

Faculty Senate Policy Committee

Meeting Agenda

Scholes Hall, Room 101

November 6, 2013

Policy Updates

1. Old Business

- C09: Respectful Campus- pg.1
- C280: Leave without Pay- pg.10
- C140:Extra Compensation- pg. 11
- A88:Policy and Procedures for New Units and Interdisciplinary Reorganization of Academic and Research Units at the University of New Mexico- pg.16
- C190: Procedures for Lecturer Annual and Promotion Reviews- pg.20

2. New Business

- Faculty Handbook Update Overview



C09: Respectful Campus

Approved By: Faculty Senate

Last Updated: **Draft 10/30/13**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Office of the Provost *and Office of the HSC Chancellor*

Revisions to the Policy Rationale, Policy Statement, Applicability, and Definitions sections of this document must be approved by the full Faculty Senate.

POLICY RATIONALE

The University of New Mexico promotes a working, learning, and social environment where all members of the UNM community, including but not limited to the Board of Regents, administrators, faculty, staff, students, and volunteers work together in a mutually respectful, psychologically-healthy environment. UNM strives to foster an environment that reflects courtesy, civility, and respectful communication because such an environment promotes learning, research, and productivity through relationships. Because a respectful campus environment is a necessary condition for success in teaching and learning, in research and scholarship, in patient care and public service, and in all other aspects of the University's mission and values, the University is committed to providing a respectful campus, free of bullying in all of its forms.

POLICY STATEMENT

This Policy describes the values, cornerstones, and behaviors that delineate a respectful campus and applies to all members of the UNM community, including, but not limited to students, faculty, and staff.

1. Values

A respectful campus exhibits and promotes the following values:

- displaying personal integrity and professionalism;
- practicing fairness and understanding;
- exhibiting respect for individual rights and differences;
- demonstrating harmony in the working and educational environment;
- respecting diversity and difference;
- being accountable for one's actions;
- emphasizing communication and collaborative resolution of problems and conflicts;
- developing and maintaining confidentiality and trust; and
- achieving accountability at all levels.

2. Cornerstones of a Respectful Campus

The commitment to a respectful campus calls for promotion of an environment where the following are upheld:

- All individuals have important contributions to make toward the overall success of the university's mission.
- UNM's mission is best carried out in an atmosphere where individuals at all levels and in all units value each other and treat each other with respect.
- Individuals in positions of authority serve as role models in the promotion of a respectful campus. Promoting courtesy, civility, and respectful communication is consistent with the responsibility of leadership.
- Individuals at all levels are allowed to discuss issues of concern in an open and honest manner, without fear of reprisal or retaliation from individuals above or below them in the university's hierarchy. At the same time, the right to address issues of concern does not grant individuals license to make untrue allegations, unduly inflammatory statements or unduly personal attacks, or to harass others, to violate confidentiality requirements, or engage in other conduct that violates the law or University policy.

Bullying is unacceptable in all working, learning, and service interactions.

3. Destructive Actions

Actions that are destructive to a respectful campus will not be tolerated. These actions include, but are not limited to:

- Sexual harassment--refer to [UAP 3780](#) "Sexual Harassment Policy";
- Retaliation-- refer to [UAP 2200](#) "Whistleblower Protection and Reporting Suspected Misconduct and Retaliation Policy" ;
- Conduct which can affect adversely the University's educational function, disrupt community living on campus, or interfere with the right of others to the pursuit of their education or to conduct their University duties and responsibilities--refer to UNM *Faculty Handbook*, [Section C05](#), "Rights and Responsibilities at the University of New Mexico." "[Visitor Code of Conduct](#)," "[Student Code of Conduct](#)," and [UAP 2220](#) "Freedom of Expression and Dissent";
- Unethical conduct--refer to UNM *Faculty Handbook*, [Section B, Appendix V](#), "Harassment and Professional Ethics Policy"; and Bullying behavior which is defined in [Section 4](#). herein.

4. Definition of Bullying

Bullying can occur when one individual or a group of individuals exhibits bullying behavior toward one or more individuals. Bullying is defined by the University as repeated mistreatment of an individual(s) by verbal abuse, threatening, intimidating, humiliating conduct or sabotage that creates or promotes an adverse and counterproductive environment, so as to interfere with or undermine legitimate University learning, teaching, and/or operations. Bullying is not about occasional differences of opinion, conflicts and problems in workplace relationships as these may be part of working life. Bullying can adversely affect dignity, health, and productivity

and may be grounds for corrective disciplinary action, up to and including dismissal. The University Counseling, Assistance, and Referral Services (CARS) Department and the University Ombuds/Dispute Resolution Services for Faculty and Staff can provide guidance for determining whether behavior meets the definition of bullying. Examples of behaviors that meet the definition of bullying above include, but are not limited to:

4.1. Physical Bullying

Physical bullying is pushing, shoving, kicking, poking, and/or tripping; assault or threat of physical assault; damage to a person's work area or property; damage to or destruction of a person's work product.

4.2. Verbal Bullying

Verbal bullying is repeated slandering, ridiculing, or maligning of a person or persons, addressing abusive and offensive remarks to a person or persons in a sustained or repeated manner; or shouting at others in public and/or in private where such conduct is so severe or pervasive as to cause or create a hostile or offensive educational or working environment or unreasonably interfere with the person's work or school performance or participation.

4.3. Nonverbal Bullying

Nonverbal bullying can consist of directing threatening gestures toward a person or persons or invading personal space after being asked to move or step away.

4.4. Anonymous Bullying

Anonymous bullying can consist of withholding or disguising identity while treating a person in a malicious manner, sending insulting or threatening anonymous messages, placing objectionable objects among a person's belongings, leaving degrading written or pictorial material about a person where others can see.

4.5. Threatening Behavior Toward a Person's Job or Well-Being

Making threats, either explicit or implicit to the security of a person's job, position, or personal well-being can be bullying. It is not bullying behavior for a supervisor to note an employee's poor job performance and potential consequences within the framework of University policies and procedures, or for a professor or academic program director to advise a student of unsatisfactory academic work and the potential for course failure or dismissal from the program if uncorrected.

5. Reporting Destructive Actions

The destructive actions described in **Section 4.** herein should be reported in accordance with the applicable policies and procedures listed herein; however, extreme incidents may be reported directly to UNM Police in accordance with [UAP 2210](#) "Campus Violence." Bullying behavior should be reported as follows:

5.1 Students

An individual who believes a student has engaged in bullying behavior should report the behavior to the Dean of Students Office. Students in the School of Medicine who believe that a faculty member has engaged in bullying behavior towards them should follow the procedures in the UNM School of Medicine "Teacher Conduct and Learner Complaints." All other students who believe that a staff or faculty member has engaged in bullying behavior towards them may follow the procedures listed in Sections 5.2. and 5.3. below. Students may also report bullying behavior by:

- contacting the Dean of Students Office,
- calling the UNM Hotline 1-888-899-6092 (call may be anonymous, but doing so may limit the University's ability to conduct a full investigation), or
- contacting the University Internal Audit Department.

If the bullying of students is based on race, color, religion, national origin, physical or mental disability, age, sex, sexual preference, gender identity, ancestry, medical condition, or spousal affiliation, it should be reported to the University Office of Equal Opportunity.

5.2 Staff

An individual who believes a staff member has engaged in bullying behavior may report the behavior using any of the options listed in [UAP 2000](#), Section 4 of "Whistleblower Protection and Reporting Suspected Misconduct and Retaliation." The individual should select the reporting method he or she is most comfortable with and is most appropriate to the situation. Although bullying behavior may not meet the definition of misconduct in Policy 2200, suspected bullying behavior will be reported and investigated in the same manner as misconduct.

5.3. Faculty

An individual who believes a faculty member has engaged in bullying behavior should follow the procedures listed in the Procedures Section below. These procedures were approved by the Faculty Senate and all subsequent changes must be approved in accordance with processes defined by the Faculty Senate.

6. Monitoring

An annual survey will be undertaken by the Faculty Senate Policy Committee in collaboration with the Staff Council and the Division of Human Resources to measure the effectiveness of the Respectful Campus Policy. The survey should provide ongoing monitoring of faculty and staff attitudes concerning the campus climate and culture. The survey results will be distributed to the Faculty Senate, Staff Council, President of the University, and executive vice presidents.

APPLICABILITY

All UNM academic faculty and administrators, including the Health Sciences Center and Branch Campuses.

DEFINITIONS

Bullying. Refer to Section 4. Above for detailed definition.

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

WHO SHOULD READ THIS POLICY

- Board of Regents
- Faculty
- Academic staff
- Academic deans and other executives, department chairs, directors, and managers

RELATED DOCUMENTS

University Administrative Policies and Procedures Manual:

[Policy 2200](#) “Whistleblower Protection and Reporting Suspected Misconduct and Retaliation”

[Policy 2240](#) “Respectful Campus”

CONTACTS

Direct any questions about this Policy to the Office of the Provost.

PROCEDURES

Below are the procedures for reporting and investigating complaints of faculty bullying

1. Initial Complaint

An initial written complaint pursuant to this Policy should be brought to the attention of the person who has direct supervisory responsibility over the individual(s) whose actions are in question (e.g., chairperson, supervisor, director, dean, Provost, Chancellor for Health Sciences). An initial complaint may also be made by using the procedures specified in [UAP 2200](#) “Whistle Blower Protection and Reporting Suspected Misconduct and Retaliation,” namely:

- Calling the UNM Hotline 1-888-899-6092. The call may be anonymous, but doing so may limit an employee's protection from retaliation and the University's ability to conduct a full investigation.

- Reporting the conduct – orally or in writing – to the Internal Audit Department.

A complainant should report suspected misconduct as soon as reasonably possible, preferably within 60 days from the time the complainant becomes aware of the suspected misconduct. The complaint should only include those events that occurred no earlier than one year before the date of the complaint. The complaint should include as much of the following as possible:

- clear specific allegations against the named person or persons;
- where possible, dates, times, locations, and witnesses to incidents;
- factual description of events with direct quotes where possible;
- indication of how each incident made the complainant feel;
- documentary evidence; and
- description of any action the complainant or others have already taken.

Regardless of the mechanism chosen for the initial complaint, a written complaint must be prepared and signed by the complainant or – if the complainant chooses to remain anonymous – by the preparer. All written complaints must be brought to the attention of the respondent’s direct supervisor. A copy of the written complaint must be provided to the respondent, from whom a written response will be solicited within a specified time-frame. The written response from the respondent will be provided to the complainant.

2. Investigation

The responsible supervisor is charged with initiating the investigation within 10 UNM business days of receiving the written complaint. It is of paramount importance that the investigation should be conducted by an unbiased investigator. Prior to initiating the investigation, the responsible supervisor must confer with the Office of University Counsel (OUC) for guidance in interpreting this Policy and in formulating the specific steps to be followed in conducting an unbiased investigation and in preparing the final investigatory report. The OUC will inform the supervisor of the responsible supervisor that it has counseled the responsible supervisor on the specific matter. Following the advice of OUC, the supervisor who receives the complaint may appoint an independent investigator with no connection to either the complainant or the respondent; the investigator may in turn decide to appoint a three to five person ad hoc investigatory committee of independent, unbiased individuals whose UNM status is similar to that of the complainant and that of the respondent.

As soon as it has been determined who will conduct the investigation and how the investigation will be conducted, the investigator will notify the complainant, the respondent, and the supervisor of the respondent, that an investigation has been initiated. If either the complainant or the respondent wishes to request that a different investigator be appointed, a written request, including a detailed justification, must be provided to the supervisor of the respondent within five UNM business days. The supervisor will take the request into consideration and will either confirm the appointment of the original investigator or will appoint a different investigator. The parties will be notified of the supervisor’s decision no later than five UNM business days after receipt of the request. If the investigator decides to appoint an ad hoc committee to assist with the investigation, the respondent and the complainant will be notified in writing and given 10 UNM business days to submit a written objection to the membership of the ad hoc committee. The investigator will take the objections into consideration before

finalizing the appointments. The membership of the investigatory committee must be finalized no later than 20 UNM business days after the respondent and complainant have been provided with the initial notification referenced above.

The investigation should normally include interviews with all parties to the complaint, as well as any others who the complainant or respondent believes will be able to provide material information relevant to the complaint, recognizing that an investigation will often exclude redundant or immaterial information or information that is not readily available. The investigation should normally be completed no later than 30 UNM business days after the initial complaint has been brought to the supervisor of the respondent, or after the membership of the ad hoc committee has been finalized, whichever is later. If the investigation cannot be completed within this time frame, a written notification of the delay, and the reasons for delay, should be provided to the complainant, the respondent, and the supervisor of the respondent. When the investigation has been completed, a confidential report of the investigation will be sent for appropriate action to the supervisor of the respondent, with a written copy provided to the respondent and the complainant, unless the complainant is anonymous.–The confidential report will include, at a minimum, the following information:

- Identity of investigator and others involved in conducting the investigation
- Allegations
- Investigative Process, including the number of witnesses interviewed, but excluding the identities of the witnesses
- Summary of facts
- Final Determination

The investigator may also choose to include recommendations in the report.

If corrective action is appropriate, it will be taken in accordance with [Policy C07 “Faculty Disciplinary Policy.”](#) [Information pertaining to corrective action will not be included in any documents provided to the complainant.](#)

The investigator will make reasonable efforts to maintain confidentiality. The identities of the respondent and the complainant should be treated with sensitivity. It is recommended, but not required, that the investigator ask everyone involved in the investigation, including witnesses, to sign confidentiality agreements.

The investigator is responsible for thoroughly documenting the investigation and creating an investigatory file. Except as noted in Section 7 below, this file will be maintained in the [the respondent’s personnel file in the respondent’s college or school. The file is confidential and shall be secured in accordance with Policy C70 “Confidentiality of Faculty Records. Office of University Counsel.](#) The file should include the following:

- Initial complaint
- Evidence collected from all sources, including interviews
- If applicable, documentation associated with the selection of ad hoc committee members, including any objections made by the respondent
- If applicable, signed confidentiality agreements

- If applicable, ad hoc committee meeting minutes

3. Alternative Procedures

The procedures set forth in this policy document are not exclusive. Although complainants are encouraged to utilize the procedures set forth above, the complaint may also be taken to the Ombuds Dispute Resolution Services for Faculty and Staff, or to the Academic Freedom and Tenure Committee (AF&T), if the complainant is a faculty member and the complaint involves allegations of violations that are within the jurisdiction of the AF&T Committee. If the Ombuds Dispute Resolution office or the AF&T Committee is presented with the complaint, and if they decide that it is within their jurisdiction, they will follow the procedures stated in the Faculty Handbook Policies ([Policy C345](#) and [Section B](#), respectively). If AF&T determines that it has jurisdiction and accepts the complaint, its proceedings would supplant the procedures set forth under this Policy.

4. Actions Following Investigation

If the final determination of the supervisor is that the respondent is guilty of one or more violations of this Policy, UNM shall take appropriate action, which may include disciplinary sanctions up to and including dismissal from the University. Whether or not the respondent is found to have violated this Policy, reasonable efforts will be undertaken to ensure that complainants who make allegations of bullying in good faith and others who cooperate in good faith with inquiries and investigations of such allegations are not retaliated against for initiating or participating in the investigation.

5. Appeals

If the responsible supervisor does not resolve the issue to the satisfaction of the parties to the complaint or within the required time frame, the parties will have 10 UNM business days from the date on which they received written notification of the results of the investigation to appeal the decision to the next higher level person in the supervisory chain, who will review the record and determine whether the investigation was reasonably conducted and the findings supported by the evidence. The reviewing official will usually obtain the advice of OUC on how to conduct the review. The reviewing official may uphold, reverse, or modify the findings or may remand the matter for further investigation. A written copy of the reviewing official's decision will be provided to the supervisor of the respondent and the initial investigator; a summary statement will be provided to the respondent and the complainant. If the reviewing official's determination is not satisfactory to the complainant or the respondent, a final appeal can be made to the Provost or Chancellor for Health Sciences, who in his or her discretion may review the record. Absent discretionary review by the Provost or Chancellor for Health Sciences, the decision of the reviewing official shall be final. If the Provost or Chancellor for Health Sciences reviews the matter, his or her decision shall be final.

6. False Information

An employee who knowingly gives false information or knowingly makes a false report of alleged violation of this Policy or who knowingly provides false answers or information in

response to an ongoing investigation will be subject to disciplinary action, up to and including dismissal, by the University.

7. False or Inaccurate Accusations

It is important to protect individuals from false, unsubstantiated, or inaccurate accusations. Therefore, when an allegation of violation of this Policy is not substantiated, the file containing all documents relating to the report, review, or investigation will be sealed and delivered to University Counsel's office. The file will be stored for six years after the date the file is sealed, after which time it may be destroyed.

HISTORY

June 16, 2011—Approved by President David Schmidly

March 22, 2011—Approved by Faculty Senate

DRAFT HISTORY

[October 30, 2013—Draft revised to reflect recommendations from Office of University Counsel to align procedures with OEO procedures.](#)

[October 11, 2013—Draft revised to address Policy Committee changes. Awaiting suggested options from University Counsel pertaining to information provided to respondent and complainant and appeal provisions.](#)

October 2, 2013—Draft of revised policy updated to include changes from John Trotter. Awaiting review by representative of Office of University Counsel.

September 4, 2013 --Draft of revised policy awaiting approval of Policy Committee and Faculty Senate.

COMMENTS TO:
handbook@unm.edu

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C280: Leave Without Pay



Policy

(Approved by Faculty on 3/12/74, 4/8/75 and 5/10/78; approved by Regents on 3/14/74, 2/1/75, 5/18/75 and 8/29/78)

Any full-time member of the faculty on regular (i.e., not temporary) appointment as lecturer or above is eligible for leave of absence without pay (see following sections for leaves abroad and military leaves) after two years of service at the University of New Mexico, subject to the following stipulations:

1. Leaves without pay will be granted only when in the opinion of appropriate officials at the University such a leave will be of distinct benefit to this institution as well as to the individual concerned.
2. A leave without pay or any combination of a sabbatical leave and a leave without pay will not generally exceed one year in duration, although when the best interests of the University would be so served and with the concurrence of the department chairperson, the dean, the Director of the Medical Center when faculty members in the Medical School are involved, and the Vice President for Academic Affairs, the President may approve a two-year absence. However, except in extremely rare cases, as recommended by the President, a faculty member shall not be absent from the University for more than two of any five consecutive years, and it is not contemplated that even such a proportion of absence shall be the norm.
3. Leaves without pay will not normally be granted to persons wishing to accept a "regular" teaching or administrative position at another institution or agency, with the apparent option of continuing on a permanent basis at that institution or of returning to the University on a continuing basis. Such an arrangement usually puts the institution at a considerable disadvantage, since it would be required to keep the position here open on a temporary basis until the person on leave returns or decides not to return to the University.
4. Before the leave without pay is approved, the department chairperson and/or the dean concerned must have agreed that the assignments usually carried out by the person requesting the leave may and will be carried out satisfactorily by others—normally including one or more temporary employees from the outside— without any extra cost to the University.
5. It is to be understood that if a faculty member has not attained tenure, a leave of absence without pay will normally extend the probationary period.
6. Leave of absence without pay is not counted toward retirement or toward years of service when figuring seniority for promotion. While a faculty member is on leave without pay, the University will not continue to pay its share toward retirement or Social Security benefits. If desired, however, the faculty member may make his/her contribution toward group insurance and thereby keep the policy in force.
7. Requests for leaves of absence without pay or any combination of a leave without pay and a sabbatical leave, as described in item 2, should be submitted through the applicant's department chair person to the dean as early as possible, but no later than four months in advance of the date the proposed leave will begin. The dean forwards the request with his/her recommendation to the Vice President for Academic Affairs who in turn submits all pertinent material to the President with his/her recommendations. The President makes the final decision.



C140: Extra Compensation

Approved By: Faculty Senate

Last Updated: **Draft 11/4/13**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Office of the Provost

Revisions to the Policy Rationale, Policy Statement, Applicability, and Definitions sections of this document must be approved by the full Faculty Senate.

POLICY RATIONALE

The interests of the University may be well served by professional activities conducted by faculty members, within the University, outside of their normal departmental duties. With approvals specified in this policy, faculty members performing such activities may receive extra compensation from the University. Such activities may not replace or diminish the ability of the faculty member to fulfill his/her normal contractual responsibilities. Prior approval of such activities for extra compensation will be contingent on determinations by cognizant supervisors that the activities are in the best interests of the University.

POLICY STATEMENT

1. Full time regular faculty members may receive extra compensation from the University for additional work done in connection with University-related activities provided that:

a) The faculty member wishes to pursue the opportunity for extra compensation;

b) *The special assignment must be approved in advance approval, in writing, is given by the Chair of the faculty member's contract department, and the Dean or Director of the College or School that houses that department. prior to commencement of the additional work by the faculty member;*

c) The work done for extra compensation does not in the opinion of the approving authorities:

- i) Conflict in time with regular University duties and assignments;
- ii) Constitute a "conflict of interest" situation for the faculty member;
- iii) Come within the scope of the faculty member's regular responsibilities for which compensation is already being paid.

2. The work for extra compensation does not count against the workdays allowed for outside employment. See **Policy C130** "*Outside Employment and Conflicts of Commitment.*")

3. Extra compensation using funds from research grants or contracts must conform to research policies.

~~4. Extra compensation for teaching beyond the scope of the faculty member's regular teaching responsibilities shall be paid through a Special Teaching Component (STC) on the regular faculty contract. Requests for contracts that include STCs shall be made prior to engaging in the activity by way of a Contract Memorandum that has the approval of the faculty member's chair or director and dean, the administrator of the department for which the special teaching is being done, and the Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences.~~

~~5. Other kinds of special assignments shall be paid on an Extra Compensation Form. The rate of extra compensation will be proposed by the head of the requesting unit and should reflect fair market value for activities associated with the assignment.~~

Compliance

Intentional failure to comply with the provisions of this policy will be considered a violation of *UNM university* policy and may lead to appropriate corrective action which can include censure, warning, disciplinary probation, or dismissal, as set forth in *Policy C07 "Faculty Disciplinary Policy."* the *Faculty Handbook*.

APPLICABILITY

All UNM academic units, including the Health Sciences Center and Branch Campuses.

DEFINITIONS

Warning: an oral reprimand or expression of disapproval.

Censure: a written reprimand or expression of disapproval, which should include an explanation of the nature of the misconduct, and the specific action to be taken by the faculty member and/or chair to correct the problem, including mentoring, if appropriate, and a statement that further disciplinary action could occur should the problem persists.

Suspension without pay: disciplinary suspension without regular salary for a stated period of time.

Dismissal: termination of employment (see Faculty Handbook Section B).

(Note: these definitions came from the newly approved Discipline Policy C07)

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

WHO SHOULD READ THIS POLICY

- Board of Regents
- Professors and academic staff
- Academic deans and other executives, department chairs, directors, and managers
- Administrative staff responsible for academic appointments

RELATED DOCUMENTS

Faculty Handbook:

[Policy C07 “Faculty Disciplinary Policy”](#)

[Policy C100 “Academic Load”](#)

[Policy C110 “Teaching Assignments”](#)

[Policy C120 “Summer Teaching”](#)

[**Policy C130** “Outside Employment and Conflicts of Commitment,”](#)

Policy C180 “Special Administrative Compensation”

UNM Board of Regents’ Policy Manual:

[**Policy 5.6** “Extra Compensation Paid by the University,”](#)

University Administrative Policies and Procedures Manual:

[**Policy 2615** “Non Standard Payment Processing,”](#)

CONTACTS

Direct any questions about this Policy to the Office of the Provost [or the Chancellor for Health Sciences](#)

PROCEDURES

1. In consultation with the academic units, the Offices of the Provost and the [**Executive-Vice President**](#) Chancellor for [**the**](#) Health Sciences Center will be responsible for developing procedures for compliance with this policy. The procedures should include the following items, but may be more stringent for effective monitoring of the policy.

- Requirements for approval by the approving authority (advance written approval is not required for periods of activity consisting of two days or less per semester.)
- Requirements for [**Special Teaching Components**](#) (STC) approvals and payments.
- Faculty reporting and compliance responsibilities.
- Required signatory approvals.
- Deans/Directors monitoring and enforcement responsibilities.
- Maintenance of Records and supporting documentation.

2. [**The rate of extra compensation will be proposed by the head of the requesting unit and should reflect fair market value for activities associated with the assignment. The respective Dean or Director of the College or School to whom the requesting area reports shall set a compensation amount from a standardized payment scale for special assignments. These compensation amounts shall be consistently applied throughout the unit for similar work to ensure transparency and uphold principles of equity.**](#)

3. Extra compensation for special assignments, including STCs (see below) shall be paid via processes established by the Faculty Contracts and Services Office or the HSC Faculty Hiring and Contracts Office in accordance with Policy 2610 “Non-Standard Payment Processing,” UAP.

Special Teaching Components

The Associate Provost for Academic Personnel or the HSC Vice Chancellor for Academic Affairs is charged with implementing and monitoring these guidelines. The request to create the appropriate faculty contract (the contract memorandum) shall include an attachment that provides the name of the awardee and a brief description of his or her specific qualifications to teach the designated course, as well as the information/justifications described below.

1. A request to establish a STC shall include an attachment that provides the name of the awardee and a brief description of his or her specific qualifications to teach the designated course, as well as the information/justification described below:

- a. *The specific work for which the STC is awarded, including duties and responsibilities of the faculty member must be set forth in the request for the award.*
- b. *A compensation amount should be assigned to the STC award, and justified as appropriate to the effort to be expended (for example, size and level of class, impact on the unit’s programs and overall mission of the University.)*
- c. *The compensation amount should derive from a more general standardized payment scale, and be awarded consistently to ensure transparency and to uphold principles of equity.*
- d. *The term of the STC award should be specified, including clear start and end dates. and once the term of service is complete, the STC will end.*

2. The requirement to establish a STC will not apply in cases of interdepartmental, interdisciplinary or joint appointments under which faculty are expected to teach in more than one department or discipline by virtue of their regular faculty workload.

3. Deans and Directors are responsible for monitoring and enforcing policy and procedural compliance for special assignments and extra compensation, with the exception of STC approvals and payments which shall be monitored and enforced by the Associate Provost for Academic Personnel or the HSC Vice Chancellor for Academic Affairs. These responsibilities include maintenance of records and supporting documentation and guidelines related to the approvals of special assignments and payment of extra compensation and STCs.

4 STC monitoring by the Associate Provost for Academic Personnel or the HSC Vice Chancellor for Academic Affairs shall include submittal of a report at the end of each fiscal year to the Faculty Senate Operations Committee that lists all STCs. This report will be posted on the Provost’s and Chancellor’s websites. The report will include each faculty member’s name, college or school, amount of STC, and purpose of the STC. [Note: This section is the same as listed in the current SAC policy].

HISTORY

Amended:

October 14, 2008 – Approved by the UNM Board of Regents
Revised by the Faculty Senate in response to a request by the UNM Board of Regents

Amended:

October 14, 2003 – Approved by the UNM Board of Regents

Effective:

December, 13, 1973 – Approved by the UNM Board of Regents

DRAFT HISTORY

November 4, 2013—Draft revised to reflect input from Office of the Provost, HSC Vice Chancellor, and Interim Director of FCSO/OEO

September 7, 2013 --Draft of revised policy awaiting approval of Policy Committee and Faculty Senate.

COMMENTS TO:
handbook@unm.edu

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A88: Policy and Procedures for New Academic Units and Interdisciplinary Reorganization of Academic ~~and Research~~ Units at the University of New Mexico



Policy

(Approved by the Faculty Senate, October 11, 1994)

(Draft Revision September 25, 2013)

Introduction

From time to time it is necessary for the University to consider proposals for the creation of new academic units, or for major restructuring of existing academic units, ~~especially units primarily~~ involving ~~both research and~~ teaching functions ~~and including~~ those crossing disciplinary lines. Occasionally the proposed academic unit would become a branch of the University. (Similar policies governing units primarily involving research or contract-based work are included in [Policy A90 in the Faculty Handbook](#).)

While there are well-established procedures for approving the creation of new courses, new programs, and both minor and major changes in existing courses, there exists no formal system of review by both the faculty and administration of proposals for creation of new academic units. This policy and the associated procedures attempt to lay out guidelines for such major changes and additions.

In general, a proposal for such major changes should follow the guidelines below. However, the specific procedures for consideration and approval will be established through discussions between the proposers of any changes and representatives of the Provost's Office and the Faculty Senate Operations Committee.

Policy

If it is proposed to create a new academic unit located on or off the UNM Albuquerque campus, including new branches or education centers, or to make changes in an existing academic unit, approval of at least the UNM Faculty Senate and the Provost is required. Approval of the proposed action must be sought and obtained prior to initiating operation of a

new academic unit, or making major changes in existing academic units. In no case is this to be construed as prohibiting an existing academic unit from experimenting with major changes prior to seeking approval of these on a continuing basis. However, it is expected that even in the case of experimental changes, stakeholders, such as affected faculty, staff, and students will be informed in advance and their input sought and considered by the appropriate dean, director, or other administrator proposing the changes, prior to initiation of the experiment.

1. "Major changes" is defined for purposes of this document as merger of two or more academic units, or division or dissolution of an academic unit. This policy is not meant to apply organizational changes within an integral academic unit with no implications outside that academic unit.
2. "Academic Unit" is used in this document to designate an academic department, academic division, academic branch, academic program*, school, or college.

*In this context, the structural program is of interest.

Procedure

Those proposing new or revised academic units, other than ~~interdisciplinary research centers or contract-based centers or institutes~~ (see [Policy A90 in the Faculty Handbook](#) below for ~~procedures for~~ for these units), must prepare a proposal according to the attached guidelines, and submit it for approval by: 1) the Faculty Senate, acting on the advice of appropriate faculty committees, as determined by the President of the Faculty Senate, and 2) appropriate administrative officers, as determined by the President or Provost of UNM. If approval of the proposal by the Board of Regents is required, all actions of the Faculty Senate and the administrative officers relative to the proposal shall be transmitted to the Board of Regents. If clarification of the guidelines is desired, it should be sought from the Provost's Office.

~~Those proposing creation of interdisciplinary research centers or institutes should prepare a proposal according to guidelines prepared by the Research Policy Committee. Copies of these guidelines may be obtained from the chair of that committee, or from the Associate Provost for Research.~~

Guidelines

The following is an outline of guidelines for preparing proposals for creating or making major changes in academic units, either on the UNM campus or entire branches or education centers at remote locations. It is recognized that a situation may arise for which these guidelines are not complete. In such a case, the proposer should seek advice from the Provost's Office and the President of the Faculty Senate.

I. For all proposals, provide the following basic information.

- A. Identify the proposed changes, including all aspects such as instruction, research, and service.
- B. Summarize your reasons why the proposed changes are desirable, or necessary. For example, are they responsive to state or national needs, existing or anticipated opportunities, or requirements of regulatory bodies such as accreditation agencies?

- C. What are the advantages to the University of New Mexico if the proposal is approved and implemented, and what advantage does the proposal offer to current or future students, faculty, and staff at UNM?
- D. Does the proposed new or revised academic unit pose any actual or potential conflicts with the programs or services of existing units at UNM, branches of UNM, or other institutions or organizations within the State of New Mexico? On the other hand, does it offer potential enhancement of, or cooperation with, the programs or services of other units or organizations?
- E. Provide an overall summary of the anticipated costs or changes in costs, and the human and physical resources, including space and equipment needed during the first three to five years of operation of the proposed new or revised academic unit.

II. In the case of proposals for new academic units on or off-campus, or major revisions of existing academic units, provide the following detailed information.

- A. Describe the existing organizational structure related to your proposal, and the anticipated structure when the revision or new academic unit has evolved to anticipated form. Include a description of:
 - 1. Administrative structure, including the line of responsibility within the organization and the path(s) through which the academic unit will report.
 - 2. Faculty positions, including rank and responsibilities.
 - 3. Staff positions, including grades and responsibilities.
- B. Describe the instructional programs the academic unit will offer, if any.
 - 1. What degree programs will the academic unit offer, or support, at the undergraduate or graduate levels?
 - 2. What courses at the lower division, upper division, and graduate levels will the academic unit offer, in support of either its own, or other degree programs?
 - a. Identify both existing and new courses. Briefly explain the need for the new courses.
 - b. If any of these courses overlap or are intended to replace existing course offerings in the university, explain how potential duplication and conflict with the academic units offering those courses would be resolved.
 - c. What other courses, such as training or continuing education, might be offered by the academic unit.

~~C. Describe the unit's proposed research programs.~~

- ~~1. What research programs will be conducted by the unit alone or in cooperation with other units?~~
 - ~~a. In case(s) of cooperative programs, what other units will be involved, what will be their role, and what will be the relationship between these units and yours?~~
- ~~2. What degree programs will these research programs support, and in what manner will they be supported?~~
- ~~3. What non-state funding sources are anticipated for the research programs?~~
- ~~4. What funding from the University or State of New Mexico will be required?~~

CD. Describe the academic unit's service activities.

- 1. What services will the academic unit provide to other academic units in or associated with the University?

- a. Are these services currently offered by any other academic unit in the university associated with it, or contracted by it? If so, do you plan to supplement what exists or to replace it? How would potential conflicts with the other academic units be resolved?
- 2. What services will the academic unit provide to organizations outside the university?
 - a. Are there academic units, either public or private, already offering these services? If so, justify the need for you to provide them via the proposed academic unit.
- D. Discuss your plans for the academic unit for the next three to five years.
 - 1. What needs, opportunities, or demands will the academic unit satisfy that are not currently being adequately met?
 - 2. How will the academic unit's functions and size change during this period? For example, will they remain static, grow, or diminish?
 - 3. How will faculty, staff, and administrators be acquired to support this academic unit?
- E. Provide detailed budget information for the first three to five years of operation of the proposed academic unit. For operating costs, include at least personnel, space upkeep or rental, utilities, contracted services, and equipment maintenance and replacement. For one-time costs, include at least space, furniture, utilities connections, and equipment.

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C190: Lecturer Annual and Promotion Reviews

Approved By: Faculty Senate

Last Updated: **Draft 9/17/13**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Office of the Provost and Office of the HSC Chancellor

Revisions to the Policy Rationale, Policy Statement, Applicability, and Definitions sections of this document must be approved by the full Faculty Senate.

POLICY RATIONALE

This document provides policies and procedures for annual reviews of lecturers and for promotion requirements for Senior and Principal Lecturers in accordance with [Section B: Academic Freedom and Tenure](#), 2.3.2, 3.4.2, and 4.10.

POLICY STATEMENT

A. Lecturers, Senior Lecturers, and Principal Lecturers

Faculty may be appointed to the position of Lecturer I, II, or III. These appointments are for professionals with appropriate academic qualifications, who are demonstrably competent in the relevant areas of their disciplines. While not eligible for tenure, lecturers in each numerical class may hold the rank of Lecturer, Senior Lecturer, or Principal Lecturer.

1. Lecturer

Most newly hired lecturers are hired as either Lecturer I, II or III unless the department determines that they qualify as a Senior Lecturer or Principal Lecturer based on experience teaching at another college or university as described in sections 2. and 3. below. In such cases the designation of the newly hired lecturer will be Senior Lecturer I, II, or III; or Principal Lecturer I, II, or III.

2. Senior Lecturer

(a) Lecturers with at least five years of continuous service to the University at 0.5 FTE or greater who have demonstrated professional excellence and shown a conscientious interest in improving their professional skills.

(b) Appointment at, or promotion to, the rank of Senior Lecturer represents a judgment on the part of the department, School or College, and University that the individual has made and will continue to make sound contributions in their professional areas. The

appointment should be made only after careful investigation of the candidate's professional and leadership accomplishments and promise.

3. Principal Lecturer

(a) Senior Lecturers with at least eleven years of continuous service to the University at 0.5 FTE or greater who have sustained consistently high standards in their professional contributions, consistently demonstrated their wider service to the University community and its mission, and shown a conscientious interest in improving their professional skills. It is expected that Principal Lecturers will continue to develop and mature with regard to their professional activities and leadership within the University.

(b) Appointment at, or promotion to, the rank of Principal Lecturer represents a judgment on the part of the department, School or College, and University that the individual has attained and will continue to sustain an overall profile of professional excellence and engagement in the wider profession. The appointment should be made only after careful investigation of the candidate's professional and leadership accomplishments and promise.

B. Term Appointments and Performance Reviews

1. Annual Performance Reviews of Lecturers. All Lecturers will have annual performance reviews, which should be conducted according to **Section B: Academic Freedom and Tenure, 4.0** of the UNM Faculty Handbook and as specified in this document, as appropriately modified by each School, College, Department or equivalent to conform with each unit's standard faculty review processes and to reflect each unit's specific requirements for continuation and promotion of Lecturers. The annual review in the first year must be conducted in the spring, in time for the Chair to provide written notice to the Lecturer no later than March 31 whether the Lecturer's contract will be renewed. In the second and subsequent years, the review must be conducted in the fall, in time for the Chair to provide written notice to the Lecturer no later than December 15. The Department Chair's written notice to the Lecturer will be copied to the Dean for inclusion in the Lecturer's personnel file.

If any performance review of a Lecturer on a one-year appointment produces a negative evaluation, the Chair may exercise the University's discretion not to renew the Lecturer's contract. Alternatively, the Chair may provide the Lecturer a written description of the areas in which the Lecturer must improve if she or he is to continue as a member of the faculty. The Chair and the Lecturer must both sign this document. The Lecturer may then be issued a one year contract, with the understanding that if concerns are not adequately addressed, this contract will not be renewed.

2. Term appointments. Lecturers serve on one-year renewable term appointments. Senior Lecturers serve on renewable two-year term appointments, and Principal Lecturers serve on renewable three-year term appointments. In addition, Lecturers

who have completed at least three academic years of continuous service are eligible for renewable two-year term appointments. One-, two- and three-year term appointments are renewable at the discretion of the University. In the first contract year, written notice of renewal or non-renewal will be given to the Lecturer no later than March 31. In the second and subsequent contract years, notice of the status of the term appointment will be given no later than December 15. Those Lecturers who serve on two- or three-year term appointments will be provided written notice of the status of their appointments by December 15 of the final year of the term appointment.

Lecturers on two- or three-year term appointments will have annual performance reviews every fall. A negative review in the first year of a two- or three-year term appointment – or in the second year of a three-year term appointment - will result in a written remedial plan with specific requirements. A negative review in the second year of the two-year term appointment - or in the third year of a three-year term appointment - may result in a decision not to renew the appointment. Written notice of this decision must be given to the Lecturer no later than December 15.

3. Year Three Review of Continuing Lecturers: During the fall semester of a Lecturer's third year of service the Lecturer will be approximately half way to the earliest point at which he or she might seek promotion; after three years a Lecturer will also be eligible for a two-year term appointment. Consequently, to assess the Lecturer's progress at this time as well as the appropriateness of a two-year term appointment, the annual performance review will include an assessment based on these two issues. If the Lecturer receives a positive rating he or she can expect to retain the title of Lecturer (I, II, or III), with the assurance that promotion expectations are being met, and that the prospects for promotion are favorable. The Lecturer will continue to be eligible for renewable one-year appointments. If the Lecturer's performance has been evaluated as outstanding, the Lecturer may be offered a two-year term appointment that would start at the beginning of the next contract year. If the Lecturer receives a negative evaluation, the Chair may exercise the University's discretion not to renew the Lecturer's contract. Alternatively, the Chair may provide the Lecturer a written description of the areas in which the Lecturer must improve to continue as a member of the faculty. Both the Lecturer and the Chair must sign this document, which will be copied to the Dean. The Lecturer may then be issued a one-year contract, with the understanding that if concerns are not adequately addressed, this contract may subsequently not be renewed.

4. Promotion to Senior Lecturer. Upon completion of at least five years of service, a Lecturer will be eligible to apply for promotion to Senior Lecturer. The Lecturer interested in seeking promotion will generate a Promotion Package, the contents of which will be determined by each School or College, or equivalent. Materials appropriate for such a package might include, but are not limited to, an updated CV, teaching evaluations by students, letters of support from other faculty members,

reports from teaching observations by peers, professional recertification (if appropriate), other evidence of professional development, and a personal statement.

Each School or College or equivalent will determine how the Lecturer's promotion package is to be evaluated. The process should be similar to the process used to evaluate tenure-track and *clinician* educator (CE) faculty promotions, and should include input from departmental faculty members, including other Lecturers, the Department Chair, and the School or College Dean, who may use an ad-hoc advisory committee. The Department Chair's recommendation will be forwarded to the Dean. The Dean's recommendation will be forwarded to the Provost or Chancellor for Health Sciences. The Provost or Chancellor makes the final decision on promotion. The Provost/Chancellor's decision will be communicated in writing to the Lecturer, the Dean, and the Department Chair. If the promotion is approved, the Lecturer may expect the following.

- Promotion to Senior Lecturer.
- A renewable two-year term appointment.
- A salary increase that is consistent with the policies and practices of the College or School, and the Department.

Years of service at other institutions of higher learning may be used to meet the years needed to apply for promotion, at the discretion of the Dept. Chair and/or Assoc. Chair.

5. Promotion to Principal Lecturer. Upon the completion of a minimum of eleven years of service, a Senior Lecturer will be eligible to apply for promotion to Principal Lecturer, following the procedures described above for promotion to Senior Lecturer. If the promotion is approved, the Lecturer may expect the following:

- Promotion to Principal Lecturer.
- A renewable three-year term appointment.
- A salary increase that is consistent with the policies and practices of the HSC, the College or School, and the Department.
- The opportunity to apply for a one-semester *of academic leave (See Policy 250) professional development teaching release* with pay to pursue other academic and/or professional opportunity activities. A Principal Lecturer will subsequently be eligible to apply for such releases every six years.

C. Denial of Promotion. In the event of a negative promotion decision (either from "Lecturer" to "Senior Lecturer" or from "Senior Lecturer" to "Principal Lecturer") the Lecturer will retain his or her former title and benefits, including – if applicable – eligibility for a two-year term appointment. After a two year period, the Lecturer may reapply for promotion.

D. Appeals: A Lecturer may appeal certain decisions not to renew his or her appointment. Non-renewal decisions made at the following time points are at the University's discretion:

- By the appropriate notice date for a Lecturer on a one-year appointment;

- By the appropriate notice date in the final appointment year of a Lecturer on a two- or three-year term appointment.

Because non-renewal decisions made at these times are at the University’s discretion, such decisions can only be appealed on the basis that they violated laws, statutes, governmental regulations, or UNM policies. The Lecturer has the burden of proof.

Non-renewal or non-continuation decisions made at times other than those at which continuation or renewal is discretionary to the University may be appealed (see **Section B: Academic Freedom and Tenure**, sections 5.4 and 6.2 of the Faculty Handbook). These times are:

- During a contract period, if an immediate termination is imposed;
- At the end of an annual contract that does not coincide with the end of a two- or three-year term appointment.

A Lecturer may appeal an unfavorable promotion decision by the Provost or Chancellor for Health Sciences, as delineated in **Section B: Academic Freedom and Tenure**, 6.2 section 6.2 of the Faculty Handbook.

APPLICABILITY

All UNM academic faculty and administrators, including the Health Sciences Center and Branch Campuses.

DEFINITIONS

No specific definitions are required for this Policy

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

WHO SHOULD READ THIS POLICY

- Board of Regents
- Faculty
- Academic staff
- Academic deans and other executives, department chairs, directors, and managers

RELATED DOCUMENTS

Faculty Handbook

Section B: Academic Freedom and Tenure, 2.3.2, 3.4.2, and 4.10.

Policy 250, “Academic Leave”

CONTACTS

Direct any questions about this Policy to the Office of the Provost or the Office of the Chancellor for HSC.

PROCEDURES

Ad Hoc Transition Process Used for Current Lecturers—Expires June 30, 2014.

The following implementation procedures are designed as a one-time transition and apply only to Lecturers employed by UNM on the date this Procedures Document is approved and to decisions made prior to June 30, 2014. For all new hires, the promotion path will start at year one unless credit for service elsewhere has been applied (section B.4. above).

The University currently employs Lecturers who have been with their departments for varying years of service. Lecturers who have taught at institutions of higher education other than UNM may use these years of service (at the discretion of their Department Chair) to qualify for ad hoc advancement.

All existing Lecturers should initially be assigned the rank of “Lecturer” (I, II, or III). For those Lecturers who have served in their departments for five years or more, a one-time ad hoc decision for promotion to “Senior Lecturer (I, II, or III)” status can be made by the Provost or Chancellor upon the recommendation of the Department Chair and Dean, based solely upon the individual’s current employment file. If approved, the benefits detailed in Section 4 above will be applied to the Lecturer. Likewise, if a Lecturer has been employed by their department for 11 years or more, a one-time ad hoc decision for promotion to “Principal Lecturer (I, II, or III)” status can be made by the Provost or Chancellor upon the recommendation of the Department Chair and Dean, based solely upon that individual’s current employment file. If approved, the benefits detailed in Section 5 above will be applied to the Lecturer.

HISTORY

DRAFT HISTORY

September 17, 2013—Draft revised for Policy Committee Changes, awaiting Faculty Senate approval.

September 9, 2013 --Draft of revised policy awaiting approval of Policy Committee and Faculty Senate.

COMMENTS TO:
handbook@unm.edu

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