

Faculty Senate Policy Committee
Meeting Agenda, Scholes Hall Room 101, November 5, 2014

Updates

1. **Progress report on A91 and A88:** Working with Charlie Cunningham and Chair of the Research Policy Committee to redraft policies to address concerns raised. pg. 1

Action Items

Consent Agenda Topics:

1. **C09 Respectful Campus:** sent out by email, but didn't get a quorum responding.
Desired outcome: Vote on approval. pg. 11

2. **E60 Sponsored Research:** Per September meeting draft was ready for approval except concern about a memo from Michael Dougher, Vice President for Research, Richard Larson, Executive Vice Chancellor, Paul Roth, Chancellor for Health Sciences, and Chaouki Abdallah, Provost concerning intellectual property for commercially sponsored projects. Preliminary review of the memo indicates the only change needed to E0 is reference to E70 "Intellectual Property."
Key pre-meeting preparation: Review revised draft of E60 and the memo from Larson, Dougher, Abdallah, and Roth to confirm no additional changes are needed.
Desired outcome: Vote on approval. pg. 20

Agenda Topics

1. Policy Committee Membership and Leadership

2. Memo concerning intellectual property for commercially sponsored projects. What policy questions does the memo raise? pg. 25
Key pre-meeting preparation: Read E70 "Intellectual Property" and compare to the memo from Michael Dougher, Vice President for Research, Richard Larson, Executive Vice Chancellor, Paul Roth, Chancellor for Health Sciences, and Chaouki Abdallah, Provost; bring concerns and/or questions. pg. 29
Desired outcome: In-depth discussion of issues and concerns; involve the RPC?

3. **C200 Sabbatical Leave:** Revised to incorporate discussions from last meeting.
Key pre-meeting preparation: Review draft policy; bring changes and/or questions.
Desired outcome: In-depth discussion of proposed changes and related issues. pg. 39

4. **D170 Student Attendance: Presentation.** Comments from ASUNM student representative, Colt Balok on proposed revision to D170 to address extracurricular activities. OUS has prepared a revised draft of D170 to place it in the new format and incorporate the student's proposed language. During this process the following issues were identified.
 - a. Discrepancy between D170 and Dean of Students procedures in the Pathfinder.
<https://pathfinder.unm.edu/common/policies/class-absences-student-attendance.html>
 - b. Do we need to provide specific information concerning student attendance at HSC?
 - c. Branch Campuses—Does the policy as written work for Branch Campuses?

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

Desired outcome: In-depth discussion of proposed changes and related issues. pg. 53

5. Work Status Table, Progress Report: Review target dates; discuss meeting schedule.
pg. 56

Future Business

Memorandum

Date: October 28, 2014

To: FS Policy Committee

From: Carol Stephens, Consultant

Re: Progress Report on A91 and A88

I met with Charlie Cunningham, in his role as Chair of the FS Research and Creative Works Council, to discuss the concerns about the proposed new Policy A91 “Creation, Review, Reorganization, and Termination of UNM Centers and Institutes,” and the related proposed revision to Policy A88 “Policy and Procedures for New Academic Units and Interdisciplinary Reorganization of Academic Unit at the University of New Mexico.” The proposed policy and revision to existing policy resulted from the work of the Research Policy Committee.

To address the concerns raised during the review process, Charlie suggested we limit Policy A91 to policies and procedures that would apply across the entire campus, including HSC. We would then create a standards document to include the policies and procedures that apply only to main campus research centers and institutes. This document, Standard A91#1 “Creation, Review, Reorganization, and Termination of Non-HSC Research Centers and Institutes,” would address the organization structure that uses Categories I, II, III, and Contract-focused Research Centers and Institutes.

Charlie discussed this approach with David Hanson, Chair of the Research Policy Committee, and they agreed with this approach. Therefore, I developed a new draft of A91 and a draft Standard A91#1 and forwarded them to Charlie and David Hanson for review. David Hanson and the RPC will review the drafts and provide any concerns and suggestions.

The high-level statements in the policy section of A91 (revised 10.18.14) came from the lifecycle discussions in 4/12/14 A91 document. Campus-wide applicable procedures in lifecycle discussions were placed in procedures section of this new draft. Procedures applicable only to non-UNM centers are placed in the Standards document A91#1. In addition, to clarify that both documents are applicable to only research centers and institutes, the term "research" was added before centers and institutes throughout the Policy draft and Standard document.

Although the revision to A88 pertaining to academic units is related to the issuance of the new policy A91 on Research Centers and Institutes, We will hold off working on A88 until the desired approach to A91 is completed.

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

Approved By: Faculty Senate

Last Updated: **Draft 10/18/14**

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

Research 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.

From time to time it is necessary for the University of New Mexico (UNM) to consider proposals for the creation of new research centers and institutes, or for major restructuring or termination of existing research centers and institutes. This Policy document provides policies and procedures for consideration of such actions regarding research centers and institutes.

POLICY STATEMENT

The creation of a new research center or institute located on or off the UNM Albuquerque campus, or major changes to an existing research center or institute require approval of the Faculty Senate and the Provost or HSC Chancellor. Approval of the proposed action must be sought and obtained prior to initiating operation of a new research center or institute, or making major changes to an existing research center or institute. In no case is this to be construed as prohibiting an existing research center or institute 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. **NOTE: These high-level statements came from the lifecycle discussions in 4/12/14 A91 document. Campus-wide**

applicable procedures in lifecycle discussions were placed in procedures section of this document. Procedures applicable only to non-UNM centers are placed in Standards document.

All proposals to create, re-organize, or terminate a research center or institute shall follow the policies and procedures described herein, and any applicable standards or guidelines established by representatives of the Provost or the HSC Chancellor and the Faculty Senate Operations Committee in consultation with relevant research center or institute heads.

The following principles should be followed regarding UNM research 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 research centers and institutes.
3. There should be clear and consistent rules, conditions, and procedures for the formation, operation, evaluation, sustainability, and termination of all research centers and institutes.
4. There should be demonstrable value added by the creation and continuation of all research centers and institutes. That is, it is incumbent upon those wishing to create or continue a research 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. Research 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. Research centers and institutes should be completely transparent in both their sources of funding and their use of funds.
7. UNM should encourage and provide incentives for the formation of collaborative, multidisciplinary research centers and institutes through its budgeting, hiring priorities and strategic planning, including capital projects.

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 research centers or institutes, a division or dissolution of a research center or institute, or a change in the basic mission of a research center or institute.

WHO SHOULD READ THIS POLICY

- Directors of research centers and institutes.
- Academic deans or other executives, department chairs, directors, and managers responsible for research centers and institutes.
- Administrative staff responsible for research 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"

[**Standard A91#1**](#) "Creation, Review, Reorganization, and Termination of Non-HSC Research Centers and Institutes"

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

Research centers and institutes have three conceptual phases in their life cycle: the proposal phase, the operational phase, and the termination/reinvention phase.

Proposal Phase. The life cycle of a research 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 research center or institute. UNM administration should be provided evidence of the intellectual value of the research center or institute beyond that which can be achieved within the departmental or college structure. The proposal shall clearly identify the scope of the research center or institute; in particular which academic units will be contributing resources, including faculty time, staff, facilities and funds. The proposal should have funding plans for the short (e.g., one to five years) and the long (e.g., decades) terms.

Operational Phase. Once established, all resources for a research center or institute shall be defined, including building space, equipment, staff, faculty appointments, and effort shares. The director is appointed by the administrator appropriate to the research center or institute, and the conditions of the appointment and the term of service, including options for renewal, shall be clearly stated in the appointment letter. Directors shall be evaluated annually by a representative group of individuals. Guidance for the review is drawn from the proposal for the research center or institute and must include criteria for evaluation of the research center or institute vitality, achievement of goals, resource allocations, and budgets.

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

The website maintained by the Office of the Vice President for Research (OVPR) or the Office of the HSC Vice Chancellor for Research shall contain an annually updated list of all research centers and institutes governed by the Provost and HSC Chancellor and a summary of the most recent review for each research center or institute.

Division Specific Standards

Standards for the organization and review of research centers and institutes may vary within major components at UNM. To accommodate these differences each component should develop a standards document specific to the component that provides standards and guidelines to ensure compliance with this Policy. **Standard A91#1** provides standards and guidelines applicable to non-HSC research centers and institutes.

HISTORY

No history because a new policy is being proposed.

DRAFT HISTORY

October 18, 2014—Restructured to use the Standards process: one for non- HSC and one for HSC research centers and institutes.

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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**Standard
A91 #1**

**Creation, Review, Reorganization, and
Termination of Non-HSC Research Centers
and Institutes**

Approved By: Faculty Senate Research Policy Committee

Effective Date: **Draft** 10/13/14

This document provides standards and guidelines applicable to non-HSC research centers and institutes to ensure compliance with Policy A91 “Review, Reorganization, and Termination of Research Centers and Institutes.”

Research Center and Institute Organization

Depending upon the scope and range of the research centers and institutes involved, there should be different levels or categories of research centers and institutes. To facilitate the integration of research centers and institutes into the mission of the most relevant academic units, they should be managed at the most local administrative level practicable. Regardless of category, there should be consistency across research centers and institutes in terms of the rules, operating procedures, and reporting and evaluation mechanisms that govern research centers and institutes. This acknowledges that research 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.

With the goal of research centers and institutes to facilitate faculty activities beyond that which can be achieved in departments alone, it is critical that research 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 research centers and institutes exist within departments, with directors reporting to the relevant department chair. These research 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 research center or institute would expand and enhance opportunities beyond those possible by relying on the traditional existing department infrastructure alone.

Category II. Category II research centers and institutes exist within colleges, but outside of the traditional department framework, with directors reporting to the dean. These research 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 research centers and institutes should expand and enhance opportunities beyond those possible by relying on Category I research centers and institutes or the traditional department and college/school infrastructure.

Category III. Category III research centers and institutes exist alongside colleges or schools, with directors reporting to a higher-level administrator, such as the Provost or Vice President for Research. These research 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 research centers and institutes should expand and enhance opportunities beyond those possible by relying on Category I or II research centers and institutes, or the traditional department and college/school infrastructure.

Contract-focused Research Centers and Institutes. There are several research 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 research 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 standard applies to all of UNM's non-HSC research centers and institutes, it is recognized that representatives from these organizations should work with the Provost or the Vice President for Research (OVPR) to develop procedures and guidelines specific to the operation of contract-focused research centers and institutes.

Proposal Phase. The life cycle of a research 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 research center or institute. UNM administration should be provided evidence of the intellectual value of the research 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 research center or institute; in particular which academic units will be contributing resources, including faculty time, staff, facilities, and funds. Proposals to fund research 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 research 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 research centers and institutes should be reviewed by the following:

- Category I research centers and institutes will be reviewed by a committee made up of department faculty.

- Category II research centers and institutes will be reviewed by a committee of faculty from across the college or school.
- Category III research centers and institutes will be reviewed by a committee with faculty from across UNM.

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 research center or institute shall be defined, including building space, equipment, staff, faculty appointments, and effort shares. Research centers and institutes shall have an advisory committee formed by faculty or staff deemed appropriate to the mission of the research center or institute. Advisory committees shall review the operations of the research 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 research center or institute.

Initially the director will usually be the principal investigator (PI) of the research grant establishing the research 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 research 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 research center or institute shall be seen as part of a faculty member's workload. Only if the faculty member's research 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 individuals. Evaluations shall be "360-degree" processes involving research center or institute faculty, staff and students, as well as any constituencies of the research center or institute, particularly if the research 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 research 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 research center or institute and must include criteria for evaluation of the research center or institute vitality, achievement of goals, resource allocations, and budgets.

Termination/Reinvention Phase. The regular review processes shall reveal when a research 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 research center or institute, they are also responsible for terminating or "sunsetting" the research center or institute, as well as

redirecting the resources to other areas of UNM when necessary. The reinvention and redirection of research center or institute activities shall be completed via a process similar to that for creating a new research center or institute.

Proposals to terminate a research 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 research center or institute.

- Category I research centers or institutes shall be reviewed by a committee of department faculty.
- Category II research centers or institutes shall be reviewed by a committee of faculty from across the college.
- Category III research 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). The posted procedures shall also clearly reference and provide access to any other documents relevant to the formation, maintenance, or termination of a research center or institute. Finally, this website shall also contain an annually updated list of all research centers and institutes governed by the Provost and a summary of the most recent review for each research center or institute.

HISTORY

No history because a new standard is being proposed.

DRAFT HISTORY

October 12, 2014—Draft standards process one for non- HSC research centers and institutes.

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handbook@unm.edu

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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

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E60: Sponsored Research

Approved By: Faculty Senate

Last Updated: **Draft 10/11/14**

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. ~~In order~~ To ensure the most effective ~~operation~~ 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, ~~except for those emanating from units under the administrative authority of the Director of the Medical center.~~ The Senior Executive Officer for Finance & Administration (SEOFA HSC), 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 SEOFA 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) shall consult with the HSC Council of the Faculty Senate and other HSC research committees concerning 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"*
*Faculty Handbook, **Policy E70** "Intellectual Property"*

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) ~~Office of Research Administration~~, 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.
- ~~maintaining a grantsmanship library with information on federal and state agencies and private foundations, helping locate sources of potential funding, advising on general proposal format and University administrative procedures, and by reviewing the work plan, commitments and budget.~~

~~The Office of Research Administration~~ 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 also has been designated the prior approval authority for the University. In this capacity, the office will coordinate closely with the principal investigators and appropriate members of the Contract and Grant Accounting Office. The office will ensure that 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. ~~4. Any modifications to an award, received in response to a research proposal, also will be processed in accordance with the foregoing procedure.~~

9. The item for indirect costs included in research agreements shall always be credited to the general fund of the University to be allocated for the continuing support of research at the University. 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, shall be developed by the OVPR and posted on the OVPR's website on an annual basis for main-campus sponsored research. The annual budget shall also be posted on the OVPR's 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 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.

4. Actual F&A distributions for main 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. Similarly, actual F&A distributions website no later than three months after the end of the fiscal year.

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.

NOTE: The following detailed procedures shown in the current form of Policy E60 are being deleted with the policy instructing faculty to follow procedures promulgated by the Office of the VPR, for main-campus and branch-campus sponsored research, and the VCR-HSC for HSC sponsored research

~~a. The proposal in draft form is to be submitted to the Vice President for Research by the principal investigator, accompanied by a Proposal Data Sheet (forms are available in the Office of Research Administration) approved by the department chairperson or unit director and dean, and indicating:~~

~~(1) that complete coordination has been effected to ensure that any other University unit or units affected by or interested in the proposal are formally advised of the proposal and that formal acknowledgment or concurrence has been received from the affected units;~~

~~(2) that full consideration has been given to both the physical and financial aspects of space requirements;~~

~~(3) that full costs of computer support required by the proposed effort have been included in the proposal budget;~~

~~(4) the anticipated duration of the project, with any possible extensions or ramifications;~~

~~(5) that the use of University funds, when included in the proposal, has been approved at all appropriate levels (as indicated in the Proposal Data Sheet), whether such funding relates to a division or sharing of salaries, the purchase of equipment, or other expenditures requiring University funds;~~

~~(6) the proposed total budget.~~

~~b. The proposal will be reviewed for proper form, for budget correctness, and to see that pertinent regulations of the University and the prospective sponsoring agency are met.~~

~~e. When the proposal is in final form, with the Proposal Data Sheet signed by the principal investigator and the chairperson or unit director, the Vice President for Research will administratively certify the proposal, on behalf of the University, by signing the cover sheet and will return the proposal to the initiator for official submittal to the prospective sponsoring agency.~~

~~d. Any proposal negotiations between the University and a prospective funding agency will be closely coordinated with the initiator or principal investigator by the Vice President for Research.~~

HISTORY

Effective:

Need to identify effective date of original policy.

DRAFT HISTORY

October 11, 2014—Draft revised to add reference to E90 “Intellectual Property”

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 FSRC meeting and changes proposed by Barbara West, Office of the VPR.

April 10, 2014—Draft revised with FSRC 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 FSRC presented draft to Faculty Senate Policy Committee (FSRC) for review.

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

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MEMORANDUM

To: All Faculty

From: Michael J. Dougher, Vice President for Research, UNM
Chaouki Abdallah, Provost, Executive Vice President for Academic Affairs, UNM
Richard S. Larson, Executive Vice Chancellor, Vice Chancellor for Research, UNM HSC
Paul B. Roth, Chancellor for Health Sciences, CEO, UNM Health System, Dean, UNM SOM

Cc: Robert G. Frank, President, UNM
David W. Harris, Executive Vice President, UNM
Elizabeth Kuuttilla, CEO and Chief Economic Development Officer, STC

Date: August 12, 2014

Re: Corporate IP Research Program

The world of corporate-sponsored research is changing. Several universities have adopted new ways of working with corporate sponsors, including the University of Minnesota's Innovation Partnerships (MN-IP) Create. After careful consideration, we have decided to adopt a similar model at the University of New Mexico. This will not change how we handle federal or state-sponsored research, or how we currently work with STC.UNM to commercialize the intellectual property arising from that government-sponsored research. It will, however, provide new options for faculty/inventors, and offer corporate sponsors a choice when doing business with UNM.

In order to encourage corporate funding of University research activities, and consistent with the terms of the Intellectual Property Policy, Faculty Handbook E-70, the Office of Research has determined that a for-profit corporate sponsor may elect to pre-negotiate the terms of an exclusive license for intellectual property generated by UNM creators pursuant to a sponsored research agreement. This program will be known as the Corporate IP Research Program (the "CIPR Program"), and the terms of that Program are set forth in Exhibit 1.

Accordingly, it is the policy of the UNM Main Campus and the UNM Health Sciences Center that all employees (including faculty, staff, and students) who are creators as defined in Policy E-70 and who develop intellectual property pursuant to CIPR-sponsored research agreement, will work with the sponsor to disclose, protect, and commercialize such intellectual property and share in royalties as provided below.

- 1.1. **Disclosures and Patent Applications.** When UNM IP results from work under a CIPR agreement, then the Principal Investigator shall be responsible for ensuring disclosure of the intellectual property directly to the sponsor, with a copy of any documentation to the Office of Research. Such disclosures shall be made as soon as possible and at least within two months of creation. The Principal Investigator shall also cooperate with the sponsor's legal representatives to file and protect such UNM IP.
- 1.2. **Royalties.** Royalties received by the University from commercialization (excluding upfront administrative fee) of UNM IP by the sponsor shall be divided as follows: Forty percent (40%) to be divided equally (unless otherwise unanimously agreed to and represented on the submitted

invention disclosure form) among the creators; Sixty percent (60%) to be invested and administered by the Office of Research.

This new program, and implementation of these procedures, will not require any changes to the Faculty Handbook or to the MOA between the University and STC.UNM.

EXHIBIT 1: CORPORATE IP RESEARCH PROGRAM TERMS

The following options for establishing intellectual property (IP) rights are available to for-profit entities interested in sponsoring research at the university. Option A was created to remove uncertainty and financial concerns that surround industry-funded research projects in a university setting.

OPTION A (1)

Pre-pay 10% of sponsored research agreement (or \$25,000 whichever is greater) (2)(3)(4) as an administrative fee for exclusive, worldwide rights to all inventions arising from the research project, with the following pre-set terms:

- Sponsor manages all patenting activities and pays all costs associated with patent prosecution (collaborating with the university on patent claims).
- Sponsor pays 1% royalties on net sales when annual sales using IP exceed \$10 million.
- No cap on royalties unless the invention improves on as pre-existing product/processes (cap of \$5 million).
- No annual minimums or other technology commercialization fees.
- No time limits or milestones. (5)
- Sponsor is free to sublicense/cross license.
- University-owned background IP is not included, but requests for exceptions will be considered.
- Sponsor retains rights, free of charge, to use data arising from the research project.

OPTION B

- Standard sponsored research agreement.
- No upfront fees.
- No pre-set royalties.
- Sponsor and university, through STC.UNM its technology transfer office, negotiate a royalty-bearing license once the IP is developed.

(1) Option A is not available for research awards or sub-awards/subcontracts from government, non-profit, or other types of non-commercial sponsors, consortia agreements or awards for public service or testing.

(2) This fee is calculated based on the entire project budget including standard university overhead fees that must be paid at the full federal research F&A rate.

- (3) The fee is applied based on funds obligated in the agreement. If the sponsor pays the \$25,000 because the initial obligation of funds is <\$250,000, they will not be charged the 10% on future obligations until after the \$250,000 threshold in obligated funds is reached.
- (4) The fee is due within 30 days of billing. Failure to pay will result in the conversion from Option A to Option B.
- (5) If federal funding is used in part to develop the IP, the license will be subject to other terms such as performance milestones required to satisfy federal Bayh-Dole obligations.



E70: Intellectual Property Policy

Policy

Approved by the Faculty Senate 2/23/99 and the Board of Regents 6/8/99. Revisions to IPP Section 2.7 approved by the Faculty Senate on February 26, 2002; approved by the Regents May 10, 2002; Revision of entire policy approved by the Faculty Senate April 27, 2010; approved by the Regents September 14, 2010.



Foreword

In the course of conducting their University-administered activities, the faculty, staff, and students often create intellectual property that may be protectable by patent, copyright, or other means. The University wants a policy that encourages the treatment of such property in ways beneficial to the creators of such works, as well as to the University and to the public. To these ends, the University and the creators should assist each other in identifying, evaluating, protecting, and exploiting such property. Such efforts will also help in recognizing the creation of intellectual property as a significant academic achievement.

Accordingly, this Policy seeks to recognize such achievements; to provide advice and assistance to faculty, staff, and students; to promote a clear understanding of legal relationships; and to realize and optimize the benefits of potentially valuable intellectual property to the creators as well as to the University. A feature of this Policy is to encourage creators to perform key roles in the utilization of intellectual property.

This Policy governs the ownership, protection, and transfer of Scholarly/Artistic Works (as defined in Section 2.2) and Technological Works (as defined in Section 2.3) created by University faculty, staff, and students. Inventors and authors are referred to in this Policy as creators. It is the purpose of this Policy to encourage, support, and reward scientific research and scholarship, and to recognize the rights and interests of creators, the University, and the public.

However, the University's commitment to teaching and research is primary and this Policy does not diminish the right and obligation of faculty, staff, and students to disseminate research results for scholarly purposes. The latter is considered by the University to take precedence over the commercialization of Scholarly/Artistic and Technological Works.

Summary

This summary of the Intellectual Property Policy is intended only as an aid to reading the Policy. Wording in the summary should not be relied upon as a substitute for the Policy.

1. The Policy applies to all University faculty, staff, and students, hereafter referred to as creators. (See Article 1.)
2. The University's commitment to teaching and research is primary, and the right and obligation of creators to disseminate research results for scholarly purposes takes precedence over the commercialization of Scholarly/Artistic and Technological Works.
3. Faculty members working with students on research projects must inform students in advance of the terms of this Policy and of any obligations of nondisclosure or confidentiality.
4. All inventions, tangible research results, and artistic and literary works are subject to this Policy and to federal and state laws

and regulations governing intellectual property. (See Sections 2.2 and 2.3.)

5. All Scholarly/Artistic Works are owned by creators unless they were created with substantial directed investment of University facilities or funds or capitalize on affiliation with the University. (See Section 2.2.)

6. Technological Works (inventions and tangible research results) that are owned by the University under this Policy are:

* those created using University facilities or funds;

* and those created without University facilities or funds but within the scope of the creators' employment (determined by the creators' recent teaching, research, or other University activities).

Exception is made for inventions and tangible research results that were assigned by creators to an outside entity pursuant to a consulting agreement that is consistent with other University policies (including conflict of interest) and that has received prior approval by the creators' department Chair and Dean or Unit Director. (See Sections 2.3, 2.4, and 2.5.)

7. The Policy is administered by the Provost or the Executive Vice President for Health Sciences for their, respective, reporting units. (See Article 3.)

8. Royalties from commercialization by STC.UNM (formerly known as Science & Technology Corporation @ UNM) (the main commercialization arm of the University) of inventions, tangible research results, and other types of intellectual property are allocated (see Section 2.6):

40% equally among the creators

40% to STC.UNM.

20% to the University.

9. Standard procedures for review are described in Article 4. 10. Appeal of University Ownership is covered in Article 5.

1 Scope

This Policy applies to all University faculty, staff, and students (hereafter referred to as creators). Reference to this Policy should be made in the University's Business Policies and Procedures Manual as well as in the University's Pathfinder. Faculty members working with students on research projects must inform students in advance of the terms of this Policy and of any obligations of nondisclosure or confidentiality.

2 Rights in Scholarly/Artistic and Technological Works

2.1 Commercialization

The term Commercialization shall mean the entire process of gaining commercial value for intellectual property, from seeking intellectual property protection to licensure of, granting of access to, or sale of said intellectual property.

2.2 Scholarly/Artistic Works

2.2.1

Scholarly, artistic, literary, and musical works in any medium are collectively referred to as Scholarly/Artistic Works. This category includes all materials developed by faculty and other personnel directly involved in instruction.

2.2.2 All rights in Scholarly/Artistic Works are owned by the creators, with three exceptions:

1) Works created by pre-arranged contractual obligation with substantial directed investment of University facilities or funds (exclusive of creators' salary) or in the performance of a written university work assignment or commission to create such a

work. All rights in such works are owned by the University.

2) Works that capitalize on an affiliation with the University by explicit labeling of the work to gain a market advantage, beyond the noting of the creator's affiliation. Such uses of the University's name, seal, or logo are regulated by Section 1010 of the University Business Policies and Procedures Manual (see also Section 2.5). All rights in such works are owned by the University.

3) Works created under a sponsored agreement that requires rights to be relinquished to the sponsor.

2.3 Technological Works and Technical Information

2.3.1

The term Technological Works means all inventions, discoveries, and other innovations that are protectable by patents, copyrights, mask works, or other means. Innovations include, for example, computer programs, integrated circuit designs, databases, and other technical creations..

2.3.2

The term Technical Information means all tangible and intangible research results, including data, graphs, charts, lab notebooks, technical drawings, biogenic materials, and samples..

2.3.3

All rights in Technological Works and Technical Information created by University creators with the use of University facilities or funds administered by the University are owned by the University, with income from commercialization of Technological Works distributed in accordance with this Policy.

2.3.4

All rights in Technological Works and Technical Information created by creators without the use of University facilities (with the exception of the University libraries) or funds administered by the University, but that fall within the creators' scope of employment (see Section 2.3.5) at the University are owned by the University. However, the University ordinarily will assert no ownership rights or interests in the following two instances:

1) Technological Works and Technical Information created pursuant to outside employment (see the Faculty Handbook) under a consulting agreement between a faculty member and an outside entity in which Technological Works and Technical Information are assigned to said entity. The consulting agreement must be consistent with University policies, including conflict of interest policies, and must be disclosed in writing and agreed to by the creators' Chair and Dean or Unit Director in advance of execution of the consulting agreement. (Contracts in existence at the time of adoption of this Policy must be disclosed within sixty (60) calendar days.)

2) Technological Works and Technical Information created pursuant to independent research or other outside activity that is consistent with University policies, including conflict of interest policies, and that was disclosed in writing and agreed to by the creators' Chair and Dean or Unit Director at the beginning phase of this research activity.

2.3.5

For purposes of this Policy, factors considered in determining the scope of a creator's employment normally shall include the relationship of the Technological Works and Technical Information to that creator's recent teaching, research, and other University activities, as well as activities stipulated in any appointment contract.

2.3.6

Disagreements concerning ownership can be appealed as described below in Article 5.

2.4 UNM Intellectual Property (UNM IP)

For purposes of this Policy, UNM IP means Scholarly/Artistic Works, Technological Works, or Technical Information deemed to be owned by the University. (See Sections 2.2 and 2.3.)

2.5 Use of UNM Name, Logos, or Trademarks

Commercial use of the University's name, seal, logos, or trademarks requires prior written approval from the Office of the Vice President for Institutional Advancement or (for the logo) the Director of Marketing and Licensing in the Athletic Department. (See Section 1010 in the University Business Policies and Procedures Manual.)

2.6 Costs, Royalties, and Other Commercialization Income

2.6.1

In the case of collaborations between the University and outside entities, the provisions of Section 2.6 are applicable only to the ownership interests of the University.

2.6.2

The University and/or the STC.UNM shall normally bear the costs they have elected to incur in securing protection for intellectual property (including evaluation, prior art searches, preparation, filing, and prosecution of any patent application, and issuance and maintenance of patents issuing therefrom) and commercializing said property, until said property is licensed, assigned, or otherwise commercialized.

2.6.3

Prior to distribution of royalties (which, for purposes of this policy, are deemed to mean all income received by the University or the STC.UNM for a license of UNM IP, but does not include payments for research, development, or reimbursement of patent costs), the STC.UNM shall be reimbursed for all unreimbursed or non-contractually reimbursable costs incurred in securing intellectual property protection and any litigation costs.

2.6.4

Royalties received by the University from commercialization of UNM IP by the STC.UNM shall be divided as follows:

- Forty percent (40%) to be divided equally (unless otherwise unanimously agreed to and represented on the submitted invention disclosure form) among the creators;
- Forty percent (40%) to the STC.UNM; and
- Twenty percent (20%) to the University to be invested and administered by the Vice President for Research (on main campus) or the Vice President for Research (at the Health Sciences Center (HSC)), generally, in amounts consistent with the source(s) of the UNM IP. Accrued revenues will be used, in consultation with faculty, to support University units involved in ongoing research and educational pursuits relevant to commercialization efforts or will otherwise be administered as required by sponsor(s).

2.6.5

In any case where royalties shall be represented by shares of stock or other intangible assets, these assets shall be held in the name of the University or the STC.UNM and managed by them. At the discretion of the managing unit (the University or the STC.UNM), such stock or other intangible assets may be divided prior to liquidation and distributed in the proportions specified in Section 2.6.4.

2.7 Duties of Creators

2.7.1

All provisions of Section 2.7 apply to individual efforts of creators and to collaborative efforts with outside entities.

2.7.2

The University's commitment to teaching and research is primary, and the right and obligation of creators to disseminate research results for scholarly purposes take precedence over the commercialization of Scholarly/Artistic and Technological Works.

2.7.3 Disclosure and Reporting Requirements Imposed by Agreements Sponsoring and Facilitating Research

Sponsored research agreements often carry requirements that any inventions or other intellectual property created in the performance of the agreement must be reported to the sponsor. Such agreements often also impose other requirements pertaining to commercialization of such intellectual property. Upon execution of any sponsored research agreement, the Office of Research Services, or the HSC Pre-Award Office, as appropriate, shall inform the principal investigator of any such requirements pertaining to intellectual property resulting from the work. In addition to sponsored research agreements from industry and government, other agreements facilitating research may impose intellectual property disclosure requirements, such as grants, equipment loan and transfer agreements, and material transfer agreements.

When UNM IP results from work under an agreement creating reporting obligations to sponsors or other third parties, then the Principal Investigator shall be responsible for ensuring disclosure of the UNM IP to the University by submitting a Copyright or Invention Disclosure Form to STC.UNM. Such disclosures shall be made as soon as possible and at least within two months of creation.

The University, and in some cases, STC.UNM shall in turn report UNM IP to research sponsors and other third parties as required by federal and state laws and regulations, and by third party agreements of which the University or STC.UNM has been made aware.

2.7.4. Voluntary Disclosure

If the invention is not subject to third party disclosure obligations, then the creators have the choice as to whether to disclose the UNM IP to the University or to STC.UNM. Any disclosures shall be made on forms provided by the University or STC.UNM. Creators may consult with either the OUC or STC.UNM as to the advisability of disclosure. Creators who choose not to disclose their UNM IP have no obligation to participate in the commercialization process outlined herein. Creators who chose to disclose thereby agree to participate in the commercialization process outlined herein.

Creators may not commercialize UNM IP created by them except by following the procedures outlined herein.

2.7.5

During as well as after their association with the University, creators of UNM IP shall assist and cooperate with efforts by the University and STC.UNM to secure intellectual property protection and to pursue commercialization by executing all appropriate legal documents, including assignments, to perfect the University's legal rights.

2.7.5.1 Creators shall make available to the University and STC.UNM all Technical Information necessary to support intellectual property protection.

2.7.5.2 Creators may, at their discretion, retain a copy of any Technical Information to use in scholarly pursuits.

2.7.6

In the event the University or the STC.UNM takes legal action against a creator who refuses to execute necessary documents pertaining to disclosed UNM IP or otherwise fails to act in accordance with this Policy, any costs reasonably and necessarily incurred by the University and/or the STC.UNM as a direct result thereof shall be deducted from that creator's share of royalties.

3 Administration of the Intellectual Property Policy

3.1 Provost of the University

The Provost, or designee, shall be responsible for the interpretation, implementation, and enforcement of this Policy on main campus; the Executive Vice President for Health Sciences, or designee, shall be responsible for the interpretation, implementation and enforcement of this Policy on the Health Sciences Center campus. The Provost and/or Executive VP for Health Sciences shall be responsible for University relations in areas where this Policy affects the University community, governmental authorities, private research sponsors, industry, and the public.

3.2 Office of University Counsel (OUC)

3.2.1

The OUC shall provide legal advice to the University on issues related to UNM IP.

3.2.2

The OUC is authorized with the prior approval of the Provost, Executive Vice President for Health Sciences and the RPC, to promulgate and publish information and procedures to implement this policy.

3.3 STC.UNM (formerly known as Science & Technology Corporation @ UNM) (STC.UNM)

3.3.1

STC.UNM was granted by the University a right to take assignment of UNM IP pursuant to a Memorandum of Agreement (MOA) between the University and the STC.UNM, for the purpose of active support by the STC.UNM for commercialization of UNM IP. The mission of the STC.UNM is to serve the University of New Mexico by facilitating University inventors' commercialization of UNM IP, increasing the University's non-governmental sponsored research, and contributing to economic development in New Mexico.

3.3.2

STC.UNM, among other duties as described in the MOA, pursues the licensing of UNM IP by assessing the market for the IP, selecting the best means to commercialize the IP, negotiating commercialization agreements, overseeing commercialization activity, and receiving and distributing royalties to creators and the University in accordance with this Policy.

3.3.3

The full text of the MOA can be obtained from the STC.UNM or the OUC.

4 Review of Disclosures and Commercialization

The University and the STC.UNM shall expedite processing of reviews of disclosures and commercialization decisions.

4.1 Review of Disclosures

The specific implementation of the items under Article 4 will be determined under written regulations agreed upon by STC.UNM and the University.

4.1.1

The University or STC.UNM may require creators to consult with STC.UNM prior to publishing for a reasonable period not to exceed ninety (90) calendar days from the date of disclosure, in order to enable a sponsor or the University or STC.UNM to evaluate a UNM IP and determine whether to pursue any form of intellectual property protection. In some cases, STC.UNM may require creators to refrain from publishing certain materials within the said 90-day period. The University and the STC.UNM shall cooperate in accelerating commercialization review to enable creators to publish their work in theses and dissertations or to pursue patent protection in cases of statutory bars.

4.1.2

When the OUC has accepted an appropriately completed disclosure as specified in Section 2.7.3, the OUC shall forward a copy to the STC.UNM within one (1) week. The creators may submit disclosures directly to STC.UNM, in which case STC.UNM shall forward a copy to the OUC within one (1) week of receipt.

4.1.3

STC.UNM shall make a written determination as to whether or not commercialization is to be pursued within 120 calendar days from the date of disclosure of the IP to STC.UNM.

(a) If STC.UNM determines to pursue commercialization, it will make a decision about intellectual property protection within the 120 days from the date of disclosure delineated above.

(b) The STC.UNM may find the work described in the disclosure to be of significant interest, but insufficiently developed or documented for commercialization. In that case, the STC.UNM may recommend that the disclosure be returned to the creator(s), with suggestions for further development or requests for additional documentation. The creator(s) may then submit a new disclosure on the more fully developed or documented work.

(c) In certain cases, the STC.UNM may determine that a disclosure should be held in abeyance because further similar inventions are anticipated within nine (9) months. In such cases, the STC.UNM may delay processing the disclosure for up to nine (9) months, or even longer with the consent of the creator(s).

4.1.4

If no determination is made by the STC.UNM within the deadline, the creator(s) shall have the option of extending the deadline or of sending a written letter to the STC.UNM requesting a determination within ten (10) UNM business days. If the STC.UNM does not respond within this period or responds that it will not pursue commercialization the University shall release the intellectual property to the creator pursuant to Section 4.4.2 .

4.1.5

If, at any step during the process, both the University and the STC.UNM determine not to pursue the commercialization of a particular UNM IP, the University shall release the intellectual property to the creator, subject to sponsor approval .

4.1.6

If the University or the STC.UNM shall have expended funds for prior art search and patent prosecution, reimbursement shall be in the manner described in Section 2.6.2 and 2.6.3 .

4.2 Reporting

Reporting Within twelve (12) months of a complete disclosure, and at 18 months and 24 months, respectively thereafter, the STC.UNM shall provide to the University and to each creator whose disclosure is in the hands of the STC.UNM a report detailing

the current state of commercialization of the disclosure, including patenting, marketing, and licensing efforts. Any UNM creator may request and obtain from STC.UNM access to STC.UNM's current activity related to the disclosures for which he or she is the creator or co-creator.

4.3 Commercialization

In the event the STC.UNM has not made a reasonable effort to commercialize the UNM IP within two (2) years of its decision to commercialize (as per Section 4.1.3), the University or the creator(s) may request the STC.UNM to return the UNM IP to the University. If the UNM IP is returned to the University, the University and the creator(s) will attempt to commercialize the UNM IP within a mutually agreeable period; if these efforts are unsuccessful, the creator(s) may require that the UNM IP be released to them, subject to sponsor approval.

4.4 Filing Deadlines

4.4.1

At least 90 calendar days in advance, STC.UNM shall advise the University and the creator(s) of Technological Works of the following three deadlines:

- A statutory bar to filing a U. S. patent application or provisional application;
- Initiation of filing for foreign patent rights under the Patent Cooperation Treaty(PCT); and
- Entry into national status under the PCT. Any exceptions in meeting the 90-day deadline shall be promptly communicated by STC.UNM to OUC and the creators.

4.4.2

In the event STC.UNM does not intend to continue commercialization efforts and does not commit itself to meeting the above deadlines, the University shall release the intellectual property rights to the creator(s), subject to sponsor approval, within 30 days of STC.UNM's notification to the University.

5 Appeal of University Ownership

5.1

In the event a creator does not believe the University is entitled to the rights in a Work, the creator may seek a determination or a waiver of the University's interests in said Work. The OUC will provide the creator with a Determination of Rights Form which must then be completed and returned to the OUC, with all documents supporting the creator's claim. The OUC will forward a copy of the Form and supporting documentation to the STC.UNM for comments.

5.1.2

The OUC shall forward the Determination of Rights Form with attachments and the OUC's and the STC.UNM's written comments (the "Record") to the Vice President for Research - main campus or Vice President for Research - HSC, as appropriate, who will form a three person advisory committee in consultation with the President of the Faculty Senate, or his/her designee. At least two advisory committee members shall be tenured faculty. One of the tenured faculty members shall chair the committee. Committee members should be selected on the basis of relevant research background and experience. The creator shall be notified of the proposed committee membership and may object in writing to any of the proposed appointees on the grounds that the person, or the committee as a whole, does not meet the criteria stated above. The Vice President for Research - main campus or Vice President for Research - HSC, as appropriate, in consultation with the President of the Faculty Senate, or his/her designee will determine whether the objection has merit, and, if so, will make appropriate substitution(s). In the case of disagreement regarding appointments, the Vice President for Research - main campus or Vice President for Research - HSC, as appropriate, will make a final decision on the matter.

5.1.3

The advisory committee will endeavor to review the Record and hear all evidence within thirty (30) calendar days of receipt of the Record and will issue a written recommendation to the Vice President for Research - main campus or Vice President for Research - HSC, as appropriate, within thirty (30) calendar days of hearing the last evidence. The committee will keep written minutes of all its meetings.

5.1.4

The Vice President for Research - main campus or Vice President for Research - HSC will issue his/her ownership determination within thirty (30) calendar days of receiving the advisory committee's recommendation.

5.1.5

Participation in an appeal of ownership as described herein does not prevent the creator from pursuing other remedies.

5.1.6

The creator may appeal the ownership determination made by the VP for Research - main campus or the VP for Research - HSC to the Provost or Executive Vice President for Health Sciences (based on the department of the creator(s)) by written request to the Provost or Executive Vice President for Health Sciences within ten (10) UNM business days of receiving notice of the ownership determination. The Provost/EVP HSC will meet with all interested persons. Within sixty (60) calendar days of receiving the creator's written request, the Provost/EVP HSC will make a final decision.

5.1.7

If the dispute involves rights in Works being claimed by the Provost/EVPHS, only the President shall have authority to review the ownership determination and make a final decision.

5.1.8

If the dispute involves rights in Works being claimed by the President, only a designee of the Board of Regents shall have authority to review the ownership determination and make a final decision.

5.1.8.1

Nothing in this section is in derogation of the Regents' discretionary right of review.

5.1.9

All materials produced by the creator and the University under this section shall be retained as a permanent University record. This record shall be made available by the OUC to any party upon consent of the owners of the intellectual property.

5.2 Determination of Inventorship or Authorship among Creators

In the event individuals believe they are creators of UNM IP, and have not been adequately acknowledged as such at any point in the protection and commercialization process, they may petition the University or STC.UNM to assess their claim. The OUC will provide the petitioners with a Determination of Inventorship/Authorship Form which must be completed and returned with any relevant attachments for review. The University or STC.UNM will seek the opinion of outside patent counsel for determination. Any further inventorship or authorship dispute among creators shall fall outside the scope of this policy.

6 Related Provisions

6.1 Flexibility

The University may accept, on terms beneficial to the University, a voluntary assignment of a Scholarly/Artistic or Technological Work. It may waive, assign or grant (subject to the MOA with the STC.UNM) all or part of its rights in any Scholarly/Artistic or Technological Work under terms and conditions deemed appropriate and beneficial for the University.

6.2 Legal Actions

The University or STC.UNM may take such action as it deems appropriate to defend or enforce any patent, copyright, or other intellectual property right. In the case of claims against the University, settlement of a claim or conduct of litigation shall be within the exclusive control of the University.

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New Mexico's Flagship University

Memorandum

Date: October 12, 2014

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

From: Carol Stephens, Professional Consultant

Re: Summary of Committee Discussions RE: C200 Sabbatical and Remaining Questions

Based on Committee discussions, I've prepared revised drafts of C200. One only highlights changes made since the September meeting, and the other draft highlights all changes from the current policy in the Faculty Handbook. Two questions remain to be discussed at the November meeting. Since Charlie was not at the meeting, I've listed below the Committee answers to the questions he raised in his draft.

1. Question: Options Section-- Do we need to add alternative language for HSC faculty and/or 12-month faculty that indicates six months vs semester and 12 months vs academic year?
2. Need to discuss with John Trotter whether he proposed sabbatical leave or academic leave for clinician educators.
3. Answers to Questions that were listed in body of 8/21/14 draft.
 - Policy Statement Options Section, Question: Is full remuneration possible? At the September meeting the Committee determined this was not possible. No, can request a course release under C110 exception to work load.
 - Procedures Section Item # 1, Question: Is this really necessary? At the September meeting the Committee determined this was necessary.
 - Procedures Section Item # 2, Question: Is this necessary as it seems to be a guide for chairs and deans, etc.? At the September meeting the Committee determined this was necessary to protect faculty members in small departments from being denied sabbatical.

C200: Sabbatical Leave

Approved By: Faculty Senate

Last Updated: **Draft 10/12/14**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and Chancellor for Health Sciences

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 as cited in the Policy Rationale section above.

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.

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.

A faculty member on sabbatical leave is treated the same as any other faculty member for compensation purposes, and may not be penalized on matters of salary consideration.

Approval-Faculty Obligation

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 for determination of appropriate action. 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.

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.

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 or 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.

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

October 12, 2014—Draft revised to incorporate recommendations from Policy Committee at its September meeting.

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.

COMMENTS TO: handbook@unm.edu	FACULTY HANDBOOK HOME	TABLE OF CONTENTS	TABLE OF POLICIES	UNM HOME
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C200: Sabbatical Leave

Approved By: Faculty Senate

Last Updated: **Draft 10/12/14**

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and Chancellor for Health Sciences

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. The UNM faculty and the Board of Regents approve the principle of sabbatical leave. ~~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.~~

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 ~~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. ~~The plan provides~~ **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 as cited in the Policy Rationale section above. ~~Sabbatical leave will not be granted to subsidize graduate work or work on advanced degrees.~~

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.

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.

A faculty member on sabbatical leave is treated the same as any other faculty member for compensation purposes, and may not be penalized on matters of salary consideration.

Faculty Obligation

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. If the employee does not return, the case will be reviewed by the Provost for determination of appropriate action. 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.

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

Restrictions

1. Time toward each new sabbatical begins immediately after return to full-time 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 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.
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 staff faculty.

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 or 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.

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

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 ~~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 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.

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. 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

October 12, 2014—Draft revised to incorporate recommendations from Policy Committee at its September meeting.

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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D170: Student Attendance

Approved By: Faculty Senate

Last Updated: **Draft 10/9/14**

Responsible Faculty Committee: Faculty Senate Policy Committee

Office Responsible for Administration: Dean of Students

Outstanding Issues:

1. There is a discrepancy between Faculty Handbook Policy D170 and Dean of Students Procedures shown in the Pathfinder webpage which discusses Class Absences and Student Attendance. <https://pathfinder.unm.edu/common/policies/class-absences-student-attendance.html>
2. The procedures listed in the current and this proposed version of D170 do not appear to provide specific information concerning students at the Health Sciences Center.
3. Branch Campuses—Would the policy as written work for Branch Campuses?

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

POLICY RATIONALE

Class attendance is critical for the overall success of the students at the University of New Mexico (UNM). However, authorized absences may occur and the policies and procedures listed in this policy document define authorized absences and provide the required processes for reporting such absences and completing missed assignments and exams.

POLICY STATEMENT

Students are expected to attend all meetings of the classes in which they are enrolled. Absences due to illness or to attend authorized University activities such as field trips, extracurricular activities, athletic trips, etc. are to be reported by the student to his/her instructor(s) and to the Dean of Students Office in accordance with the procedures listed below. If the student is unable to contact his/her instructor(s) the student should leave a message at the instructor's department. The reporting of absences does not relieve the student of responsibility for missed assignments, exams, etc. The student is to take the initiative in arranging with his/her instructor(s) to make up missed work, and it is expected that the faculty member will cooperate with the student in reasonable arrangements in this regard.

A student with excessive absences may be dropped from a course by the instructor with a grade of W/P or W/F. The instructor may also assign a failing grade of "F" at the end of the semester.

APPLICABILITY

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

See questions/issues in blue at top of policy document

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

No definitions specific to this Policy.

WHO SHOULD READ THIS POLICY

- Faculty members
- Staff in Office of the Dean of Students
- Staff at Student Health and Counseling (SHAC)
- Administrative staff responsible for student events

RELATED DOCUMENTS

The Pathfinder—UNM Student Handbook. [“Student Grievance Procedures”](#)

CONTACTS

Direct any questions about this policy to Dean of Students.

PROCEDURES

Authorized Extracurricular Activities

Students who represent UNM at authorized extracurricular activities shall have the opportunity to make up any assignments or examinations missed as a result of official University events. It is the responsibility of the student and the sponsoring UNM organization to provide official written notification to the instructor within the first two weeks of class stating the date(s) of the anticipated absence(s) and the nature of the official University activity requiring the absence(s). When official events arise during the semester, official written notification must be provided at the earliest possible date and no later than one week before the authorized absence stating the date(s) of the anticipated absence(s) and the nature of the official University activity requiring the absence(s). Instructors shall make a good faith effort to accommodate students, unless this would impose an undue hardship on the instructor or the University that could be reasonably

avoided. When disagreements regarding this policy arise, they may be appealed following the steps outlined in the Pathfinder under Student Grievances, Article Two on Academic Disputes.”

Verification of Absence

Verification (such as doctor’s note, hospital billing, military orders, death notices, etc.) of a student’s report of absence will be provided on request and in accordance with the following general procedures.

Short-Term Absence (1-4 days). When notified in advance of an absence of 1- 4 days, the Dean of Students Office will prepare an absence notice which the student may pick up and personally deliver to his/her instructor(s). On absences of 1-4 days reported to the Dean of Students Office after the fact, an absence notice may be picked up by the student after consultation with a dean, if such consultation provides a basis for issuing a notice.

Extended Absence (5 days or longer). The Dean of Students Office will send absence notices to instructor(s) on absences of 5 days or longer when notification of the absence is received prior to or at the onset of the absence. If notified after the absence, the absence notice will be prepared, but the student must hand carry the notice to his/her instructor(s). Verification of extended absences is recommended (such as a doctor’s note, hospital billing, etc.)

Exceptions. On request, members of the Dean of Students staff will review specific absence situations to determine if exceptions to the established absence procedures are warranted.

It should be noted that written medical excuses for class absence will not be issued routinely by Student Health and Counseling (SHAC) ~~the Student Health Center~~ except in the case of physical education classes, where participation would be detrimental to the student’s condition. Where confirmation of a student’s attendance at SHAC ~~the Health Center~~ is required by a member of the teaching staff, this will be furnished on direct enquiry, without revealing the medical details necessitating such attendance. If it appears that a student will be absent for a week or more, the Dean of Students will be notified.

HISTORY

Effective:

Need to identify effective date of original policy.

DRAFT HISTORY

October 9, 2014—Draft to included language proposed by student group. Proposed revision to be discussed at November Policy Committee meeting.

COMMENTS TO:
handbook@unm.edu

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Memorandum

Date: October 29, 2014

To: Policy Committee

From: Carol Stephens, Consultant

Re: Status Report for 2014 - 2015 Policy Work

The Committee requested that we provide an updated Progress report throughout the year.

Below is the latest status of policy work in progress. I have highlighted in red those items that I feel have the highest priority.

A88 Creation, Review, Reorganization, and Termination of UNM Academic Units and A91 Creation, Review, Reorganization, and Termination of UNM Centers and Institutes: Developed a new draft of A91 and a draft Standard A91#1. David Hanson and the RPC will review the drafts and provide any concerns and suggestions.

C20 “Employment of UNM Graduates”: This policy has not been revised since 1951, so the Committee plans to conduct 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 will be updated to reflect current practices. In addition, Policy C205 “Annual Leave” policy will be 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 was being revised in response to a request from the Regents’ Audit Committee to provide more comprehensive procedures for approval and payment of extra compensation. However, per Carol Parker this work has been placed on hold. However, we still need to work with the Policy Office to correct the Regents’ Policy.

C170 Endowed Chairs: The Committee has identified the need to add definitions.

C190 Lecturer Annual and Promotion Reviews: Need to work with C. Parker and P. Ganderton to develop procedures to address their concerns.

C200 Sabbatical Leave: The draft probably requires Committee review for 1-2 meetings before it will be ready for review by Operations and then Campus Comment. Campus comment could perhaps take place in early Spring with E60.

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

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

C230 Military Leave of Absence: Concern raised by the Policy Office that C230 is out of date. Need to revise to address tenure clock.

D170 Student Attendance: A preliminary draft will be discussed at the November Committee meeting. Draft will probably require 2-3 Committee meetings before it will be ready for review by Operations and then Campus Comment. Should be ready for normal Spring comment period (3/17/15 to 4/17/15).

E60 Sponsored Research: Anticipate Committee approval of the latest draft at the 11/5/14 meeting. Policy will then go to Operations and then needs to go out for Campus Comment. However, due the concerns with memo on commercially sponsored research and intellectual property, the draft was not able to be sent out during the Fall comment period (10/14/14 to 11/14/14). It could be sent out for comment the first part of the Spring semester.

E70 Intellectual Property: The Research Policy Committee will review the policy in light of the memo from Larson, Dougher, Abdallah, and Roth needed concerning intellectual property for commercially sponsored projects. If the RPC identifies the need for revisions, proposed changes will come to the Policy Committee for review and completion of the review and approval process.

Other Issues:

We need to continue to process of addressing faculty policies that are in conflict with those in the Administrative Policy Manual