmer, Patty Feldman, Harinda Fernando, Petra Fromme, Edwin Gonzalez-Santin, Judy Grace, Ted Guleserian, Ron Hoffmeister, James Hajicek, Sharon Harlan, Alexander Henn, Tod Ingalls, Robert Ismeurt, Doug Johnson, Robert Keim, Jerry Kingston, Philip Konomos, Anne Kopta, Deborah Koshinsky, Sharon Kurpius, Lydia LaFaro, Richard Lai, Mariana Maris, Sarup Mathur, Susan Mattson, Kathleen McCoy, Bob McPhee, José Menéndez, Ken Mossman, Helene Ossipov, Duane Roen, Seth Rose, Joe Schultz, Mark Searle, John Schaeffer, Sheldon Simon, Scott Smas, Laura Stewart, Bob Strom, F. Miguel Valenti, Phil Vandermeer, Bill Verdini, Brent Vernon, George Watson, Hollie White, Tom Witt

### Not present:

Madeline Adelman, David Burstein, Terry Alford, Jim Barclay, Vince Blasko, Denise Bodman, José Cobas, Maria Cruz-Torres, Michael Dorman, Roxanne Doty, Andrew Ellis, William Fabricius, Apostolos Fafitis, John Fowler, Carmen Garcia-Fernandez, Anne Gelb, Sandeep Gopalan, Sanford Guerin, Steve Happel, Bradford Kirkman-Liff, Pauline Komnenich, Huan Liu, Eric Margolis, Brian McNamara, Ross Meyer, Ben Minter, John Mitchell, Greg Moorhead, Carlos Ovando, Barry Sloane, Ken Sullivan, Beth Swadener, Nikki Thomas, Tory Trotta, Kostas Tsakalis, Caroline Turner, Kurt Weiser, Avi Wiezel, Yong-Hang Zhang

**Substitutes:** Dennis Brunning for Deborah Koshinsky and Mimo Bonnani for Philip Konomos

**Guests:** Carole Campbell, Matt McElrath, and Christine Cervantes

### 1. CALL TO ORDER (Duane Roen)

### 2. APPROVAL OF PREVIOUS MINUTES (Duane Roen)

A. Senate Summary *draft* (January 29, 2007) (posted on the Senate Web Page at):

<http://www.asu.edu/provost/asenate/documents/Summ012907.pdf>

### 3. ANNOUNCEMENTS AND COMMUNICATIONS

#### A. Senate President's Report (Duane Roen)

You have probably heard from your deans and chairs by now about the Spring Awards Assembly and Reception, on April 24, 3:00 – 5:00, on the second floor of the Tempe campus Art Museum. I know that in my college, chairs are gathering nominations for those awards. If you have not heard that announcement please get your chair to circulate those announcements to you.

Last week we circulated some information about what was Senate Bill 1612, which is now an amendment to Senate Bill 1542. To talk with us today about the bill is Steve (Charles) Miller, Deputy Vice President for Public Affairs, and Paul Berumen, Office of Public Affairs, Director of Local Government Relations, Director of the Office of Public Affairs Local Government Relations.

Steve Miller came to the mic.

As Duane indicated, there is a great deal of concern about S.B. 1612; this is a bill that the majority leader in the Senate, Senator Verschoor, has introduced. The bill was defeated in the Education Committee last Thursday. It came back out, and the next day was given to Senator Parker's Government Committee, and it came out of that narrowly passed. This is a bill that we have been watching very carefully. We will continue to monitor its progress.

The President of the Senate indicated to the members that when a bill of origin fails in a committee and then there is a striker amendment, as what happened in the Government Committee. If that bill passes, the rule is that the President of the Senate will send the bill back to the committee of origin before it goes to the floor. This

bill could be returned to the K-12 Committee where it has already been defeated once. We believe it could either be defeated again, or not be heard before the deadline to hear bills passes. We are hoping it does not make it to the floor.

## **B. University Provost's Report (Betty Capaldi)**

I have brought Executive Vice President Carol Campbell with me today, and I can also report afterward and respond to questions after her report. I wanted you to meet Carol, and you also want to hear about the payroll changes and that is her area.

Carol Campbell came to the mic and introduced Matt McElrath, our new Associate VP/Chief HR Officer, and said he is in his third week at ASU. She continued, also I have brought Christine Cervantes, who is the Assistant Director of Human Resources. We understand that you have a number of questions on the new payroll system that will begin in July. We will all be moving from two paychecks each month to a bi-weekly system, where you will be paid every two weeks on Friday.

The reason behind this is the implementation of a new payroll system and have been working on this for some months now. We are upgrading primarily our student system (SIS) using People Soft to handle all our student records. People Soft has said they can create one module that can contain and process all our student records and can also process our payroll information. There were so many things that ASU could not previously do because we did not have adequate student records including enrollment management and everything that we wanted to carry out. The transition also required a change in the payroll system, which is wonderful because we also had a very antiquated and difficult payroll system. Both of these are going to be implemented, and along with that was the decision to do as little customization as possible on these modules. Many of you know that when you do a great deal of customization to software that you require from a vendor, every time there is an upgrade, every time there is a change, you have to go back and redo it and that is very costly. The decision was made that we would as much as possible accept the software as it was originally designed and one of the original design features of that software was the fact that payroll was designed bi-weekly, every two weeks.

You have asked about faculty who are on 12 months, faculty who are on 9 months, and what will happen with that. Matt will tell us about that.

Matt McElrath's Report:

Good Afternoon, I can't think of anything more exciting to do than on my eleventh day at ASU than stand before the faculty talk about pay! My slides are also in handout form. Please pick one up as you leave today. What I am showing overhead may look like an eye chart, but I will explain as we go along. One slide shows the academic year figures and one slide shows the fiscal year break down. As you know we are moving to a bi-weekly system, right now we process over 50 separate payrolls a year for the entire university because we have some staff that are on 26 (bi-weekly) and others that are on the semi-monthly system. The more processing we do the more chance for errors. Now everyone will be moving to this bi-weekly system. I realize for all of you this is a personal issue. How do you manage your income under this new system and this chart will help me explain what is going to happen.

A conversion will occur this summer. This is how we will transition beginning in the new fiscal year. The first paycheck will be Monday, July 16<sup>th</sup>, which is actually four days earlier. The next payday will be July 31<sup>st</sup>, which is three days earlier. The next one will be August 15<sup>th</sup>, a Wednesday, which is two days earlier. Then we will finally move to a bi-weekly system after that on Fridays. Every other week on Friday will be payday. We are processing payroll earlier to try and help with this so there will not be as large a gap between when you are on the old system and when we convert to the new system. The difficulty is that we have two audiences (those on academic or those who are on fiscal year) to give answers to. You can see for those on the academic year, with 20 checks, it will be calculated so that the first check will be smaller on each year, and the last check will be a smaller for the year. The other 18 in the middle will be full checks. What we show is an example of a \$100,000 salary (much laughter was heard here).

I am just using an example because I come from a medical institution (the laughter continued). There are two points where there will be extra checks. The totals are the same amount. It is an issue of timing. For those of you who are on auto pays, yes, you will have to work out with various financial institutions how to set up your auto pay. For those that again on the fiscal cycle, this transition will have 25 paychecks between 7/1/07 and 6/31/08. After that, everyone will be caught up, and on 26 payday. There will be come catch up for summer checks for those of you are on summer schedule. I am happy to answer any questions.

Q- There does not seem to be anything here about post docs, student workers whether it will be easier for them to be paid on this system.

We will be looking at the academic calendars and trying to align the academic calendars with the pay calendar so that the student is paid every two weeks during that period of time. During the transition, you were using the 15<sup>th</sup> and the 30<sup>th</sup> for it, and you start the first of the month, but people will receive their money, it is just the issue of when they receive the check and the amount of the checks. It could mean that the first check will be partial check and the next one is a full check. They do get more checks but the amount will be same—processing is for the entire institution, every two weeks. No more hands have risen up.

If I may make a comment here, because the calendar year or the academic year for 2007-2008 has already been determined, this is why the pay schedule looks the way we have it. We are working a position paper as to how we might align the academic year with the bi-weekly schedule, so that every year you will receive get 20 pays instead of 19 pays. We will present both options to the Provost Office and together we can identify which one would be more feasible to the university but that is in progress right now.

Q-I want to call your attention to those who are on 9-month tracks and wish to maintain that nine month contract. You did not address that.

No, it was not about those on a nine-month calendar but if you are on the nine-month calendar I wanted to illustrate how that would work, not about choosing if you want to be on a nine-month calendar. We are going to convert to the bi-weekly pay system, which is our calendar for when pay will fall.

Q- Why didn't you have that a choice?

One of the issues with the nine-month calendar is with the start of the academic year in relationship to the start of the payroll. But whether academic year aligns with the payroll or not, it will still do all the cycles of payroll and you will still receive the exact amount of money that you should.

As a follow up, I have two points to make:

Q- The original letter in email format that went out to faculty, it did indicate that in the new system that more expenses would be taken out in the spring semester. I have been at another university that used this system. I want to know if there are other universities that still use Oasis but are able to give faculty the choice of bi-monthly—you seem to have chosen People Soft—what other universities have that system.

The issue is really one of customization—the cost of customizing software. We can look into what other universities use this software. Then the issue would be customizing the software.

Q- My second question regarding the spring semester—your email said there would be more money taken out for parking, for health, etc. You keep saying that we will receive the same amount of money.

I am referring to your salary, your gross salary remains the same. I was showing on the chart how that would be divided until the end of the year. In terms of the amount of deductions and how much they will be raised up in the spring, I did not write this memo, so I cannot really respond to that. We can look at that. If the deductions are for parking for instance and they go up, the only question may be when they will take it out. Whether it will be 24 times a year or 26 times a year, it is still the same amount of gross salary. The amounts of each check may vary 26 versus 24 pay periods. Net total will be the same. I am not in charge of parking.

Q-I get real nervous when there is a change from a relatively simple system to one that is relatively more complex. Perhaps you can inform us as to what the reasons are from abandoning a fairly simple system. All I need to do right now is look at my pay stub and multiply by 24 and I have got my annual salary. I think you are now telling me that I will have to be very careful about which pay stub I look at in order for me to do that because two of those pay stubs are not going to be exactly the same as the other because they are out of phase. Can you tell us why we are even doing this? Why we just cannot stay with the old system?

People Soft system can do both student records and payroll and to customize their module would be costly. Every change has to begin at the front of the system and start over. People Soft serves industries as well as academia and the standard is biweekly payroll.

If you look across the country in industry, bi-weekly payrolls are the standard in many states biweekly payrolls are mandated by the state. It could be the number of institutions; the number of employers that are paying monthly or semi-monthly continues to go down. So while it seems more complicated to us because we are not used to it, in fact, it is the gold standard for payroll.

Q-Are there other agencies in the State of Arizona that have already converted to this system?

The State has been on a bi-weekly payroll for five years, and we have just been the last ones to align with the other two sister institutions and all our state agencies.

Q-I want a clarification that like people on the biweekly pay, those who are on nine month will have the choice of 20 or 26 pay periods, the same as option 1 or 2, even though during the transition we will not receive a paycheck for the first month or two?

Yes, you have that choice between being paid over 9 months or 12 months.

Q- If there will be a choice between 20 week and 26 weeks—a comment is that an advantage is that anyone that has an auto pay is going to have to watch their bank account closely now because it won't always be there on the first of the month.

A lot of institutions, because the standard is biweekly, many institutions set up auto pay on a biweekly basis. I would check on that and ask. The financial institutions do not want to lose you as a customer so if you say to them, I am on a biweekly pay then they can adjust your auto pays to match that.

Q- Organizations such as Salt River Project and credit card companies may not be so accommodating.--just to point that out. I am not objecting.

Q- When I report to my faculty on Friday on the Senate actions taken, can I say this is not open to discussion?  
The decision has already been made.

Q- Some of my colleagues are on 9-month contracts and some of them will want to know if once the transition is over, they will be synchronized on every check?

I guess that depends on when your contract begins, on August 16<sup>th</sup> or not.

This again is how we have some thoughts on how we might be able to get there. We are not there right now; there was a great rush to put this system in. Once it is in place, we would like to advance that so that we could do that.

If there are further questions we will get an electronic version and email it to everyone and you can refer your questions directly to Matt.

This is the transition year. You will notice that the 26<sup>th</sup> check will come July 3, 08, which begins a new fiscal year, so, what we are saying is that you will get 25 paychecks during the next fiscal year, 2007-2008. But the next year 26 paychecks will be paid beginning on July 3, 2008.

Q- Can you provide black on white copies so we can share it with our faculty? (Yes.)

Thank you very much for coming and explaining this to us.

**C. Senate President-Elect's Report** (Bill Verdini) No Report. (Thunderous applause followed.)

**D. USG President's Report** (Ross Meyer).

Duane Roen: They are all with Nancy Pelosi today, so they asked me to share with you the following: Right now they are seeking nominations for the 2007 ASASU Centennial Professorship. This year they are seeking to recognize emerging leaders among the junior faculty. The candidates for this award must have made a significant contribution to students at Arizona State University for outstanding instruction both in and out of the classroom. Assistant and associate professors as well as instructors and lecturers are eligible for this award. ASASU will provide monetary awards for two deserving professors, and all recipients will hold the title of Associate Students Centennial Professor for the 2007-2008 academic year. The award includes a cash prize of \$5,000 and a stipend of \$5,000 to be used for the benefit of students in classroom teaching. Appropriate uses of this stipend include new technology in a lab or classroom, hiring student research assistants. In addition, a Centennial Professor will conduct one public lecture per semester. You can help nominate someone for that.

The undergraduate student housing fair is March 27 and 28. They have invited apartment complex representatives, real estate agencies, and other off campus housing entities to provide information for students.

They have put together a Safety Escort Task Force to address issues with the service. With DPS, they are also launching a safety campaign the week after spring break, to educate and communicate to students about the resources available to them on campus.

**E. GPSA President's Report** (Brian McNamara) – No Report.

**F. University Academic Council Report** (John Brock – email option) John Brock asked that we report that there are ongoing discussions with representatives from all four campuses toward establishing a single university senate. Some of us have been participating in those discussions, and we think that things are going well and we are very optimistic.

**G. ASU at the Polytechnic campus Report** (John Brock -- email option). No report.

**H. ASU at the West campus Report** (Gary Anders – email option) Gary Anders asked me to report the same from the West campus. This Wednesday there will be a discussion at the West campus Academic Senate meeting about this matter. Provost Capaldi will be there; I will be there along with a few other UAC members.

**I. ASU at the DTP campus Report** (Susan Mattson) - No report. I have a question for Provost Capaldi. I would like to have her expand on the new provost awards that were just announced. Can you tell us a bit about them? I am really asking how they will be different from the President's award and those awards that are currently there or more on the purpose.

We discussed this several times this year and my feeling is that faculty do not get enough recognition. The university does not have many awards. We discussed this in the senate once and then again in a meeting of the deans about what would be the categories of awards that we don't really recognize that we would like to give awards for. Included are disciplinary contributions, humanities, best book, young investigator awards, teaching (lecturers are eligible), some that are combinations of current awards—it is going to be monetary—it will be a plaque with love and affection and recognition in front of your peers. It is meaningful, it says, we recognize and appreciate...that will happen at this reception. We have panels of Regents Professors formed to look at these nominations for awards by their areas, and they have all begun responding to their letters that they will be happy to participate.

It did say that the Dean's nominate people. (Yes, send your nominations to the Deans).

Q- I have a question about the awards—For Trans-disciplinary, what if you have faculty who have worked on a project across colleges—there is no category that addresses that type of work.

A lot of the awards are not intended to be disciplinary as much as the award for public policy could be from many different disciplines. We were trying to recognize disciplines because transdisciplinary falls under the ninth area and you could nominate to that.

Q- That is college specific. Let's say if there is a group of faculty from different colleges, would they go to any one of the colleges for nomination? (Yes, we just want the nomination sent in and you could also send it to the Provost if you wish.)

Q- If you have not already thought about it, would your office consider also establishing an award for freshmen introductory courses—lecturers who do that because those are special courses that have unique challenges that are different than anything else in the college and in my school we have difficulty getting people to teach these courses. We have to get contract faculty to teach introductory courses, which is terrible I think.

I personally believe that introductory courses should be taught by senior faculty. We also want to increase recognition of teaching. I met with the distinguished teaching academy about various ways to do that. The ABOR has changed their procedure for the time being at any rate on academic program approvals. One reason we can take credit for, we are overwhelming them with our proposals. They had a 65-page report with suggested name changes, new names for colleges, new degrees and degree and program name changes, and 48 of those came from ASU. NAU had one and UofA had two. Gary Stewart, chair of the Academic Programs Committee may have said we can't read through all this and we don't understand it anyway. They are business people who understand finances, audit, and capitol but when you get to academic programs they do not understand, so we proposed an academic programs committee which would consist of the three provosts and two regents and we would discuss all of these things and then we just inform the Board on them and be on the consent agenda. I think this is a good plan because we are the ones that know about academics and the more freedom you get

**J. Past Senate President's Report** (Susan Mattson) No report.

**K. Personnel Committee Report** (Doug Johnson)

The Personnel Committee will meet on Wednesday, February 28, 1:40-3:30 p.m., ADMB 365.

The Senate personnel committees (from all campuses) will meet on Thursday, March 1, 9:00 a.m. to discuss the changes to the ACD and ACDW Manual revisions.

**4. ADOPTION OF ALL CONSENT ACTION ITEMS, INFORMATION ITEMS, AND REPORTS**  
**Curriculum and Academic Programs Committee (Barbara Acker)**  
**CAPC recommends Academic Senate approval of the following items:**

**College of Liberal Arts and Sciences**

**S.M. #24 (2006-2007) (Second Reading)**  
School of Human Evolution and Social Change (SHESC)  
**Implementation of a new degree**  
Ph.D. degree in Social Science and Health

**S.M. #25 (2006-2007) (Second Reading)**  
School of Human Evolution and Social Change (SHESC)  
**Authorization to Implement a New Undergraduate Major**  
BA Global Health

#### **College of Public Programs**

**S.M #26 (2006-2007) (Second Reading)**  
School of Social Work  
**Establishment of a Graduate Certificate**  
Integrative Health

**S.M. #27 (2006-2007) (Second Reading)**  
School of Community Resources & Development  
**Establishment of an Undergraduate Certificate**  
Convention Sales & Meeting Planning

#### **5. UNFINISHED BUSINESS**

##### **A. Executive Committee (Duane Roen)**

**Senate Resolution #23 (2006-2007)(TABLED:Second Reading)**  
**Draft Resolution on Grades for Repeated Courses** (attached)  
This resolution was tabled until the February 19<sup>th</sup> Senate meeting and the distribution of a data sheet prior to that meeting (data sheet was emailed to senators January 30, 2007)

The resolution was referred to committee (Attached). Senate President Roen will work with Provost Capaldi to establish a task force to make recommendations on student success.

**Senate Resolution #28 (2006-2007) on Classified Research (Tabled until February 19<sup>th</sup>).**  
(<http://www.asu.edu/provost/asenate/documents/SenateReportonClassifiedResearch2006.pdf>)

[At the January 29 Senate meeting there was a motion made to accept the report of the Task Force on Classified Research and the members of the task force were commended for their diligent effort on this report and their study of the issues. That motion was passed. After an extended discussion in the Committee of the Whole, the Senate returned to regular session. The Senate then voted to untable the previous motion and then to subsequently replace the original resolution with the substitute resolution. Because of time constraints the substitute resolution was tabled until the February 19 Senate meeting.]

At the February 19 meeting, the resolution was amended and passed without dissent by the Senate (Attached).

#### **6. NEW BUSINESS (Reports and new motions - from Senate committees)**

**A. Personnel Committee** (Doug Johnson). (See Announcements and Communications)

**B. Executive Committee (Duane Roen).**

**C. Committee on Committees** (Marcia Anderson and Judy Grace).  
The next meeting of the CoC is Tuesday, February 20, 2:00 - 3:30 p.m. in ADM B 365.

**D. Curriculum and Academic Programs Committee** (Barbara Acker).

CAPC will meet on Wednesday, February 28, 3:30-5:00 p.m. in Fulton 4440.

(All new CAPC proposals are available on the CAPC website ([www.asu.edu/provost/CAPC](http://www.asu.edu/provost/CAPC)) and are listed under the consent agenda with numbers added for the Senate second reading. The chair's report will contain any recent information on items that have been considered by CAPC or introduced to the Senate.

**E. Student-Faculty Policy Committee (Rojann Alpers).**

The next meeting of the SFPC is Tuesday, February 27, 8:00-9:00 a.m. in ADMB 365.

**F. University Affairs Committee (David Burstein).**

Awaiting the ACD and ACDW Manual draft revisions.

**7. Open Forum.**

**8. Adjournment**

Recorded and edited by:

Darby Shaw, Executive Assistant

Final editing by:

Anne Kopta, Secretary of the Senate

**ATTACHMENT (Tabled until February 19<sup>th</sup> Senate meeting)**

**Draft Resolution on Grades for Repeated Courses (Senate Resolution #23)(Second Reading)**  
**(Referred to committee 2/19/07)**

**Background:** There are two existing policies on calculating cumulative GPAs for undergraduate students who repeat courses. For lower-division courses that are repeated, the higher grade is used when calculating the cumulative GPA. For upper-division courses that are repeated, the cumulative GPA reflects both grades, in effect averaging the two grades. In all instances, both grades appear on the transcript.

**Whereas** these two conflicting policies for calculating cumulative GPAs cause confusion, and

**Whereas** the policy for calculating grades in lower-division courses more accurately reflects students' achievement in repeated courses,

The Academic Senate **resolves** that the policy of using the higher grade for calculating cumulative GPAs be applied to both lower-division and upper-division courses.

Arizona State University  
Fall 2005 Courses Repeated Following a D or E Grade

Fall 2005 Undergraduate Students

	One or More Repeated Courses		No Repeated Courses		Total	
Freshmen	678	29%	8,941	19%	9,619	20%
Sophomore	608	26%	9,058	19%	9,666	20%
Junior	568	25%	12,580	27%	13,148	27%
Senior	457	20%	15,560	33%	16,017	33%
Non-degree	6	0%	499	1%	505	1%
Total	2,317	100%	46,638	100%	48,955	100%
ASU Cumulative GPA		2.64		3.06		3.04
High School GPA		3.09		3.31		3.30
High School Rank		37%		29%		29%
SAT Combined Score		1058		1092		1090
ACT Composite Score		22		23		23
Average Cumulative Transfer Hours		22		28		28

Fall 2005 reflects the semester the student first enrolled in the course. Repeats occurred in Spring 2006 or Summer 2006. Level and academic credentials are reflected as of Fall 2005 21st-day (prior to initial enrollment in the course).

Fall 2005 Courses Repeated in a Subsequent Semester

Top 5 Repeated Course Prefixes	# Courses Repeated	% of All Repeated
MAT (Mathematics)	396	15%
PGS (Psychology/Social & Behavioral)	148	6%
ECN (Economics)	147	6%
ACC (Accountancy)	140	5%
ENG (English)	126	5%
Total Repeated Courses	2,639	100%

Original Grade	Grade after Course Repeated					
	A+, A, A-	B+, B, B-	C+, C	D	E	Y
D	14%	39%	47%	1%	0%	0%
E	10%	23%	28%	12%	26%	1%
Total	11%	29%	35%	8%	17%	1%

Original Grade	Grade after Course Repeated					
	A+, A, A-	B+, B, B-	C+, C	D	E	Y
D	13%	40%	46%	1%	0%	0%
E	9%	22%	27%	13%	27%	1%
Total	10%	28%	34%	9%	18%	1%

Original Grade	Grade after Course Repeated					
	A+, A, A-	B+, B, B-	C+, C	D	E	Y
D	15%	36%	47%	1%	0%	0%
E	13%	25%	31%	9%	21%	1%
Total	14%	30%	38%	6%	12%	1%

**ATTACHMENT (Tabled until February 19<sup>th</sup> Senate meeting)**

Amended (Substitute) Resolution on Classified Research (Senate Resolution # 28 (Second Reading)  
Approved by the Senate February 19, 2007

Substitute Resolution, Nov 22, 2006

**WHEREAS** The Academic Senate and the Administration, consulting together, concurred and adopted a policy on Classified and Propriety Research in November, 1985, and

**WHEREAS** The Faculty policy on Classified and Propriety Research was incorporated into University policy manuals as RSP-108, and

**WHEREAS** The Academic Senate wishes to update and clarify the current policy on classified research.

**The Academic Senate resolves** that the University policy on classified research be as follows.

Policy on Classified Research

**Purpose:** To protect the special interest of the University to carry out research in an open and unrestricted manner.

**Source:** *Policy Statement on Classified and Propriety Research*, prepared by the Ad Hoc Academic Senate Committee on Classified and Propriety Research, 1984.

*Report of the Task Force on Classified Research*, 2006.

**Policy:**

General

The faculty of Arizona State University is committed to a large and varied agenda of research. The research agenda assumes that the university's role in society is not fulfilled unless research and teaching are vigorously pursued and fully integrated at all levels. Thus, faculty research advances knowledge, enriches teaching, and serves the community.

The principle of the indivisibility of teaching and research requires the University to carry out research in an open and unrestricted manner, with complete freedom to publish or otherwise disseminate the results of the search for knowledge. This special mission of a University makes it necessary for students and faculty to have access to University facilities with minimal restrictions. While society can benefit from classified research, the requirements of secrecy and restrictions on freedom to publish which are inherent in governmental security classification, can be in opposition to the special mission stated above. This makes it necessary to place clear limits upon the classified research conducted by the University.

The research policies below are intended to prevent the restrictions associated with classified research from interfering with the educational and open research activities of the University. These policies do not, however, prohibit self-imposed restrictions based upon the professional ethics of a particular discipline. Moreover, faculty who undertake classified research outside of University facilities will be governed by normal University provisions and procedures for consulting, public service, and leaves of absence.

### Classified Research Policies

- A. The University shall not undertake, on campus, any classified research that introduces limits on the access to a facility unless:
- a) the project requires the use of unique specialized facilities or the participation of personnel unique to this University, *and*
  - b) the project clearly represents a critical public service at a time of local, state, or national emergency.

In no case shall the University enter into such a proposed agreement unless the proposed research has been reviewed by the Research Oversight Committee (see below).

- B. No theses or dissertations will be accepted in fulfillment of degree requirements that cannot be freely published or disseminated. Research assignments leading to theses or dissertations that would be subject to such restrictions are unacceptable and are to be prohibited.

- C. No secret research or materials shall be considered with regard to appointments, reappointments, tenure, promotions, or merit pay raises.

- D. Except as stated above, the University shall not enter into or renew any contract or accept any grant for a classified research project that bars access by University faculty and students to University facilities.

- E. The term ‘on campus’ shall designate those areas and physical facilities in which education and research involving undergraduate and graduate students takes place. Initially, these areas shall include the Tempe, Phoenix Downtown, Polytechnic, and the West campuses, and exclude the Research Park and Sky Song.

### The Research Oversight Committee

#### The Committee

There shall be a standing faculty Research Oversight Committee broadly representative of the university’s disciplines, composed of six faculty members, with the associate vice president for research (or equivalent University officer) serving *ex officio*. The faculty members of the committee will be nominated by the President of the Academic Senate and approved by the Senate for staggered terms of three years each. Normally, two new members will be nominated by each new President of the Academic Senate.

## Authority and Responsibilities of the Committee

The Research Oversight Committee shall review any proposal for new research or for renewal of a research project that will involve classified activities or materials, and shall make a recommendation that the proposed project does or does not satisfy the criteria for exceptions stated above. The chair of the committee shall appoint three individuals with relevant technical competence to assess the proposed research project and the capabilities of the University's personnel and facilities. They shall be informed of the details of the proposed research project and will determine if the project satisfies the criteria stated above.

The same review shall also be conducted for any project that is originally unclassified but becomes so during the period of its grant or contract. The Committee shall also be responsible for interpretations of paragraphs B through E, above, and for resolving issues or conflicts that might arise there under.

The Vice President for Research and Economic Affairs shall consult annually with the Research Oversight Committee and inform the committee of any research grant or contract which the University has accepted, agreed to, or renewed since the last report and which involves classified research. The Research Oversight Committee shall transmit a written report of its deliberations, recommendations, and university actions annually to the chair of the Academic Senate.

If the University decides not to follow a recommendation of the Research Oversight Committee, the Vice President for Research and Economic Affairs shall at that time provide a written justification to the Committee, with a copy to the chair of the Academic Senate, of the reasons for the University's actions.

## The Classified Materials Management Group

Under ABOR policy 3-202, ABOR and ASU have established a Classified Materials Management Group (MG), with responsibility for negotiating, executing, and administering classified research projects. The MG includes a regent, the University president, the vice president for research and economic affairs, the associate vice president for research, the director of research administration, and the vice president and general counsel. Under no circumstances will the University enter into a classified research agreement without a quorum of the Management Group certifying that the contemplated project satisfies the above criteria.