

**Faculty Senate Policy Committee
Meeting Agenda
Scholes Hall Room 101, June 4, 2014**

Updates

1. The following policy documents were approved by the Faculty Senate on April 22, 2014.
 - A83 “Annual Reports”
 - C280 “Leave Without Pay”; Approved by Board of Regents on May 9, 2014
2. Report of 2013-14 Policy Committee work. pg. 1

Action Items

1. Consent Agenda Topics: None

2. Agenda Topics

2 (a) Research Policies—Policies were reworked and drafts approved by Walter Gerstle for review by HSC Council and Center and Institute Directors. HSC has requested they be exempted from policy, with a discussion meeting scheduled for 4/1/14. 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 ...” pg. 4
- A91 “Centers and Institutes ...” pg. 9
- E60 “Sponsored Research” pg. 15

2(b) Review Policy Committee Work Status Table and determine action plan

- C20 “Employment of UNM Graduates”
- C50 “Faculty Contracts”
- C170 “Endowed Chairs and Names Professorships”
- C190 “Lecturer Annual and Promotion Reviews”
- C200 “Sabbatical Leave” pg. 19
- C205 “Annual Leave” pg. 27
- C210 “Sick Leave”

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Handbook website will link to the latest UNM information that is discussed in various policy documents (somewhat out-of-date) currently residing in the Faculty Handbook Policy Section.

2013-2014 Fiscal Year Report Faculty Policies

This fiscal year the Faculty Senate Policy Committee and the Office of the University Secretary have:

- enhanced the *Faculty Handbook* website,
- completed work on four new policies and five revised policies, and
- are developing drafts for one new policy and nine revised policies.

Faculty Handbook Website Enhancements:

The *Faculty Handbook* Website was enhanced to provide a more effective look and feel for the user, including a review and comment section for proposed policies. In addition, an administrative section was added to provide the Policy Committee and the Operations Committee with comprehensive information on policy development, the current status of policy drafts, and a history and explanation of proposed changes.

- **Faculty Review and Comment Process:** In accordance with newly approved Policy A53 “Development and Approval of Faculty Policies,” a robust faculty review and comment process has been developed which is conducted using the *Faculty Handbook* website.
- **Policy Committee Work Status Table:** This table has been added to the administrative section of the website to allow members of the Policy Committee and Operations Committee to track status of policy work. OUS updates this table weekly and includes applicable links to assist committee members.

Completed Work:

A53 “Development and Approval of Faculty Policies” Developed a policy that describes the development and review process for proposed policies and proposed changes to existing policies. Includes a policy structure that allows for policy level portions to be changed with approval of the Faculty Senate or University faculty, if applicable, but also allows for a streamlined approval process for procedural and information oriented sections of the policy to allow for timely updating to reflect new practices and/or information. Approved by the Faculty Senate 8/27/13.

A61.7 “Curricula Committee” Incorporated procedures approved by the Faculty Senate. Posted to Faculty Handbook 2/26/14.

A61.15 “Research Allocations Committee” Revised policy to increase the number of members from 10 to 12 and add development protocol for procedures. Approved by the Faculty Senate 4/22/14.

A83 “Annual Reports” Revised policy to place report responsibility with the Provost, HSC Chancellor, and the EVP for Administration. Incorporates reporting flexibility to reduce redundant reports. Approved by the Faculty Senate 4/22/14.

C09 “Respectful Campus” Updated procedures to reflect lessons learned in an HSC investigation of complaints of faculty bullying. Changes provide for the ability to report complaints using the UNM Hotline, guidance for ensuring an objective, unbiased investigation, investigative reporting requirements designed to inform the parties of the complaint while maintaining confidentiality, and alignment of appeals process with C07 "Faculty Disciplinary Policy." Approved by the Faculty Senate 2/4/14.

C170 “Endowed Chairs and Named Professorships” Developed a new faculty policy designed to ensure the highest academic standards are adhered to in the selection and appointment of faculty to endowed chairs and named professorships. Approved by the Faculty Senate 11/26/13.

C180 “Special Administrative Component” Developed a new faculty policy that describes approval requirements for SACs and provides guidelines governing the creation and administration of SACs. Policy requested by the UNM Board of Regents’ Audit Committee. Approved by the Faculty Senate 8/27/13.

C190 “Lecturer Annual and Promotion Reviews” Developed a new faculty policy that 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. Approved by the Faculty Senate 11/26/13.

C280 “Leave Without Pay” Revised policy to allow leave without pay for part-time and full-time faculty members. Also clarified faculty member responsibilities pertaining to continuation of health insurance while on leave without pay. Approved by the Faculty Senate 4/22/14.

Policies Under Review:

Research Related Policies: The Faculty Senate Research Policy Committee has proposed revisions to policies A88 and E60 and proposes the creation of a new policy pertaining to centers and institutes. The Policy Committee has worked with the Chair of the Research Policy Committee to incorporate these proposals in the new policy formats. These Policy Committee has sent the proposed policies to the HSC Council and center and institute directors for review.

A88 “Creation, Review, Reorganization, and Termination of UNM Academic Units”
Revise policy to place in new format and update positions titles.

A91 “Creation, Review, Reorganization, and Termination of UNM Centers and Institutes” Create a new policy that defines how centers and institutes are created, organized, maintained, and terminated.

E60 “Sponsored Research” Revise policy to clarify roles of administration and update for position titles.

Section B Faculty Titles: The Policy Committee is working with the Provost Office and AF&T to review faculty titles, with initial emphasis on Professor of Practice. The OUS will assist AF&T on revising the AF&T policy to reflect recommended changes.

C20 “Employment of UNM Graduates”: This policy has not been revised since 1951, so the Committee is conducting a Comprehensive review to address recent issues pertaining to diversity and recruitment & NM Minority Doctoral Loan-for Service Program. The Committee will work with stakeholders such as Diversity Council, COE, and Provost and take into consideration 10-year diversity and recruitment plans.

C50 “Faculty Contracts”: This policy is being updated to reflect current practices. In addition, Policy C205 “Annual Leave” policy is being updated to be more comprehensive. In conjunction with issuance of the revised Policy C205, the revision of Policy C50 will remove portions moved to the “Annual Leave” policy.

C140 “Extra Compensation”: This policy is being revised in response to a request from the Regents’ Audit Committee to provide more comprehensive procedures for approval and payment of extra compensation.

C200 “Sabbatical Leave”: This policy needs to be updated to reflect current practices.

C205 “Annual Leave”: This policy is being updated to be more comprehensive.

C210 “Sick Leave”: This policy is being updated to be more comprehensive and reflect current practices.

A88: Creation, Review, Reorganization, and Termination of UNM Academic Units

Approved By: Faculty Senate

Last Updated: **Draft 4/10/14**

Responsible Faculty Committee: Research Policy and Operations Committees

Office Responsible for Administration: Provost and HSC Chancellor

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

POLICY RATIONALE

From time to time it is necessary for UNM to consider proposals for the creation of new academic units, or for major restructuring of existing academic units, primarily involving teaching functions, including those crossing disciplinary lines.

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 the administration of proposals for creation of new academic units. This policy and the associated procedures attempt to lay out procedures for such major changes and additions.

A proposal for such major changes shall follow the policies and procedures 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 or HSC Chancellor and the Faculty Senate Operations Committee.

POLICY STATEMENT

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 or HSC Chancellor 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.

All proposals to create, maintain, re-organize, or terminate academic units shall follow the policies and procedures described herein. These include the detailed procedures for consideration and approval referred to herein, and established by representatives of the Provost or the HSC Chancellor and the Faculty Senate Operations Committee in consultation with relevant academic unit heads (e.g., dean's, directors, chairs).

APPLICABILITY

All academic units including those within 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 Committee and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

DEFINITIONS

Major changes. Merger of two or more academic units, or division or dissolution of an academic unit. This policy is not meant to apply to organizational changes within an integral academic unit with no implications outside that academic unit.

Academic unit. Designates a department, division, branch, program, school, or college. In this context, the structural program is of interest.

WHO SHOULD READ THIS POLICY

- Academic deans or other executives, department chairs, directors, and managers
- Administrative staff responsible for academic units.

RELATED DOCUMENTS

Faculty Handbook:

[Policy A91](#) "Creation, Review, Reorganization, and Termination of UNM Centers and Institutes"

UNM Board of Regents' Policy Manual:

[Policy 5.1](#) "The Faculty's Role in the University's Academic Mission"

CONTACTS

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

PROCEDURES

Those proposing new or revised academic units, other than centers or institutes, must prepare a proposal 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 UNM President, Provost, or HSC Chancellor.

The following is an outline of procedures 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 procedures are not complete. In such a case, the proposer shall seek advice from the Provost or HSC Chancellor 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 UNM 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 academic 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 academic 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?

D. Describe the academic unit's service activities.

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

E. 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?

F. 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.

HISTORY

October 11, 1994—Approved by Faculty Senate

DRAFT HISTORY

April 10, 2014 – Revised wording with FSRPC Chair's approval

April 1, 2014—Revised after meeting with W. Gerstle, Chair of Research Policy Committee.

March 12, 2014—Reformatted for review by HSC Council and Center and Institute Directors.

March 5, 2014—Chair of FSRPC presented draft to Faculty Senate Policy Committee (FSPC) for review.

September 25, 2013--Draft developed by the Faculty Senate Research Policy Committee (FSRPC).

A91: Creation, Review, Reorganization, and Termination of UNM Centers and Institutes

Approved By: Faculty Senate

Last Updated: **Draft 4/10/14**

Responsible Faculty Committee: Research Policy Committee

Office Responsible for Administration: Vice President for Research and HSC Vice Chancellor for Research

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

POLICY RATIONALE

Centers and institutes play an inevitable, integral, and increasing role in modern research universities. These roles stem from two facts: First, cutting edge research in most academic disciplines is increasingly multidisciplinary and interdisciplinary in nature. Second, Research centers and institutes encourage thematically focused but synergistic collaborations that go beyond those that occur in traditional academic departments. This enhances both the intellectual impact of the activities as well as extramural funding opportunities.

POLICY STATEMENT

Ten principles serve as the foundation for this Policy on centers and institutes:

1. UNM is, and should remain, a flagship research university.
2. UNM should actively foster and encourage the creation, development, evolution, sustainability, and termination of all centers and institutes.
3. There should be clear and consistent rules, conditions, and procedures for the formation, operation, evaluation, sustainability, and termination of all centers and institutes.
4. There should be demonstrable value added by the creation and continuation of all centers and institutes. That is, it is incumbent upon those wishing to create or continue a center or institute to demonstrate that its stipulated objectives cannot be effectively accomplished within existing UNM structures, and these objectives should clearly be in concert with UNM's fundamental mission of education, research, and service.
5. Centers and institutes should be eligible for all available sources of funding, including I&G (instruction and general), extramural grants and contracts, F&A (facilities and administrative), gifts, donations, and endowments.

6. All centers and institutes should be completely transparent in both their sources of funding and their use of funds.
7. Depending upon their scope and range of academic units involved, there should be different levels or categories of centers and institutes.
8. To facilitate the integration of centers and institutes into the mission of the most relevant academic units, they should be managed at the most local administrative level.
9. Regardless of category, there should be consistency across centers and institutes in terms of the rules, operating procedures, and reporting and evaluation mechanisms that govern centers and institutes. This acknowledges that centers and institutes will vary with respect to focus, objectives, and outcomes, but the rules and procedures that govern their creation, operation, and continuation should be consistent.
10. UNM should encourage and provide incentives for the formation of collaborative, multidisciplinary centers and institutes through its budgeting, hiring priorities and strategic planning, including capital projects.

All proposals to create, maintain, re-organize, or terminate centers and institutes shall follow the policies and procedures described herein, established by representatives of the Provost or the Chancellor of the HSC and the Faculty Senate Operations Committee in consultation with relevant unit heads (e.g., deans, directors, chairs).

APPLICABILITY

All UNM units, including the Health Sciences Center (HSC) and Branch Campuses.

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Research Policy Committee, Policy Committee, and Operations Committee.

DEFINITIONS

Major actions: a merger of two or more centers or institutes, a division or dissolution of a center or institute, or a change in the basic mission of a center or institute.

WHO SHOULD READ THIS POLICY

- Directors of Centers and Institutes.
- Academic deans or other executives, department chairs, directors, and managers responsible for Centers and Institutes.
- Administrative staff responsible for Centers and Institutes.

RELATED DOCUMENTS

Faculty Handbook:

[Policy A61.16](#) “Research Policy Committee”

[Policy A88](#) “Creation, Review, Reorganization, and Termination of UNM Academic Units”

[Policy E60](#) “Sponsored Research”

UNM Board of Regents’ Policy Manual:

[Policy 5.9](#) “Sponsored Research”

University Administrative Policies and Procedures Manual:

[Policy 2425](#) “Recovery of Facilities and Administration Costs”

CONTACTS

Direct any questions about this policy to Office of the Vice President for Research, the HSC Office of the Vice Chancellor for Research, or the Faculty Senate Research Policy Committee.

PROCEDURES

Center and Institute Organization. With the goal of centers and institutes to facilitate faculty activities beyond that which can be achieved in departments alone, it is critical that centers and institutes be formed at the level within the institutional hierarchy that best supports this aim. The organizational structure that describes this goal is outlined below.

Category I. Category I centers and institutes exist within departments, with directors reporting to the relevant department chair. These centers and institutes are appropriate in cases where the majority of affiliated faculty and the scope of activities both generally lie within the confines of a traditional academic department, yet the creation of a Category I center or institute would expand and enhance opportunities beyond those possible by relying on the traditional existing department infrastructure alone.

Category II. Category II centers and institutes exist within colleges, but outside of the traditional department framework, with directors reporting to the dean. These centers and institutes are appropriate in cases where the majority of affiliated faculty and the scope of activities span more than one department, but mostly remain within the confines of a single college or school. Category II centers and institutes should expand and enhance opportunities beyond those possible by relying on Category I centers and institutes or the traditional department and college/school infrastructure.

Category III. Category III centers and institutes exist alongside colleges or schools, with directors reporting to a higher-level administrator, such as the Provost, HSC Chancellor, Vice President for Research, or HSC Vice Chancellor for Research. These centers and institutes are appropriate in cases where the majority of the affiliated faculty and the scope of activities span more than one college or school. Category III centers and institutes should expand and

enhance opportunities beyond those possible by relying on Category I or II centers and institutes, or the traditional department and college/school infrastructure.

Contract-focused Centers and Institutes. There are several centers and institutes existing across campus that, while critical to supporting UNM’s core mission of teaching, research, and service, operate outside the realm of what is considered “typical” of a university research center or institute. These centers and institutes (such as the Institute for Applied Research Services or the Earth Data Analysis Center) make critical contributions to UNM’s core mission, but receive a majority of their funding in the form of contracts rather than grants, and a majority of their activities are sponsored by non-federal agencies (such as state agencies, private companies and foundations). While this policy applies to all of UNM’s centers and institutes, it is recognized that representatives from these organizations should work with the Provost, the HSC Chancellor, the Vice President for Research (OVPR), or the HSC Vice Chancellor for Research to develop procedures and guidelines specific to the operation of contract-focused centers and institutes.

The Life Cycle of a Center or Institute

Centers and institutes have three conceptual phases in their life cycle: the proposal phase, the operational phase, and the termination/reinvention phase (see descriptions below). Major actions during each of these stages require approval of the UNM Faculty Senate and the Provost or HSC Chancellor prior to initiation of the action. This approval is necessary for centers and institutes located on or off the UNM Albuquerque campus, including new branches and education centers. This policy is not meant to apply organizational changes within a center or institute carrying no implications outside that center or institute.

Proposal Phase. The life cycle of a center or institute begins with the proposal phase, during which faculty, staff, and administrators must work together to build a strong case for UNM to invest in a center or institute. UNM administration should be provided evidence of the intellectual value of the center or institute beyond that which can be achieved within the departmental or college structure. The proposal should highlight opportunities for attracting sustainable outside funding, for collaboration among faculty from disparate units, for advancing knowledge or technology, and for support of graduate student education.

The proposal shall clearly identify the scope of the center or institute; in particular which academic units will be contributing resources, including faculty time, staff, facilities and funds. Proposals to fund centers or institutes should acknowledge, and reflect, the sources contributing resources. Commitments from each source should be delineated over time, for finite or recurring terms. The proposal should have funding plans for the short (e.g., one to five years) and the long (e.g., decades) terms. These plans should include funding sources (i.e. research grants, F&A return, and I&G funds), as well as plans for expenditures. It is expected that initial or start-up funds will come from the administrative levels at or above the level at which the center or institute is created. Proposals should identify the administrative structure, particularly the roles of faculty and the director, who will be a faculty member at UNM.

Proposals to establish centers and institutes should be reviewed by the following:

- Category I centers and institutes level will be reviewed by a committee made up of department faculty.
- Category II centers and institutes will be reviewed by a committee of faculty from across the college or school.
- Category III centers and institutes will have proposals reviewed by a committee with faculty from across the University.

The recommendations of these committees shall be used by the Faculty Senate Research Policy Committee who will make the final recommendation to appropriate UNM administrators.

Operational Phase. Once established, all resources for a center or institute shall be defined, including building space, equipment, staff, faculty appointments, and effort shares. Centers and institutes shall have an advisory committee formed by faculty or staff deemed appropriate to the mission of the center or institute. Advisory committees shall review the operations of the center or institute, including the annual budget, the annual report and selection of the director. Members of the advisory committee shall be outside faculty or staff members who do not have a personal stake in the operation of the center or institute.

Initially the director will usually be the principal investigator (PI) of the research grant establishing the center or institute; however the director could also be chosen from a group of potential candidates. The director is appointed by the administrator appropriate to the center's or institute's category, and the conditions of the appointment and the term of service, including options for renewal, shall be clearly stated in the appointment letter. Initial terms will normally coincide with the logical term of the establishing grant, or four years in the absence of such a condition.

As a broad guideline, being the director of a center or institute shall be seen as part of a faculty member's workload. Only if the faculty member's center or institute load increases beyond that considered standard or normal in the home department shall the faculty member's teaching and service load be reduced. However, within college and department guidelines, the faculty member may use grant money to partially release teaching responsibilities.

Directors shall be evaluated regularly by a representative group of people. Evaluations shall be "360-degree" processes involving center or institute faculty, staff and students, as well as any constituencies of the center or institute, particularly if the center or institute is involved in teaching or providing services beyond the UNM community. Those familiar with the nature and level of activities being conducted shall evaluate the activities of a center or institute. The review shall occur on a regular basis, and at least once every five years. Guidance for the review is drawn from the proposal for the center or institute and must include criteria for evaluation of the center or institute vitality, achievement of goals, resource allocations, and budgets.

Termination/Reinvention Phase. The regular review processes shall reveal when a center or institute is experiencing difficulty in managing resources or achieving its expressed goals. Although the director, advisory committee, and other unit administrators shall be expected to take action to support and revive the center or institute, they are also responsible for terminating or “sunsetting” the center or institute, as well as redirecting the resources to other areas of UNM when necessary. The reinvention and redirection of center or institute activities shall be completed via a process similar to that for creating a new center or institute.

Proposals to terminate a center or institute may be initiated by faculty or administrators, but shall be reviewed by a committee of faculty members; the recommendations provided by this committee shall then be reviewed at the appropriate administrative level, dependent on the category of the center or institute.

- Category I centers or institutes shall be reviewed by a committee of department faculty.
- Category II centers or institutes shall be reviewed by a committee of faculty from across the college.
- Category III centers or institutes shall have proposals reviewed by the Faculty Senate Research Policy Committee.

The current procedures shall be made accessible on the website maintained by the Office of the Vice President for Research (OVPR) or the Office of the HSC Vice Chancellor for Research. The posted procedures shall also clearly reference and provide access to any other documents relevant to the formation, maintenance, or termination of a center or institute. Finally, this website shall also contain an annually updated list of all centers and institutes governed by the Provost and Chancellor of the HSC and a summary of the most recent review for each center or institute.

HISTORY

No history because a new policy is being proposed.

DRAFT HISTORY

April 10, 2014 – Revised wording with FSRPC Chair’s approval

March 5, 2014—Chair of FSRPC presented draft to Faculty Senate Policy Committee (FSPC) for review.

September 25, 2013--Draft developed by the Faculty Senate Research Policy Committee (FSRPC).

COMMENTS TO:
handbook@unm.edu

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E60: Sponsored Research

Approved By: Faculty Senate

Last Updated: **Draft 4/10/14**

Responsible Faculty Committee: Research Policy Committee

Office Responsible for Administration: Vice President for Research and HSC Vice Chancellor for Research

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

POLICY RATIONALE

It is the policy of the University of New Mexico (UNM) to encourage faculty members to participate in research sponsored by outside agencies when such research is consistent with the basic aims of UNM in regard to the education of students, the extension of knowledge, and the broadening of man's horizon in the sciences, engineering, arts, and humanities. To ensure the most effective administration of UNM's sponsored research, this policy document provides policies and procedures for the submission of proposals, approval of research contracts and grants, budgeting of facilities and administrative (F&A) expenditures, and reporting of actual F&A expenditures.

POLICY STATEMENT

1. The Vice President for Research (VPR) has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all main-campus and branch-campus research proposals submitted to outside agencies. The Vice Chancellor for Research, (VCR), Health Sciences Center (HSC) has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all HSC research proposals submitted to outside agencies. The VPR and VCR-HSC have also been designated the approval authority for any modifications to awards, in response to research proposals.

Final authority for accepting and signing research contracts and grants is vested in the President of UNM, and has been delegated as indicated in [UAP Policy 2010](#), "Contracts Signature Authority and Review," University Administrative Policies and Procedures Manual.

2. On an annual basis the Executive Vice President for Academic Affairs/Provost shall consult with the Research Council of the UNM Faculty Senate, the VPR, and other interested parties to discuss research priorities of, and adjustments to the F&A distribution algorithm for main-campus and branch-campus sponsored research. These discussions shall reflect input articulated to the Faculty Senate by its various committees and individual faculty members involved in sponsored research.

Similarly, on an annual basis, the HSC Chancellor shall consult with the Research Council of the UNM Faculty Senate, the VCR, and other interested parties to discuss research priorities of, and adjustments to, the F&A distribution for HSC-sponsored research.

3. A person whose salary is paid in full by UNM may not engage in sponsored research for extra remuneration during the regular academic year. In rare instances and when deemed by the administration to be in the best interests of UNM and the individual involved, exceptions to this rule may be made. Such exceptions require written approval of the chairperson, the dean, and the Executive Vice President for Academic Affairs/Provost for main-campus and branch-campus sponsored research, and the HSC Chancellor for HSC sponsored research.

APPLICABILITY

All academic and research UNM 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 Research Policy Committee, Policy Committee, and Operations Committee.
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DEFINITIONS

Facilities and Administrative (F&A) Expenditures. F&A expenditures reflect costs associated with providing and maintaining the infrastructure that supports the research enterprise (buildings and their maintenance, libraries, etc.) and which cannot easily be identified with a specific project. F&A expenditures are calculated using rates determined in conjunction with auditors from the U.S. Department of Health and Human Services. The applicable rate is calculated and charged as a percentage of modified total direct costs (MTDC).

Sponsored Research: Sponsored research shall be construed to include sponsored research, service, and training projects, and other categories of awards for all except basic capital construction and maintenance projects.

WHO SHOULD READ THIS POLICY

- Faculty and staff conducting sponsored research
- Members of the Faculty Senate and the Research Policy Committee
- Academic deans or other executives, department chairs, directors, and managers
- Administrative staff responsible for sponsored research management.

RELATED DOCUMENTS

UNM Regents' Policy Manual, [Policy 5.9](#) "Sponsored Research"
University Administrative Policies and Procedures Manual
[Policy 2010](#) "Contracts Signature Authority and Review,"

CONTACTS

Direct any questions about this policy to Office of the Vice President for Research or the HSC Office of the Vice Chancellor for Research.

PROCEDURES

1. Faculty shall follow procedures for proposal preparation and submission as outlined, from time to time, in the procedures promulgated by the Office of the VPR, for main-campus and branch-campus sponsored research, and the VCR-HSC for HSC sponsored research.

1a. Faculty Research Support Services (FRSS), under the direction of the VPR, provides assistance to non-HSC faculty and staff by:

- Finding funding sources matching research interests and project development.
- Developing and preparing proposals (including budget).
- Navigating UNM's proposal process.
- Planning, coordinating, and supporting large and complex proposal efforts requiring numerous partnerships and multidisciplinary collaborations.

FRSS also acts as liaison between the sponsor agency and the faculty when requested to do so.

1b. The Office of the VCR- HSC provides services similar to those described in 1a above to HSC faculty and staff.

2. The office of the VPR will coordinate closely with the main-campus and branch-campus principal investigators and appropriate members of the Contract and Grant Accounting Office to ensure that the prior approval function, of modifying grant and contract budgets in force, is in accordance with the regulations of the sponsoring agencies or foundations. Similarly the office of the VCR-HSC will coordinate closely with the principal investigators and appropriate members of the HSC sponsored research management teams to ensure that the prior approval function, of modifying grant and contracts budgets in force, is in accordance with the regulations of the sponsoring agencies or foundations.

3. In consultation with the Provost, the OVPR, and the Faculty Senate, a formula (or algorithm) for the distribution of the main campus and branch campus F&A funds to units, centers, institutes, and individual faculty members shall be developed by the OVPR and posted on the OVPR's website on an annual basis for main-campus and branch-campus sponsored research. The annual budget shall also be posted on the OVPR's website. The budget format, from year to year, shall remain as constant as possible, and include the following information for each budget item: amount, recipient, and reason for expenditure or distribution. The history of these allocation formulas and budgets shall also remain on the website.

Similarly, in consultation with the OVCR-HSC and the Faculty Senate, a formula (or algorithm) for the distribution of the HSC F&A funds to units, centers, institutes, and individual faculty members shall be developed by the OVCR and posted on the OVCR's website on an annual basis for HSC sponsored research. The annual budget shall also be posted on the OVCR's website. The budget format, from year to year, shall remain as constant as possible, and include the following information for each budget item: amount, recipient, and reason for expenditure or distribution. The history of these allocation formulas and budgets shall also remain on the website.

4. Actual F&A distributions and expenditures for main campus and branch campus sponsored research, for each fiscal year shall be documented and posted on OVPR's website no later than three months after the end of the fiscal year. Each distribution or expenditure shall include: date, amount, recipient, recipient's account index, and reason for expenditure or distribution.

Similarly, actual F&A distributions and expenditures for HSC sponsored research, for each fiscal year shall be documented and posted on OVCR's website no later than three months after the end of the fiscal year. Each distribution or expenditure shall include: date, amount, recipient, recipient's account index, and reason for expenditure or distribution.

5. During the regular academic year when the contract or grant calls for released time from regular UNM duties, the basic nine-month salary from the instructional budget will be reduced proportionally. The released time will be compensated from contract or grant funds at the basic salary rate.

HISTORY

Effective:

Need to identify effective date of original policy.

DRAFT HISTORY

April 10, 2014—Draft revised with FSRPC Chair's approval

March 13, 2014—Draft reformatted to new format for review by HSC Council and Center and Institute Directors.

March 5, 2014—Chair of FSRPC presented draft to Faculty Senate Policy Committee (FSPC) for review.

September 25, 2013--Draft developed by the Faculty Senate Research Policy Committee (FSRPC).

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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.

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.



C205: Annual Leave

Policy

This policy is under revision or is being developed. Current provisions for annual leave are located in [Faculty Contracts, Section C50](#).



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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