

Faculty Senate Policy Committee
Meeting Agenda, Scholes Hall Room 101, September 3, 2014

Updates

1. Policy Committee Membership and Leadership

Action Items

Consent Agenda Topics: None

Agenda Topics

1. C09 “Respectful Campus”: Need approval to update the References Section of C09 to add UAP 2720 “Equal Opportunity, Non Discrimination, and Affirmative Action” and to include reference to all policies currently referenced in the body of Policy C09 and reflect a change in the policy number for UAP2730 “Sexual Harassment.” We should also request that UAP policies 2720 and 2730 reference *Faculty Handbook* Policy C09.

Key pre-meeting preparation: Review C09 Reference Section

Desired outcome: Vote on Approval of changes and updated to C09 Reference Section. pg.1

2 E60 “Sponsored Research:” Draft was revised to incorporate changes from John Trotter; Barbara West, Office of VPR; and Mike Schwantes, HSC Finance. This revised draft was reviewed and endorsed by Richard Larson, VCR-HSC.

Key pre-meeting preparation: Review revised draft of E60--recent changes highlighted.

Desired outcome: Vote on Approval. pg. 10

3. Memorandum Pertaining to proposed policy A91 “Centers and Institutes ...” and proposed revision to A88 “New Units ...” At the last meeting it was suggested we send a memo to the Chair of the Research Council describing our concerns.

Key pre-meeting preparation: Review draft memo and bring suggested changes.

Desired outcome: Approval of final memo; determine appropriate addressee(s). pg. 15

4. C200 Sabbatical Leave: The policy with recommended changes have been placed in new policy format. Changes to existing policy are highlighted. In 2012, the Committee discussed additional issues to consider, these are discussed in a memorandum included in the agenda package Richard Holder and Carol Parker will be at the meeting to address any concerns with proposed changes and answer questions.

Key pre-meeting preparation: Review memorandum and draft policy; bring suggested changes and/or questions.

Desired outcome: In-depth discussion of proposed changes and related issues. pg. 17

Future Business



C09: Respectful Campus

Approved By: Faculty Senate

Effective: **Draft August 27, 2014**

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, and Applicability 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 2200](#), 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.

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.

DEFINITIONS

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

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 2210**](#) "Campus Violence."

[**Policy 2220**](#) "Freedom of Expression and Dissent"

[**Policy 2240**](#) "Respectful Campus"

[**Policy 2720**](#) "Equal Opportunity, Non-Discrimination, and Affirmative Action"

[**Policy 2730**](#) "Sexual Harassment"

Pathfinder:

[**"Visitor Code of Conduct,"**](#)

[**"Student Code of Conduct,"**](#)

Faculty Handbook:

[**Section B, Appendix V**](#)

[**Policy C05**](#), "Rights and Responsibilities at the University of New Mexico."

[**Policy C07**](#) "Faculty Disciplinary Policy"

[**Policy C70**](#) "Confidentiality of Faculty Records"

[**Policy C345**](#) "Ombuds Dispute Resolution Services for Faculty"

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 of whether this Policy was violated

The investigator may also choose to include recommendations in the report. Information or recommendations pertaining to disciplinary 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 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." 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
- Copy of investigation report

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. Appeals of Investigatory Findings

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, concerning whether a violation of this policy occurred, 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,

concerning whether a violation of this policy occurred, shall be final. If the Provost or Chancellor for Health Sciences reviews the matter, his or her decision shall be final.

5. Actions Following Investigation

If the final determination is that the respondent has violated this Policy, UNM shall take appropriate action, which may include disciplinary sanctions up to and including dismissal from the University in accordance with [Policy C07](#) "Faculty Disciplinary Policy."

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.

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

February 4, 2014 – Amended procedures approved by Faculty Senate Operations Committee

January 29, 2014– Amended procedures approved by Faculty Senate Policy Committee

June 16, 2011—Approved by UNM President

March 22, 2011—Approved by Faculty Senate

COMMENTS TO:
handbook@unm.edu

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E60: Sponsored Research

Approved By: Faculty Senate

Last Updated: **Draft 8/27/14**

Responsible Faculty Committee: Research Policy Committee

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

This revision is a major rewrite of the existing policy proposed by the Faculty Senate Research Policy Committee (FSRPC). The April 10, 2014 FSRPC draft was sent to HSC Council, UNM center and institute directors, and the VPR for review and comment. This draft contains highlighted changes from the following reviewers. **John Trotter--red changes, Mike Schwantes—blue changes, Barbara West—purple changes.**

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, \(VCR\)](#), [Senior Executive Officer for Finance & Administration \(SEOFA\)](#), 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 Vice President for Research shall consult with the Research Council of the UNM Faculty Senate, 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 Vice Chancellor for Research (VCR) HSC Chancellor shall consult with the HSC Council of the Faculty Senate ~~Research Council of the UNM Faculty Senate, the VCR,~~ and other HSC research committees concerning ~~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.

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 applicable federal agency. The 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,"

Policy [2425](#) "Recovery of Facilities and Administrative Costs"

Office of the Vice President for Research, "Proposal Development and Award Guide"

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 [Research Council](#), a formula (or algorithm) for the distribution of the main campus and branch campus F&A funds to units [and](#) 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 HSC Council, a formula (or algorithm) for the distribution of the HSC F&A funds to units, centers, and institutes, ~~and individual faculty members~~ shall be developed by the OVCR, approved by the Chancellor, 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.~~ (NOTE: changes made to HSC sections to match recommended changes for main campus from Barbara West.)

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.~~ (NOTE: changes made to HSC sections to match recommended changes for main campus from Barbara West.)

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

August 18, 2014—Draft revised to incorporate HSC changes from Mike Schwantes.

August 6, 2014 – Draft revised to incorporate HSC changes J. Trotter presented at 6/4/14 FSPC meeting and changes proposed by Barbara West, Office of the VPR.

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).

COMMENTS TO:
handbook@unm.edu

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Draft Memorandum

Date: August 21, 2014

To: Chair of the FS Research and Creative Works Council

From: FS Policy Committee

Re: Proposed new policy A91 “Creation, Review, Reorganization, and Termination of UNM Centers and Institutes” and proposed revision to policy A88 “Creation, Review, Reorganization, and Termination of UNM Academic Units.”

During the past academic year the FS Research Policy Committee drafted a new Policy A91 “Creation, Review, Reorganization, and Termination of UNM Centers and Institutes.” In addition, due to some overlap between this proposed new policy and the current *Faculty Handbook* policy A88 “Policy and Procedures for New Academic Units and Interdisciplinary Reorganization of Academic Unit at the University of New Mexico,” the Research Policy Committee developed a proposed revision to Policy A88.

In April 2014 the Faculty Senate Policy Committee sent the proposed drafts to Center and Institute Directors and the HSC Council for review and comment. A memo from the Chair of the Research Policy Committee was included to explain the goals of the proposed policies. After review of the proposed new policy A91 and proposed policy revision to A88 by center and institute directors and the HSC Council, the FS Policy Committee has identified a number of concerns/questions which are listed below. In order to address these concerns, the FS Policy Committee would like to work with you and the Research Policy Committee over the next few months to develop drafts that would better serve UNM. Thank you for your consideration of this matter.

Concerns and Questions Pertaining to Proposed Policy Drafts:

- It is difficult to identify what problem is being addressed by the proposed policy (A91).
- The new proposed policy A91 coupled with the proposed revision to A88 creates significant confusion. Centers were removed from A88, but since A91 seems to focus primarily on research centers, this causes confusion as to how to apply policy A91 to non-research centers and institutes and if portions of A88 apply to these units.
- The scope of A91 appears to be too broad—should it only apply to research centers and institutes? If its scope is not limited to research centers and institutes, then the proposed Policy A91 creates confusion between A88 and A91, and appears to exceed the Research Committee charge.
- The revisions to A88 and Policy A91 do not seem to be trying to advance interdisciplinary activities, which is of primary concern to the Office of the Provost.
- There is a need to distinguish/define the mission of centers and institutes.

- The categories in A91 would apply only to main campus and not HSC—this distinction could be added to the procedures section.
- There's no termination language in A88 but there is in A91.
- In Policy A88, the definition of Academic unit is “circular in its reasoning.”
- In Policy A88, Procedures, The Life Cycle of a Center or Institute, last sentence , the Policy Committee is not sure what of this means.

Memorandum

Date: August 21, 2014

To: Martha Muller, Chair of the Faculty Senate Policy Committee
Vivian Valencia, University Secretary

From: Carol Stephens, Professional Consultant

Re: Sabbatical Questions and Possible Issues and/or Concerns

In 2012, I prepared an analysis of sabbatical leave policies at nine other institutions* and identified some concerns or issues with UNM's current Sabbatical Leave policy. Charlie Cunningham's review of the policy and recommended changes address most of the concerns/issues identified. However, there are a few remaining issues that the Committee may wish to discuss to determine if they are applicable at UNM. These are described below.

1. Faculty Obligations to University While on Sabbatical: Six institutions were silent on the subject. ASU and the University of Oklahoma required resignation from University Councils and Committees. Cornell allowed committee participation and voting on faculty issues. All three encouraged continued supervision and advisement of graduate students.

2. Split Sabbaticals: sabbatical leave taken in two segments interrupted by a period of active, on-campus service. Cornell allows this practice "if this is appropriate to the purpose of the sabbatical and the needs of the unit. Because splitting the sabbatical interrupts the focus of the sabbatical experience, this arrangement is discouraged." Indiana University allows for divided sabbatical leaves with "careful consideration given to the appropriateness of the proposed time allocation to the successful completion of the project."

3. Cornell: Allows credit for prior service at another institution for up to six semesters.

4. Cornell: Normally requires faculty to leave the local area, the dean's approval is required for a local sabbatical. Allow for adjustment of sabbatical for medical leave.

5. University of Oklahoma: May not penalize faculty member on matters of salary consideration. Sabbatical report will be used in consideration of merit raised in subsequent years.

*Policies at the following nine institutions were reviewed: ASU, Cornell, Indiana University, Michigan State, NYU, Ohio State, University of Arizona, University of Oklahoma, and University Michigan.

C200: Sabbatical Leave

Approved By: Faculty Senate

Last Updated: **Draft 8/21/14**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and Chancellor for Health Sciences

Legend: Brown: Charlie Cunningham, Red: Previous Committee work, Black: Existing Policy

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

POLICY RATIONALE

The University of New Mexico (UNM) prizes an inclusive view of scholarship with the recognition that knowledge is acquired and advanced through research, synthesis, practice, and teaching. A sabbatical is an important tool in developing academic scholarship and is time for concentrated professional development. A sabbatical is a privilege granted by UNM to faculty for the advancement of the University, subject to the availability of resources. UNM faculty and the Board of Regents approve the principle of sabbatical leave.

POLICY STATEMENT

The faculty member will use the sabbatical assignment in a manner that will enhance his or her scholarly and/or teaching competence and potential for service to UNM. 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 applicant's expertise and integration and interpretation of existing knowledge into larger interdisciplinary frameworks.

Eligibility

Sabbatical leave is available 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. There are several options of sabbatical leave discussed below. Faculty members who qualify have the right to apply for sabbatical leave; however, sabbatical 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 the Policy Rationale section above.

Approval

Sabbatical leaves will be approved only with the clear understanding that the faculty member will at the completion of the sabbatical return to the UNM for a period of service at least equal to as the duration of the leave. If the employee does not return, the case will be reviewed by the Provost. The employee may be required to refund all compensation received from UNM during the sabbatical. If the faculty member terminates his or her connection with the University within one year after the expiration of the sabbatical, the individual shall refund the sabbatical remuneration to UNM on a prorated basis, except in exceptional circumstances, including permanent disability or death, wherein neither the individual nor the heirs shall be obligated to refund any part of the amount paid while on sabbatical.

Options

Sabbatical leave is available under the following four options. These options should be discussed with the departmental chairperson, and the application for sabbatical leave should indicate the option desired.

- a) After any period of at least three years of full-time service (or equivalent part-time service) at the UNM, the faculty member may apply for one semester at 2/3 salary for that semester.

- b) After any period of at least six years of full-time service (or equivalent part-time service) at UNM without a sabbatical, a faculty member may apply for:
 - i) one semester at no reduction in annual salary,
 - ii) one full academic year at 2/3 salary, or
 - iii) semester II of one year and semester I of the following year, at 2/3 salary for each semester of leave.

Question: Is full remuneration possible?

A faculty member receiving a reduced salary during his or her sabbatical period may supplement his or 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 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.

Restrictions

1. Time toward each new sabbatical begins immediately after return to service regardless of the semester of return.

2. Sabbatical leave is counted toward retirement. While a person is on sabbatical leave, UNM will continue to pay its share toward retirement, group insurance, and social security benefits.

3. Upon returning to UNM, every faculty member granted a sabbatical leave shall submit promptly to the Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences, 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 shall be placed in the faculty member's personnel file.

4. If the applicant believes that his or her sabbatical proposal has not been considered properly according to the provisions of this Policy, the applicant may appeal in accordance with the procedures listed in Item 8 below.

APPLICABILITY

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

DEFINITIONS

Full-time Service: Service time equivalent to that of a faculty member employed on a contract designated as 1.0 full-time equivalent (FTE). For example, a faculty member whose contract is designated 0.5 FTE would have to multiply his or her service by a factor of two to meet the full-time service requirements listed in this policy.

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.

WHO SHOULD READ THIS POLICY

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

RELATED DOCUMENTS

[Section B: "Policy on Academic Freedom and Tenure."](#)

[Policy C250 "Lecturer Academic Leave."](#)

[Policy C280 "Leave Without Pay."](#)

[Faculty Contracts Sabbatical Leave Form](#)

CONTACTS

Direct any questions about this policy to your chair or dean.

PROCEDURES AND GUIDELINES

1. 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 faculty. **Question: Is this really necessary?**

2. 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. 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 3(a) if in the judgment of the chairperson, dean, and Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences 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/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences 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 or fewer faculty FTE at such times as members of the departments* may be granted sabbatical leave. **Question: Is this necessary as it seems to be a guide for chairs and deans, etc.?**

3. 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 UNM 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 chair shall forward to the dean his or 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.

4. (a) For non-HSC faculty, the dean shall send the departmental and college recommendations to the Provost/Executive Vice President 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 Director of Faculty Contracts and Services shall verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed. The Provost/Executive Vice President for Academic Affairs shall forward all materials to the President with an evaluation of the proposed leave from a University-wide point of view. The President makes the final decision.

4. (b) In the HSC, the dean shall send the departmental and college recommendations to the Vice Chancellor for Academic Affairs (VCAA) so that the original and one copy of the proposal together with all recommendations shall reach that office at least two months prior to the proposed start of the leave. The VCAA shall verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed, and forward all materials to the Chancellor for Health Sciences, who shall 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.

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

6. If an applicant withdraws his or 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.

7. 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 chair or an evaluation committee appointed by the chair.

8. 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.

9. See item 2 under Policy C280 "Leave Without Pay" for combination of sabbatical and leave without pay.

10. Those faculty members who receive all or part of their salaries directly from agencies outside of UNM 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.

11. 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.

*programs, colleges or non-departmentalized schools

HISTORY

Amended:

May 14, 2004– Approved by the UNM Faculty

Amended:

April 3, 2004– Approved by the UNM Faculty

Amended:

May 18, 1975– Approved by the UNM Board of Regents

May 10, 1978– Approved by the UNM Faculty

Amended:

February 1, 1975– Approved by the UNM Board of Regents

April 8, 1975– Approved by the UNM Faculty

Effective:

March 14, 1974– Approved by the UNM Board of Regents

March 12, 1974– Approved by the UNM Faculty

DRAFT HISTORY

August 8, 2014—Reformatted draft prepared to incorporate recommendations by Charlie Cunningham (FSPC Primary) with previous Committee recommendations.

March 5, 2014-- Charlie Cunningham (FSPC Primary) submitted recommendations in preliminary policy draft.

October 23, 2012—Analysis of other institutions prepared by OUS submitted to Committee with questions, issues, and concerns for Committee consideration.

October 22, 2012—Revised Draft prepared incorporating Committee recommendations.

September 18, 2012—Draft in new policy format developed for Committee discussion.

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C200: Sabbatical Leave

Approved By: Faculty Senate

Last Updated: **Draft 8/21/14**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and Chancellor for Health Sciences

Legend: Brown: Charlie Cunningham, Red: Previous Committee work, Black: Existing Policy

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

POLICY RATIONALE

The University of New Mexico (UNM) prizes an inclusive view of scholarship with the recognition that knowledge is acquired and advanced through research, synthesis, practice, and teaching (UoAZ). A sabbatical is an important tool in developing academic scholarship and is time for concentrated professional development. A sabbatical is a privilege granted by UNM to faculty for the advancement of the University, subject to the availability of resources. (U of Co).

The UNM faculty and the Board of Regents approve the principle of sabbatical leave (#1 of current policy). ~~The main purpose of sabbatical leave 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. (#1 of current policy).~~

POLICY STATEMENT

The faculty member will use the sabbatical assignment in a manner that will enhance his or her scholarly and or teaching competence and potential for service to UNM. 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 applicant's expertise and integration and interpretation of existing knowledge into larger interdisciplinary frameworks (UoAZ).

Eligibility

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 (#10 current policy). ~~The plan provides~~ There are several options of sabbatical leave discussed below. Faculty members who qualify have the right to apply for sabbatical leave (#1 of current policy); however, sabbatical 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 the Policy Rationale section above. ~~Sabbatical leave will not be granted to subsidize graduate work or work on advanced degrees.~~ (#2 of current policy)

Approval

Sabbatical leaves will be approved only with the clear understanding that the faculty member will at the completion of the sabbatical return to the UNM for a period of service at ~~least as long~~ equal to as the duration of the leave (#3 of current policy). If the employee does not return, the case will be reviewed by the Provost. The employee may be required to refund all compensation received from UNM during the sabbatical. (UoAZ) If the faculty member terminates his or her connection with the University within one year after the expiration of the sabbatical, the individual shall refund the sabbatical remuneration to UNM on a prorated basis, except in exceptional circumstances, including permanent disability or death, wherein neither the individual nor 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.~~

Options

Sabbatical leave is available under the following four options. These options should be discussed with the departmental chairperson, and the application for sabbatical leave should indicate the option desired. (#10 of current policy).

- a) After any period of at least three years of full-time service (*or equivalent part-time service*) at the UNM, the faculty member may apply for one semester at 2/3 salary for that semester. (#10 of current policy).
- b) After any period of at least six years of full-time service (or equivalent part-time service) at UNM without a sabbatical, a faculty member may apply for:
 - i) one semester at no reduction in annual salary,
 - ii) one full academic year at 2/3 salary, or
 - iii) semester II of one year and semester I of the following year, at 2/3 salary for each semester of leave. (#10 of current policy).

Question: Is full remuneration possible?

A faculty member receiving a reduced salary during his or her sabbatical period may supplement his or 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 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. (U of AZ and U of CO)

Restrictions

1. Time toward each new sabbatical begins immediately after return to **full-time** service regardless of the semester of return ([#12 of current policy](#)).
2. Sabbatical leave is counted toward retirement. While a person is on sabbatical leave, UNM will continue to pay its share toward retirement, group insurance, and social security benefits ([#13 of current policy](#)).
3. Upon returning to UNM, every faculty member granted a sabbatical leave shall submit promptly to the **Deputy Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences**, 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 shall be placed in the faculty member's personnel file ([#14 of current policy](#)).
4. If the applicant believes that his or her sabbatical proposal has not been considered properly according to the provisions of this Policy, the applicant may appeal in accordance with the procedures listed in Item 8 below ([#9 of current policy](#)).

APPLICABILITY

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

DEFINITIONS

Full-time Service: Service time equivalent to that of a faculty member employed on a contract designated as 1.0 full-time equivalent (FTE). For example, a faculty member whose contract is designated 0.5 FTE would have to multiply his or her service by a factor of two to meet the full-time service requirements listed in this policy.

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CONTACTS

Direct any questions about this policy to your chair or dean.

PROCEDURES AND GUIDELINES

1. 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~~ faculty (#5 of current policy).

Question: Is this really necessary?

2. (#6 of current policy) 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.

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 3(a) if in the judgment of the chairperson, dean, and Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences 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/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences 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 or fewer faculty FTE at such times as members of the departments* may be granted sabbatical leave. **Question: Is this necessary as it seems to be a guide for chairs and deans, etc.?**

~~3. Other conditions having been fulfilled, it is general practice that requests for leave be considered on the basis of length of service.~~

3. (#8 of current policy) 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 UNM 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 ~~Chair~~ ~~departmental chairperson~~ shall forward to the dean ~~the departmental evaluation together with the chair's~~ his or 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.

4. (a) For non-HSC faculty, the dean shall send the departmental and college recommendations to the ~~Deputy~~ Provost/Executive Vice President 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~~ The Director of Faculty Contracts and Services shall verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed. The ~~Deputy~~ Provost/Executive Vice President for Academic Affairs shall forward all materials to the President with an evaluation of the proposed leave from a University-wide point of view. The President makes the final decision.

4. (b) In the HSC, the dean shall send the departmental and college recommendations to the Vice Chancellor for Academic Affairs (VCAA) so that the original and one copy of the proposal together with all recommendations shall reach that office at least two months prior to the proposed start of the leave. The VCAA shall verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed, and forward all materials to the Chancellor for Health Sciences, who shall 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.

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

6. If an applicant withdraws his or 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. (U of AZ)

7. 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 chair or an evaluation committee appointed by the chair.

8. (#9 of current policy) 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 Section 6.2 of the Policy on Academic Freedom and Tenure. The panel shall deliver its findings together with its recommendation to the Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences for forwarding to the President.~~

9. (#11 of current policy) See item 2 under Policy C280 "Leave Without Pay" for combination of sabbatical and leave without pay.

10. (#1 at end of current policy) Those faculty members who receive all or part of their salaries directly from agencies outside of UNM 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.

11. (#3 at end of current policy) 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.

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