

**Faculty Senate Policy Committee  
Meeting Agenda  
Scholes Hall, Room 101  
April 2, 2014**

**Updates**

1. The following policy documents were approved by the FS Policy Committee and FS Operations Committee for distribution to the campus for a review and comment period that ends 4/14/14. To date no comments have been received.
  - A853 “Annual Reports”
  - C280 “Leave Without Pay”

**Action Items**

1. Consent Agenda Topics: None
2. Agenda Topics
  - a. C140 “Extra Compensation”—At the 1/29/14 meeting the Committee recommended that special teaching components not be treated separately, but instead be included with the other forms of compensation. The Committee also recommended that in addition to the definition of special teaching components, definitions be added for teaching overload, incentives (refer to HSC), service (indicating not eligible), teaching non-credit courses, and Extended University. pg. 1

**Information Items**

1. Research Policies—Policies were reworked to move commentary information to an accompanying memo and place the remaining information in the current policy format. These policy documents were sent to John Trotter and Walter Gerstle for review. A discussion meeting scheduled for 4/1/14 will take place with Vivian Valencia, Carol Stephens, and Walter Gerstle. After their review the proposed policy documents will be sent to the HSC Council and Center and Institute directors for review.
  - A88 “New Units and Interdisciplinary Reorganization ...”
  - AXX (A90) “Research Units ...”
  - E60 “Sponsored Research”
2. C200 “Sabbatical Leave” pg. 7
3. C205 “Annual Leave” pg. 15
4. Comments from University Policy Director, Pamina Deutsch on University Administrative Policies--proposed changes to existing policy and proposed new policy.
  - a. UAP 3780 “Sexual Harassment Policy”--significant changes proposed.
  - b. UAP Discussion Draft of a new policy “Policy on Consensual Relationships”
  - c. UAP 2710 “Education Abroad Health and Safety”
5. Information Policy Documents—View draft of proposed webpage for replacement of informational policy documents. This webpage on the Faculty Handbook website will

link to the latest UNM information that is discussed in various policy documents (somewhat out-of-date) currently residing in the Faculty Handbook Policy Section.

## 6. Future Business



## C140: Extra Compensation

Approved By: Faculty Senate

Last Updated: **Draft 3/28/14**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and Chancellor for Health Sciences

**Draft revised by C. Parker to address concerns raised in 1/29/14 Policy Committee meeting. Differences from 1/24/14 draft are shown in red.**

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

### POLICY RATIONALE

The interests of the University may be well served by having UNM faculty members conduct professional activities, **from time to time**, which are outside of their normal contractual duties and responsibilities. With approvals specified in this policy, faculty members performing such ~~activities~~ **special assignments** may receive extra compensation from the University. Prior approval of such activities for extra compensation will be contingent on the determination by the **cognizant** deans or directors that ~~the activities~~ **having the faculty member perform the additional services** are in the best interests of the University and that such activities will not replace or diminish the ability of the faculty member to fulfill his/her normal contractual responsibilities.

### POLICY STATEMENT

1. ~~Full-time~~ Faculty members, **currently under contract with the University**, 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 work done for extra compensation does not in the opinion of the approving authorities:
    - i) Conflict in time with ~~regular University~~ **the faculty member's regular contractual** duties and assignments;
    - ii) Constitute a "conflict of interest" situation for the faculty member; or
    - iii) Come within the scope of the faculty member's regular ~~responsibilities~~ **contractual duties and assignments** for which the faculty member is already compensated.

2. (summary rewrite of items policy #8 & procedures #1 from 1/24/14 draft) Deans and directors of any unit seeking to award extra compensation for special assignments should first establish, have on file, and make available for public review, guidelines describing who may receive extra compensation, for what, for how long, how much may be paid, and how the unit ensures that extra compensation is not being awarded for work that should be part of the workload required by the faculty appointment contract.

~~3. Special Teaching Components (STCs), a specific type of extra compensation. Special assignments to be performed for extra compensation must be approved in advance, in writing, by the chair of the faculty member's contract department(s), or equivalent in non-departmentalized units, and the dean or director of the college or school that houses the department(s). Approval by the Provost or the Chancellor for Health Sciences is also required.~~

4. (rewrite of item #3 from 1/24/14 draft) Special assignments for extra compensation may be approved for activities conducted outside of the faculty member's contract department(s), or the equivalent in non-departmentalized units, provided the requesting unit has established guidelines described in #2 above, and the chair or equivalent, and the dean or director of the college or school in both the requesting unit and the contractual home unit, approve the assignment in advance, in writing.

a) If a special assignment for a department or unit outside of the faculty member's contractual home department(s) includes teaching (traditionally referred to as a Special Teaching Component), the guidelines should also describe how faculty members from other academic units or departments are selected for this work, and how the compensation amount is justified (for example, size and level of class, impact on the unit's programs and overall mission of the University, etc.)

b) Assignments and responsibilities performed outside one's home department but which are required as part of one's faculty contract appointment (e.g., joint appointment or regular teaching workloads that occur within an interdisciplinary program), are considered part of faculty contract obligations and should not be regarded as requiring extra compensation.

5. The rate of extra compensation will be proposed by the head of the requesting unit and should reflect the fair market value for activities associated with the assignment. The dean or director of the requesting college or school shall set a compensation amount from a standardized payment scale, based on a daily rate, for all special assignments requiring extra compensation. The extra compensation amounts shall be consistently applied throughout the unit for similar work to ensure transparency and uphold principles of equity.

6. The total time a faculty member spends earning extra compensation may not exceed the equivalent of one workday per seven-day week during a contract period. For faculty members with nine-month contracts this is the equivalent of 39 work days, and for faculty members with twelve-month contracts this is the equivalent of 52 work days per contract period. Deans and directors are responsible for ensuring these limits are not exceeded.

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

8. Extra compensation using funds from research grants or contracts must conform to federal and state research regulations, and UNM Office of the Vice President for Research (OVPR) procedures and standards.
9. Extra compensation for special assignments shall be paid via processes and standards established by the Faculty Contracts and Services Office, or the HSC Faculty Hiring and Contracts Office, which may be amended from time to time.
10. ~~Every year~~ **Annually**, the Provost and Chancellor of Health Sciences will issue a publicly available report describing all faculty extra compensation paid during the previous fiscal year.

#### **Compliance**

~~Intentional failure to comply with the provisions of this policy will be considered a violation of UNM 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."~~

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## APPLICABILITY

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

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.

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## DEFINITIONS

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**Special Teaching Component:** Extra compensation for teaching outside the faculty member's contract department(s), above and beyond the faculty member's regular contractual teaching responsibilities. An STC may not be awarded for teaching done outside faculty member's contract department(s) that is required as part of the base contract salary, for example, teaching required by the appointment contract in interdisciplinary programs or by virtue of joint appointments.

**NOTE: The Committee discussed including definitions for the following terms with an indication as to whether they do or do not qualify for extra compensation. If the Committee wants to include definitions for any of the following, they will need to be developed.**

**Teaching Overload.**

**Incentives.**

**Service. Indicate does not qualify**

**Extended University.**

**Non-credit instruction.**

**Warning, censure, suspension without pay, and dismissal:** Defined in **Policy C07 “Faculty Disciplinary Policy.”**

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## WHO SHOULD READ THIS POLICY

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

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## RELATED DOCUMENTS

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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 Component”

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,”

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## CONTACTS

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

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## PROCEDURES

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***NOTE: Procedures section of 1/24/14 draft has been totally rewritten in more general terms to replace specific focus on Special Teaching Components.***

1. Extra compensation payments should be made via the non-standard payment process outlined in **UAP 2615** “Non-Standard Payment Processing, Sec. 1, Extra Compensation.”
2. Extra compensation approvals should specify clear terms, including start and end dates, and total compensation. Attach or submit the written approval when requesting payment processing.
3. Extra compensation payments should not be added to a faculty appointment contract; these special assignments are not intended to be recurring and may not be for work that is already part of the faculty member’s appointment contract workload.

4. If special assignments become long term or recurring then workload adjustments and/or faculty contract base salary adjustments are more appropriate than continued reliance on extra compensation mechanisms.
5. Special Administrative Compensation (SACs) should not be paid as extra compensation; SACs are incorporated into the faculty contract. Refer to C180 “Special Administrative Component” for more information.
6. If using restricted funds from contracts or grants for extra compensation payments, follow additional OVPR Extra Compensation Guidelines and submit OVPR Restricted Funds request forms.
7. Deans and directors are responsible for monitoring and enforcing policy and procedural compliance for all types of extra compensation. These responsibilities include maintenance of records and supporting documentation and guidelines related to the approvals of special assignments and payment of extra compensation.

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## HISTORY

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**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

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## DRAFT HISTORY

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March 29, 2014—Draft revised by C. Parker to address concerns raised in 1/29/14 Policy Committee meeting.

January 22, 2014—Draft revised to address issues raised in review of the Provost Office Draft.

January 21, 2014—Draft revised to reflect further input from the Office of the Provost, HSC Vice Chancellor, and Interim Director of FCSO/OEO

November 4, 2013—Draft revised to reflect input from the 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](mailto:handbook@unm.edu)

[FACULTY HANDBOOK HOME](#)

[TABLE OF CONTENTS](#)

[TABLE OF POLICIES](#)

[UNM HOME](#)

## C200: Sabbatical Leave



### *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; approved by Faculty on 4/3/04 and 5/14/04)*

1. The principle of sabbatical leave has been approved by the Faculty and the Regents of the University as a basic policy. Faculty who qualify have the right to apply for sabbatical leave. ~~Its main purpose is to encourage professional growth and increased competence among faculty members by subsidizing significant research, creative work, or some other program of study that is judged to be of equivalent value.~~ The faculty member will use the sabbatical assignment in a manner that will enhance his/her scholarly and/or teaching competence and potential for service to the University. A sabbatical is a privilege granted by the University for the advancement of the University, subject to the availability of resources. A sabbatical is an important tool in developing academic scholarship and is time for concentrated professional development. (UofCo)
2. The University prizes an inclusive view of scholarship with the recognition that knowledge is acquired and advanced through research, synthesis,

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practice, and teaching. Given this philosophy, sabbatical leaves may be granted to further any of the following objectives: research and publication, teaching improvement (including the creation of teaching materials such as new textbooks, software, multimedia materials or case books), intensive public service clearly related to the applicants expertise and integration and interpretation of existing knowledge into larger interdisciplinary frameworks.

(UoAz)

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23. The plan provides There are several options of sabbatical leave for service in the University under certain conditions enumerated below. It is understood, however, that such leave will not be granted automatically upon the expiration of the necessary period of service. Rather, the faculty member shall present, as part of the application, evidence of recent sound research, creative activity, or other academic achievement, including publications, to support the program of work which is planned for the sabbatical period. Also, this program shall give reasonable promise of accomplishing the major purpose of the leave, cited in item (1) above. ~~Sabbatical leave will not be granted to subsidize graduate work or work on advanced degrees.~~

3. Sabbatical leaves will be approved only with the clear understanding that the faculty member will at the completion of the sabbatical return to the University for a period of service at least ~~as long as~~ equal to the duration of the leave. If an employee does not return, the case will be reviewed by the Provost. The employee may be required to refund all compensation received from the University during the sabbatical. (UoAz) If the faculty member terminates his/her connection with the University within one year after the expiration of the sabbatical, the individual shall refund the sabbatical remuneration to the University on a prorated basis, except in in exceptional circumstances, including permanent disability or death, wherein neither the individual or the heirs shall be obligated to refund any part of the amount paid while on sabbatical. (UoCo)

4. ~~One semester leaves ordinarily shall be taken in Semester II when loads and enrollments are lighter.~~

5. As a general rule, the regular faculty members of the department concerned will be expected to absorb the teaching load of the individual on leave, and the departmental chairperson (or the dean in non-departmentalized colleges) shall present with each recommendation for sabbatical a statement of the planning in this regard. A department may, for example, decide to alternate courses or to cancel certain offerings. Further, it is expected that the department shall prepare its program over a period of years so that essential courses need not be neglected because of the temporary absence of a member of the staff. Is this really necessary?

6. To avoid adverse effects on the educational objectives of individual departments, the administration finds it necessary to place a practicable limit on the number of sabbatical leaves granted in any one department for any one semester or academic year (see footnote #1 below). Sabbatical leaves will be granted according to the following criteria:

(a) Normally the number of concurrent sabbatical leaves in any one department\* shall not exceed one-seventh (1/7) of the tenured members of the department (rounded to the next higher whole number) or one-tenth (1/10) of the budgeted FTE faculty members (rounded to the next higher whole number), whichever is larger.

(b) The number of concurrent sabbatical leaves in any department\* may be held below the maximum permitted in paragraph 6(a) if in the judgment of the chairperson, dean, and Deputy Provost such restriction is necessary in order that the program of the department\* not be adversely affected. The sabbatical leave request for any qualified faculty member may not be denied more than twice for this reason.

(c) The number of concurrent sabbatical leaves in any department\* may exceed the normal maximum only if in the judgment of the Provost/Vice President for Health Sciences (VPHS) extraordinary circumstances warrant it.   

(d) Recognizing that small departments\* often are penalized by their inability to absorb the academic loads of faculty on leave, the administration will establish a mechanism to permit appointment of temporary or part-time faculty in departments\* with seven (7) or fewer faculty FTE at such times as members of the departments\* may be granted sabbatical leave. Is this necessary as it seems to be a guide for Chairs and Deans etc?

~~7. Other conditions having been fulfilled, it is general practice that requests for leave be considered on the basis of length of service. Now point 8~~

~~87.~~ Approval of Application: Primary responsibility for determining the merit of a proposed program from the point of view of the validity of the program and the probable value of the program to the faculty member and to the University lies in the department and should be accomplished by the Chair or a departmental committee appointed for the purpose who may make a recommendation to the Chair. The departmental chairperson shall forward to the dean ~~the departmental evaluation together with the chair's/his/her~~ recommendation along with the committee evaluation if applicable and a statement as to how the teaching obligations of the department will be achieved in the event the proposal is approved. The dean with the advice of a college-wide faculty committee, shall then evaluate the proposal both on its merits and on its effect on the operation of the college. The dean shall then send the departmental and college recommendations to the Deputy Provost/HS equivalent so that the original and one copy of the proposal together with all recommendations shall reach that office by February 1 for a leave commencing in Semester I of that year and by October 1 for a leave commencing in Semester II of the following year. The Provost/VPHS shall

verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed.

The Deputy Provost/HS equivalent shall then forward all materials to the Provost/VPHS who shall in turn forward them to the President with an evaluation of the proposed leave from a university-wide point of view. The President makes the final decision.

8. If a faculty member on sabbatical finds it necessary to alter substantially the work plan or objectives of the sabbatical project, he/she must inform the departmental chair/dean in writing as soon as possible of the reasons for the proposed change and secure their written approval for the revised plan. (UoCo)

9. Other conditions having been fulfilled, it is general practice that requests for leave be considered on the basis of the quality of the sabbatical plan to be decided by the departmental chair or an evaluation committee appointed by the chair.

910. Appeal: If at any stage of the approval process, the applicant believes that his or her proposal has not been considered properly according to the provisions of this Policy, that matters of academic freedom are involved, that improper considerations have entered into a negative decision, or that other demonstrable conditions prevented a fair and impartial evaluation, he or she may appeal to the Committee on Academic Freedom and Tenure for a review of the matter. ~~If the applicant succeeds in making a prima facie case in the opinion of the Committee at one of its meetings, a five member panel shall be designated to conduct a formal hearing on the matter on the basis of the grounds enumerated above and following the provisions of Sections 6.2 of the Policy on Academic Freedom and Tenure. The panel shall deliver its findings together with its recommendation to the Provost/VPHS for~~

~~forwarding to the President.~~

10. Sabbatical leave is available under the following four options (see footnote #2 below) to any faculty member with tenure or to any faculty member in the last year of the probationary period for whom a favorable decision has been reached with regard to tenure. Those options should be discussed with the departmental chairperson, and the application should indicate the option desired. After any period of at least three years of full-time service at the University of New Mexico.

1. One semester at 2/3 salary for that semester.

*After any period of at least six years of full-time service (or equivalent part-time service) at the University of New Mexico without a sabbatical:*

2. One semester at no reduction in annual salary.

3. One full academic year at 2/3 salary.

4. Semester II of one year and Semester I of the following year, at 2/3 salary for each semester of leave. Is full remuneration possible?

A faculty member receiving a reduced salary during his/her sabbatical period may supplement his/her salary from grants, fellowships, employment or grants-in-aid or other sources of external funding provided that the total stipend for the period does not exceed that of the regular academic salary. These external sources may also be used to cover special expenses such as travel, secretarial assistance, tuition, research or publication. Any such additional compensation is to be explained on the application form and may not unduly interfere with the objectives of the sabbatical. (UoAz & UoCo)

11. If an applicant withdraws his/her application after it has been approved,

every effort will be made in department planning to approve the sabbatical for the following year. However, such approval cannot be guaranteed, and the period of the delay does not count towards the next sabbatical. (UoAz)

~~11~~12. See item 2 under Statement of Policy Concerning Leaves Without Pay for length of sabbatical or combination of sabbatical and leave without pay.

~~12~~13. Time toward each new sabbatical begins immediately after return to full-time service regardless of the semester of return.

~~13~~14. Sabbatical leave is counted toward retirement. While a person is on sabbatical leave, the University will continue to pay its share toward retirement, group insurance, and Social Security benefits.

~~14~~15. Upon returning to the University, every faculty member granted a sabbatical leave shall submit promptly to the Deputy Provost, with copies to department chairperson and dean, a full report of the research, creative work, publications, or other results of the period of leave. The report submitted to the Deputy Provost shall be deposited in the faculty member's personnel file.

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See the [Faculty Contracts Sabbatical Leave Form](#).

\*programs, colleges or non-departmentalized schools.

1. In addition, those faculty members who receive all or part of their salaries directly from agencies outside the University will be granted sabbatical privilege with salary guaranteed only to the extent of UNM funding of the previous year, or 2/3 of that amount as appropriate; full funding is possible only when funds are available within the UNM budget.

2. When a faculty member is employed on a continuing basis on a 12-month contract, sabbatical leave options can be translated from "semester" to "6-month period" and from "academic year" to "12-month period." Faculty members on 12-month contracts may not accrue annual leave while on sabbatical leave.

## Examples of Salient Academic Leave Policy Components at Peer Institutions

### Arizona State University

- Accrual with 0.5FTE or greater for continuous period of 6 months
- 1.0 FTE accrual rate of 22 days/year (0.5 credited based on percentage of time worked)
- Total yearly accrual not to exceed 1 ½ times the maximum number of days that can be accrued by an employee in a given year
- Vacation leave continues to accrue while faculty with fiscal year appointments are on other paid leave

### New Mexico State University

- Regular, full time earn 22 days per year and time prorated for regular part time employees
- May accrue up to 52 working days, but only 30 carried forward each fiscal year

### University of Colorado (Denver)

- Eligible faculty receive 22 days per year
- 9 month contracts with sick leave only

### University of Utah

- 12 month faculty (prorated if necessary for FTE) accrue 25 days per year