



HLC Accreditation Evidence Document

Title: The Complete Faculty Handbook

Office of Origin: Faculty Senate

Description: The complete UNM Faculty Handbook as of 2018. Included in this document is information on the organization of the Faculty Senate as well as general information on the rights of faculty as concerns academic freedom.

Date: 2018



Faculty Handbook

May 29, 2018

Preface

The *Faculty Handbook* provides the University of New Mexico (UNM) faculty with a written record of faculty policies and procedures. Policies in the *Faculty Handbook* are unifying documents that describe academic principles, the reasoning behind the principles, and institutional procedures necessary for implementation. Faculty Handbook policies contain governing principles and procedures that mandate or constrain actions and apply to UNM faculty; therefore, the development of policies requires input from faculty members who have extensive knowledge on the subject matter and review by faculty members from a variety of academic disciplines at UNM.

This manual is a source of information to be used along with the [Board of Regents' Policy Manual](http://policy.unm.edu/regents-policies/) (<http://policy.unm.edu/regents-policies/>), the [University Administrative Policies and Procedures Manual](http://policy.unm.edu/university-policies/) (<http://policy.unm.edu/university-policies/>), the [University Catalog](http://catalog.unm.edu/) (<http://catalog.unm.edu/>), and the [Pathfinder](http://pathfinder.unm.edu/) (<http://pathfinder.unm.edu/>). The *Board of Regents' Policy Manual* shall be controlling in any matters in which there is an inconsistency between the *Faculty Handbook* and the *Board of Regents' Policy Manual* .

All UNM policies which pertain primarily to faculty and academic matters are placed in the *Faculty Handbook*. The scope of *Faculty Handbook* policies is established by the “Faculty Constitution” and the right to review and take action on these policies is granted to the faculty by UNM Board of Regents Policy 5.1 “The Faculty’s Role in the University’s Academic Mission.” The *Faculty Handbook* shall be controlling in any faculty and academic matters in which there is an inconsistency between the *Faculty Handbook* and the *University Administrative Policies and Procedures Manual*, the *University Catalog*, or the *Pathfinder*. It is not the purpose of the *Faculty Handbook* to serve as a manual of school/college and departmental policies or procedures; however, the *Faculty Handbook* shall be controlling in all matters in which there is inconsistency.

Each item in the *Faculty Handbook* is separated as either policy or information. Please note this distinction. It is also important to note that those items designated as policy are only those policies under the purview of faculty. Some informational items may actually be UNM policy but are not under the purview of faculty so are provided as information for the purposes of this document.

The policies set forth in this Handbook are subject to revision at any time. Any faculty member wishing to propose a change to an existing *Faculty Handbook* policy or propose a new policy should send their request to the Office of the University Secretary.

Kenedi Hubbard,
Secretary of the University

Policy Updates

| Policy | Approval | Summary | Faculty Notification |
|---|--|---|----------------------|
| C09: Respectful Campus | April 25, 2017 - Faculty Senate | Updated Policy Revising current policy to address policy applicability, enforceability, ease of use, and free speech concerns. | 10.8.16 |
| A61.7: Curricula Committee | 11.22.16 - Faculty Senate | Updated Policy Revising current policy to update membership composition reflecting the addition of Honors College and Population Health, and a change in that classification of Public Administration. | 10.21.16 |
| A53: Development and Approval of Faculty Policies | December 22, 2015 - Faculty Senate; January 19, 2016 - Operations Committee | Updated Policy Updated this policy to provide a process for faculty members or academic administrators to propose a policy change or a new policy. The policy revision is designed to ensure the Faculty Senate Policy Committee gets all the information it needs to process a policy request, and that the requestor is kept informed of action taken by the Committee. In addition, definitions were added to clarify the terms used. The revised Policy was approved by the Faculty Senate in December 2015. | February 4, 2016 |
| A53.1 Policies Applicable to Faculty | December 22, 2015 - Faculty Senate | New Policy This new Policy discusses the relationship and authority of the different types of official policies at UNM, and includes a table sorted by subject matter that lists Regent and Administrative policies that are applicable to faculty. This provides one policy document for faculty to use to determine all policies applicable to them. This new Policy was approved by the Faculty Senate December 2015. | February 4, 2016 |
| E60: Sponsored Research | October 27, 2015 - Faculty Senate | Updated Policy Updated the policy to include processes which ensure that administration consults with the Faculty Senate Research Council, HSC Council, and other interested parties to discuss research priorities of and adjustments to the F&A distribution algorithm for sponsored research. | November 18, 2015 |
| A88: Creation and Reorganization | October 27, 2015 - Faculty | Updated Policy | November 18, 2015 |

| | | | |
|---|---|---|-------------------|
| of UNM Academic Units | Senate | Updated the policy to remove research centers and institutes, which are now covered by the new Policy A91 “Creation, Review, Reorganization, and Termination of UNM Research centers and Institutes”. | |
| C280: Leave Without Pay | May 9, 2014 - Faculty Senate and Board of Regents | Updated Policy <ul style="list-style-type: none"> Conform with the new policy structure approved by the Faculty Senate in accordance with Faculty Policy A53 “Development and Approval of Faculty Policies.” Clarify that insurance continues when a faculty member goes on leave without pay, unless the faculty member actively cancels his or her insurance through UNM Human Resources. Extend eligibility for leave without pay to any faculty member, except for adjunct appointments. This policy change will no longer limit leave without pay to full-time faculty only. Update for new position titles. | May 27, 2014 |
| A53: Development and Approval of Faculty Policies | Faculty Senate | Updated Policy Reassign definitions section to the portion of the policy statement that can be revised with Policy Committee and Operations Committee approval. | March 4, 2014 |
| A83: Annual Reports | April 22, 2014 - Faculty Senate | Updated Policy <ul style="list-style-type: none"> Conform with the new policy structure approved by the Faculty Senate in accordance with Faculty Policy A53 “Development and Approval of Faculty Policies.” Provide flexibility to the Provost, HSC Chancellor, and the EVP for Administration to redesign annual reports so they are strategic in nature and align with other current reporting requirements. | April 24, 2014 |
| A61.5: Campus Development Advisory Committee | April 22, 2014 - Faculty Senate | Updated Policy <ul style="list-style-type: none"> to increase membership from ten to twelve members and place in new policy format. Faculty Senate Operations Committee revised to add provision limiting membership to three from the seven areas concurrently. | April 24, 2014 |
| C09: Respectful Campus | Faculty Senate Operations | Updated Procedures | March 4, 2014 |

Committee Changes provide for the ability to report complaints using the UNM Hotline, guidance for ensuring an objective, unbiased investigation, and investigative reporting requirements designed to inform the parties of the complaint while maintaining confidentiality, and alignment of appeals process with C07 "Faculty Disciplinary Policy."

| | | | |
|--|---|---|-------------------------------|
| A61.7: Curricula Committee | February 4, 2014 - Faculty Senate Operations Committee | Updated Procedures Addition of procedures previously approved by the Faculty Senate. | March 4, 2014 |
| C190: Lecturer Annual and Promotion Reviews | November 26, 2013 - Faculty Senate | Updated Policy As a condition of approval Faculty Senate asked the Policy Committee to work with C. Parker and P. Ganderton to develop procedures to address their concerns. | |
| C250: Academic Leave For Principal Lecturers | October 8, 2013 - Board of Regents | New Policy | October 16, 2013 |
| C170: Endowed Chairs and Named Professorships | October 7, 2013 - Faculty Senate in an online ballot | New Policy | |
| A53: Development and Approval of Faculty Policies | August 27, 2013 - Faculty Senate | New Policy | September 25, 2013 |
| C180: Special Administrative Component | August 27, 2013 - Faculty Senate | New Policy | September 25, 2013 |
| E120: Effort Reporting Policy | February 2010 - Faculty Senate; March 2012 - Board of | Updated Policy formerly titled Maternity Leave. | March 30, 2012 |

Regents

| | | | |
|---|---|--|----------------|
| A61.23: Health Sciences Center Council | March 30, 2012 - Faculty Senate | New Policy | March 30, 2012 |
| B5: Separation from the University | March 30, 2012 - Faculty Senate in an online ballot | Updated Policy Revision of terms of renewal of annual contract in Section 5.4 University-Initiated Termination of Contract of a Non-Tenured Faculty Member. | March 30, 2012 |
| B3: Faculty Appointments and Contracts | March 2, 2012 - Faculty Senate in an online ballot | Updated Policy Revision of terms of appointment for Lecturer in Section 3 Continuing Non-Tenure Track Appointments. | March 30, 2012 |
| B2: Faculty Ranks and Titles | March 2, 2012 - Faculty Senate in an online ballot | Updated Policy Creation of new ranks of Lecturer, Senior Lecturer, or Principal Lecturer in Section 2.3 Non-Tenure-- Track Faculty Titles. | March 30, 2012 |
| C07: Faculty Disciplinary Policy | March 22, 2011 - Faculty Senate in an online ballot; December 13, 2011 - Board of Regents | New Policy | March 30, 2012 |
| C215: Parental Leave | November 16, 2010 - Faculty Senate; November 2011 - President | Updated Policy formerly titled Maternity Leave. | March 30, 2012 |
| B3: Faculty Appointments and Contracts | November 7, 2011 - Faculty Senate in an online ballot | New Policy Created and added as a new faculty title in Section 2 Faculty Ranks and Titles. | March 30, 2012 |
| B2: Faculty Ranks and | November 7, 2011 - | New Policy | March 30, 2012 |

Titles Faculty Created and added as a new faculty title in Section 2 Faculty Senate in an Ranks and Titles.
online ballot

C09: Respectful Campus January, 2010 - Faculty Senate; June 16, 2011 - Board of Regents New Policy March 30, 2012

C35: Appointment and Continuation of Deans March 22, 2011 - Faculty Senate Updated Policy March 30, 2012

Table of Contents

Policies

- [Table of Contents \(/policies/index.html\)](/policies/index.html)
- **Section A: The University**
 - [Table of Contents \(/policies/section-a/index.html\)](/policies/section-a/index.html)
 - [A20: Vision, Mission and Value Statements \(/policies/section-a/a20.html\)](/policies/section-a/a20.html)
 - **University Faculty**
 - [A50: The Faculty's Role in the University's Academic Mission \(/policies/section-a/faculty/a50.html\)](/policies/section-a/faculty/a50.html)
 - [A51: Faculty Constitution \(/policies/section-a/faculty/a51.html\)](/policies/section-a/faculty/a51.html)
 - [A52.1: Academic Freedom and Tenure Committee \(/policies/section-a/faculty/a52.1.html\)](/policies/section-a/faculty/a52.1.html)
 - [A52.2: Committee on Governance \(/policies/section-a/faculty/a52.2.html\)](/policies/section-a/faculty/a52.2.html)
 - [A53: Development and Approval of Faculty Policies \(/policies/section-a/faculty/a53.html\)](/policies/section-a/faculty/a53.html)
 - [A53.1 Policies Applicable to Faculty \(/policies/section-a/faculty/a53.1.html\)](/policies/section-a/faculty/a53.1.html)
 - **Faculty Senate**
 - [A60: Faculty Senate Bylaws \(/policies/section-a/faculty-senate/a60.html\)](/policies/section-a/faculty-senate/a60.html)
 - **A61: Faculty Senate Committees**
 - [A61: Faculty Senate Committees \(/policies/section-a/faculty-senate/a61/index.html\)](/policies/section-a/faculty-senate/a61/index.html)
 - [A61.1: Admissions and Registration Committee \(/policies/section-a/faculty-senate/a61/a61.1.html\)](/policies/section-a/faculty-senate/a61/a61.1.html)
 - [A61.2: Athletic Council \(/policies/section-a/faculty-senate/a61/a61.2.html\)](/policies/section-a/faculty-senate/a61/a61.2.html)
 - [A61.4: Budget Committee \(/policies/section-a/faculty-senate/a61/a61.4.html\)](/policies/section-a/faculty-senate/a61/a61.4.html)
 - [A61.5: Campus Development Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.5.html\)](/policies/section-a/faculty-senate/a61/a61.5.html)
 - [A61.6: Information Technology Use Committee \(/policies/section-a/faculty-senate/a61/a61.6.html\)](/policies/section-a/faculty-senate/a61/a61.6.html)
 - [A61.7: Curricula Committee \(/policies/section-a/faculty-senate/a61/a61.7.html\)](/policies/section-a/faculty-senate/a61/a61.7.html)
 - [A61.8: Faculty Ethics and Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.8.html\)](/policies/section-a/faculty-senate/a61/a61.8.html)
 - [A61.9: Faculty and Staff Benefits \(/policies/section-a/faculty-senate/a61/a61.9.html\)](/policies/section-a/faculty-senate/a61/a61.9.html)
 - [A61.10: Governmental Relations Committee \(/policies/section-a/faculty-senate/a61/a61.10.html\)](/policies/section-a/faculty-senate/a61/a61.10.html)
 - [A61.11: Graduate Committee \(/policies/section-a/faculty-senate/a61/a61.11.html\)](/policies/section-a/faculty-senate/a61/a61.11.html)
 - [A61.12: Honorary Degree Committee \(/policies/section-a/faculty-senate/a61/a61.12.html\)](/policies/section-a/faculty-senate/a61/a61.12.html)
 - [A61.14: Library Committee \(/policies/section-a/faculty-senate/a61/a61.14.html\)](/policies/section-a/faculty-senate/a61/a61.14.html)
 - [A61.15: Research Allocations Committee \(/policies/section-a/faculty-senate/a61/a61.15.html\)](/policies/section-a/faculty-senate/a61/a61.15.html)
 - [A61.16: Research Policy Committee \(/policies/section-a/faculty-senate/a61/a61.16.html\)](/policies/section-a/faculty-senate/a61/a61.16.html)
 - [A61.17: Scholarship Committee \(/policies/section-a/faculty-senate/a61/a61.17.html\)](/policies/section-a/faculty-senate/a61/a61.17.html)
 - [A61.18: Teaching Enhancement Committee \(/policies/section-a/faculty-senate/a61/a61.18.html\)](/policies/section-a/faculty-senate/a61/a61.18.html)

- **Section C: Faculty Rules and Benefits**

- **Table of Contents** (</policies/section-c/index.html>)

- **Employment and Appointment Regulations**

- **C05: Rights and Responsibilities at the University of New Mexico** (</policies/section-c/employment-appointment/c05.html>)
- **C07: Faculty Disciplinary Policy** (</policies/section-c/employment-appointment/c07.html>)
- **C09: Respectful Campus** (</policies/section-c/employment-appointment/c09.html>)
- **C10: Employment and Advanced Degrees** (</policies/section-c/employment-appointment/c10.html>)
- **C20: Employment of UNM Graduates** (</policies/section-c/employment-appointment/c20.html>)
- **C30: Employment of Relatives** (</policies/section-c/employment-appointment/c30.html>)
- **C35: Appointment and Continuation of Deans** (</policies/section-c/employment-appointment/c35.html>)
- **C40: Appointment and Continuation in Office of Department Chairpersons** (</policies/section-c/employment-appointment/c40.html>)
- **C50: Faculty Contracts** (</policies/section-c/employment-appointment/c50.html>)
- **C60: Visiting Scholars** (</policies/section-c/employment-appointment/c60.html>)
- **C70: Confidentiality of Faculty Records** (</policies/section-c/employment-appointment/c70.html>)
- **C80: Faculty Office Hours** (</policies/section-c/employment-appointment/c80.html>)
- **C90: Dates of Campus Duty** (</policies/section-c/employment-appointment/c90.html>)
- **C100: Academic Load** (</policies/section-c/employment-appointment/c100.html>)
- **C110: Teaching Assignments** (</policies/section-c/employment-appointment/c110.html>)
- **C120: Summer Session Teaching** (</policies/section-c/employment-appointment/c120.html>)
- **C130: Outside Employment and Conflicts of Commitment** (</policies/section-c/employment-appointment/c130.html>)
- **C140: Extra Compensation Paid by the University** (</policies/section-c/employment-appointment/c140.html>)
- **C150: Political Activities of UNM Faculty** (</policies/section-c/employment-appointment/c150.html>)
- **C170: Endowed Chairs and Named Professorships** (</policies/section-c/employment-appointment/c170.html>)
- **C180: Special Administrative Component** (</policies/section-c/employment-appointment/c180.html>)
- **C190: Lecturer Annual and Promotion Reviews** (</policies/section-c/employment-appointment/c190.html>)

- **Leave Policies and Faculty Absence from Assigned Duties**

- **C200: Sabbatical Leave** (</policies/section-c/leave-absence/c200.html>)
- **C205: Annual Leave** (</policies/section-c/leave-absence/c205.html>)
- **C210: Sick Leave** (</policies/section-c/leave-absence/c210.html>)
- **C215: Parental Leave** (</policies/section-c/leave-absence/c215.html>)
- **C220: Holidays** (</policies/section-c/leave-absence/c220.html>)
- **C225: Professional Leave** (</policies/section-c/leave-absence/c225.html>)
- **C230: Military Leave of Absence** (</policies/section-c/leave-absence/c230.html>)
- **C235: Leave for Service Abroad** (</policies/section-c/leave-absence/c235.html>)

- [C240: Leave of Absence Incident to Political Activity \(/policies/section-c/leave-absence/c240.html\)](/policies/section-c/leave-absence/c240.html)
 - [C245: Faculty Absence from Assigned Duties \(/policies/section-c/leave-absence/c245.html\)](/policies/section-c/leave-absence/c245.html)
 - [C250: Academic Leave For Principal Lecturers \(/policies/section-c/leave-absence/c250.html\)](/policies/section-c/leave-absence/c250.html)
 - [C255: Jury/Court Duty \(/policies/section-c/leave-absence/c255.html\)](/policies/section-c/leave-absence/c255.html)
 - [C260: Religious Accommodations \(/policies/section-c/leave-absence/c260.html\)](/policies/section-c/leave-absence/c260.html)
 - [C280: Leave Without Pay \(/policies/section-c/leave-absence/c280.html\)](/policies/section-c/leave-absence/c280.html)
- **Benefits**
 - [C305: Emeriti Status \(/policies/section-c/benefits/c305.html\)](/policies/section-c/benefits/c305.html)
 - [C320: Enrollment of Faculty in University Courses \(/policies/section-c/benefits/c320.html\)](/policies/section-c/benefits/c320.html)
 - [C335: Faculty Exchanges \(/policies/section-c/benefits/c335.html\)](/policies/section-c/benefits/c335.html)
- **Section D: Teaching and Student Related Policies**
 - [Table of Contents \(/policies/section-d/index.html\)](/policies/section-d/index.html)
 - [D90: Posthumous Degrees \(/policies/section-d/d90.html\)](/policies/section-d/d90.html)
 - [D100: Dishonesty in Academic Matters \(/policies/section-d/d100.html\)](/policies/section-d/d100.html)
 - [D175: Student Conduct and Grievance Procedures \(/policies/section-d/d175.html\)](/policies/section-d/d175.html)
 - [D176: Graduate Student Grievance Procedures \(/policies/section-d/d176.html\)](/policies/section-d/d176.html)
 - [Information: D75: Classroom Conduct \(/policies/section-d/d75.html\)](/policies/section-d/d75.html)
 - [Information: D25: Academic Renewal Policy \(/policies/section-d/d25.html\)](/policies/section-d/d25.html)
 - [Information: D30: Allowable Maximum Semester Load \(/policies/section-d/d30.html\)](/policies/section-d/d30.html)
 - [Information: D40: Audited Courses \(/policies/section-d/d40.html\)](/policies/section-d/d40.html)
 - [Information: D60: Class Lists \(/policies/section-d/d60.html\)](/policies/section-d/d60.html)
 - [Information: D105: Examination to Establish or Validate Credit \(/policies/section-d/d105.html\)](/policies/section-d/d105.html)
 - [Information: D120: Resolving Grade Grievance Involving Failure to Accommodate \(/policies/section-d/d120.html\)](/policies/section-d/d120.html)
 - [Information: D145: Instructor Drops \(/policies/section-d/d145.html\)](/policies/section-d/d145.html)
 - [Information: D170: Student Attendance \(/policies/section-d/d170.html\)](/policies/section-d/d170.html)
- **Section E: Research**
 - [Table of Contents \(/policies/section-e/index.html\)](/policies/section-e/index.html)
 - [E10: Classified Research Policy \(/policies/section-e/e10.html\)](/policies/section-e/e10.html)
 - [E20: Overseas Research: Guidelines \(/policies/section-e/e20.html\)](/policies/section-e/e20.html)
 - [E40: Research Misconduct \(/policies/section-e/e40.html\)](/policies/section-e/e40.html)
 - [E60: Sponsored Research \(/policies/section-e/e60.html\)](/policies/section-e/e60.html)
 - [E70: Intellectual Property Policy \(/policies/section-e/e70.html\)](/policies/section-e/e70.html)
 - [E80: Conflict of Interest Waiver Policy for Technology Transfer \(/policies/section-e/e80.html\)](/policies/section-e/e80.html)
 - [E90: Human Beings as Subjects in Research \(/policies/section-e/e90.html\)](/policies/section-e/e90.html)
 - [E100: Policy Concerning Use of Animals \(/policies/section-e/e100.html\)](/policies/section-e/e100.html)
 - [E110: Conflict of Interest in Research \(/policies/section-e/e110.html\)](/policies/section-e/e110.html)
 - [E120: Effort Reporting Policy \(/policies/section-e/e120.html\)](/policies/section-e/e120.html)
 - [Information: E30: Reprints of Scholarly Research Publications \(/policies/section-e/e30.html\)](/policies/section-e/e30.html)
- **Section F: Branch Campuses**
 - [Table of Contents \(/policies/section-f/index.html\)](/policies/section-f/index.html)
 - [F10: Roles and Functions of UNM Branch Community Colleges \(/policies/section-f/f10.html\)](/policies/section-f/f10.html)

- **F70: Articulation: Degree Approval, Transfer of Course Credit, and Faculty Approval** (</policies/section-ff70.html>)
- **F80: Representation on Faculty Senate and Its Committees** (</policies/section-ff80.html>)
- **F90: Academic Freedom, Tenure, Appointment and Grievance Procedures** (</policies/section-ff90.html>)
- **F100: Teaching Load** (</policies/section-ff100.html>)
- **Information: F20: Statutory Provisions and Funding** (</policies/section-ff20.html>)
- **Information: F30: UNM Gallup Branch Mission Statement** (</policies/section-ff30.html>)
- **Information: F40: UNM Los Alamos Branch Mission Statement** (</policies/section-ff40.html>)
- **Information: F50: UNM Valencia Branch Mission Statement** (</policies/section-ff50.html>)
- **Information: F60: UNM Taos Education Center Mission Statement** (</policies/section-ff60.html>)
- **Abolished Policies**
 - **Table of Contents** (</policies/abolished/index.html>)
 - **Section A**
 - **A61.3: Bachelor of University Studies Faculty Advisory Committee** (</policies/abolished/sec-a/a61.3.html>)
 - **A61.20: University Honors Council** (</policies/abolished/sec-a/a61.20.html>)
 - **A61.13: Intellectual Property Committee** (</policies/abolished/sec-a/a61.13.html>)
 - **A70.1: International Affairs Committee** (</policies/abolished/sec-a/a70.1.html>)
 - **A70.2: Student Publications Board** (</policies/abolished/sec-a/a70.2.html>)
 - **A70.3: Student Conduct Committees** (</policies/abolished/sec-a/a70.3.html>)



Faculty Handbook

Section A: The University

May 29, 2018

Table of Contents

Section A: The University

- [Table of Contents \(/policies/section-a/index.html\)](/policies/section-a/index.html)
- [A20: Vision, Mission and Value Statements \(/policies/section-a/a20.html\)](/policies/section-a/a20.html)
- **University Faculty**
 - [A50: The Faculty's Role in the University's Academic Mission \(/policies/section-a/faculty/a50.html\)](/policies/section-a/faculty/a50.html)
 - [A51: Faculty Constitution \(/policies/section-a/faculty/a51.html\)](/policies/section-a/faculty/a51.html)
 - [A52.1: Academic Freedom and Tenure Committee \(/policies/section-a/faculty/a52.1.html\)](/policies/section-a/faculty/a52.1.html)
 - [A52.2: Committee on Governance \(/policies/section-a/faculty/a52.2.html\)](/policies/section-a/faculty/a52.2.html)
 - [A53: Development and Approval of Faculty Policies \(/policies/section-a/faculty/a53.html\)](/policies/section-a/faculty/a53.html)
 - [A53.1 Policies Applicable to Faculty \(/policies/section-a/faculty/a53.1.html\)](/policies/section-a/faculty/a53.1.html)
- **Faculty Senate**
 - [A60: Faculty Senate Bylaws \(/policies/section-a/faculty-senate/a60.html\)](/policies/section-a/faculty-senate/a60.html)
 - **A61: Faculty Senate Committees**
 - [A61: Faculty Senate Committees \(/policies/section-a/faculty-senate/a61/index.html\)](/policies/section-a/faculty-senate/a61/index.html)
 - [A61.1: Admissions and Registration Committee \(/policies/section-a/faculty-senate/a61/a61.1.html\)](/policies/section-a/faculty-senate/a61/a61.1.html)
 - [A61.2: Athletic Council \(/policies/section-a/faculty-senate/a61/a61.2.html\)](/policies/section-a/faculty-senate/a61/a61.2.html)
 - [A61.4: Budget Committee \(/policies/section-a/faculty-senate/a61/a61.4.html\)](/policies/section-a/faculty-senate/a61/a61.4.html)
 - [A61.5: Campus Development Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.5.html\)](/policies/section-a/faculty-senate/a61/a61.5.html)
 - [A61.6: Information Technology Use Committee \(/policies/section-a/faculty-senate/a61/a61.6.html\)](/policies/section-a/faculty-senate/a61/a61.6.html)
 - [A61.7: Curricula Committee \(/policies/section-a/faculty-senate/a61/a61.7.html\)](/policies/section-a/faculty-senate/a61/a61.7.html)
 - [A61.8: Faculty Ethics and Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.8.html\)](/policies/section-a/faculty-senate/a61/a61.8.html)
 - [A61.9: Faculty and Staff Benefits \(/policies/section-a/faculty-senate/a61/a61.9.html\)](/policies/section-a/faculty-senate/a61/a61.9.html)
 - [A61.10: Governmental Relations Committee \(/policies/section-a/faculty-senate/a61/a61.10.html\)](/policies/section-a/faculty-senate/a61/a61.10.html)
 - [A61.11: Graduate Committee \(/policies/section-a/faculty-senate/a61/a61.11.html\)](/policies/section-a/faculty-senate/a61/a61.11.html)
 - [A61.12: Honorary Degree Committee \(/policies/section-a/faculty-senate/a61/a61.12.html\)](/policies/section-a/faculty-senate/a61/a61.12.html)
 - [A61.14: Library Committee \(/policies/section-a/faculty-senate/a61/a61.14.html\)](/policies/section-a/faculty-senate/a61/a61.14.html)
 - [A61.15: Research Allocations Committee \(/policies/section-a/faculty-senate/a61/a61.15.html\)](/policies/section-a/faculty-senate/a61/a61.15.html)
 - [A61.16: Research Policy Committee \(/policies/section-a/faculty-senate/a61/a61.16.html\)](/policies/section-a/faculty-senate/a61/a61.16.html)
 - [A61.17: Scholarship Committee \(/policies/section-a/faculty-senate/a61/a61.17.html\)](/policies/section-a/faculty-senate/a61/a61.17.html)
 - [A61.18: Teaching Enhancement Committee \(/policies/section-a/faculty-senate/a61/a61.18.html\)](/policies/section-a/faculty-senate/a61/a61.18.html)
 - [A61.19: Undergraduate Committee \(/policies/section-a/faculty-senate/a61/a61.19.html\)](/policies/section-a/faculty-senate/a61/a61.19.html)
 - [A61.21: University Press Committee \(/policies/section-a/faculty-senate/a61/a61.21.html\)](/policies/section-a/faculty-senate/a61/a61.21.html)
 - [A61.23: Health Sciences Center Council \(/policies/section-a/faculty-senate/a61/a61.23.html\)](/policies/section-a/faculty-senate/a61/a61.23.html)
 - [A66: Policy Committee \(/policies/section-a/faculty-senate/a66.html\)](/policies/section-a/faculty-senate/a66.html)
 - [Information: A70: Faculty-Student Standing Committees \(/policies/section-a/faculty-senate/a70.html\)](/policies/section-a/faculty-senate/a70.html)

- [A70.4: Student Union Board](/policies/section-a/faculty-senate/a70.4.html)
- **Colleges and Schools and Related Policies**
 - [A82: Faculty Membership and Powers](/policies/section-a/colleges-schools/a82.html)
 - [A83: Annual Reports](/policies/section-a/colleges-schools/a83.html)
 - [A61.22: Policy Committee](/policies/section-a/colleges-schools/a61.22.html)
- **Other Units**
 - [A88: Creation and Reorganization of UNM Academic Units](/policies/section-a/other/a88.html)
 - [A89: Allocation of Office, Laboratory, and Classroom Space](/policies/section-a/other/a89.html)
 - [A91: Creation, Review, Reorganization, and Termination of UNM Research Centers and Institutes](/policies/section-a/other/a91.html)

A20: Vision, Mission and Value Statements

(Approved by the Regents, December 2001)

Vision Statement

UNM will build on its strategic resources:

- to offer New Mexicans access to a comprehensive array of high quality educational, research, and service programs,
- to serve as a significant knowledge resource for New Mexico, the nation, and the world; and
- to foster programs of international prominence that will place UNM among America's most distinguished public research universities.

Mission Statement

The University will engage students, faculty, and staff in its comprehensive educational, research, and service programs. UNM will provide students the values, habits of mind, knowledge, and skills that they need to be enlightened citizens, to contribute to the state and national economies, and to lead satisfying lives. Faculty, staff, and students create, apply, and disseminate new knowledge and creative works; they provide services that enhance New Mexicans' quality of life and promote economic development; and they advance our understanding of the world, its peoples, and cultures. Building on its educational, research, and creative resources, the University provides services directly to the City and State, including health care, social services, policy studies, commercialization of inventions, and cultural events.

Value Statement

The values of the individuals who teach, learn and work at UNM have shaped over time the values of the University. Our values provide a frame of reference for making decisions. They contribute to the general atmosphere of the University and then guide us in our teaching, our pursuit of knowledge and our public service.

Academic Freedom: As a center of knowledge, the University adheres to the doctrines of academic freedom and free speech. The University will continue to protect the exploration of ideas and will encourage inquiry and creative activity by students, faculty and staff. At the same time the University opposes statements and activities that reflect bigotry and prejudice and that consequently tend to diminish active participation by all elements of the academic community and to inhibit the free expression of ideas.

Diversity Within the Academic Community: The University values the diversity of its students, faculty, staff and the other people with whom it interacts. Our differences assure that the University is a forum for the expression, consideration and evaluation of ideas. The educational process on our campus is clearly enriched and strengthened by the fact that these ideas arise and are evaluated from such diverse perspectives.

Creativity and Initiative: The University moves forward in its academic programs, student support services, and other operations by encouraging and rewarding creativity and initiative among faculty, staff, and students.

Excellence: At the University, we value excellence in our people, in our programs, in our facilities. We have a responsibility to encourage and develop excellence among our faculty, staff and students. We are committed to be leaders.

Integrity and Professionalism: Integrity and ethical, professional behavior by all individuals associated with UNM are essential in order for students, faculty, staff and the public to have trust in the University.

Access and Student Success: We have a clear obligation to provide a quality higher education to all New Mexico students who have the capability to succeed. This obligation is combined with the responsibility to provide an environment and appropriate support to give every individual his or her best chance of success.

A50: The Faculty's Role in the University's Academic Mission

The University faculty has broad powers assigned to it by Board of Regents and the Faculty Constitution and as stated in the Constitution, University faculty shall have the right of review and action in regard to the following:

1. formulation of institutional aims;
2. creation of new colleges, schools, and departments and divisions;
3. major curricular changes and other matters which in the opinion of the President of the University or his delegate to affect the institution as a whole;
4. requirements for admission and graduation and for honors and scholastic performance in general;
5. approval of candidates for degrees (honorary degrees and posthumous degrees);
6. policies of appointment, dismissal, and promotion in academic rank;
7. research, and
8. general faculty welfare.

However, actions taken by the University faculty shall be subject to the authority of the Regents in matters involving finance, personnel, and general University policy. Additionally, see Article I, Sec. 6, of the "Faculty Constitution" Policy [A51](/policies/section-a/faculty/a51.html) for responsibilities delegated to the Faculty Senate.

The Constitution, was approved by the faculty in 1949, ratified by the Regents the same year, and amended since that time in several particulars.

See also "The Faculty's Role in the University's Academic Mission" Section [5.1](http://policy.unm.edu/regents-policies/section-5/5-1.html), *Regents' Policy Manual*.

A51: Faculty Constitution

Article I. The University Faculty

Section 1. Membership

(a) *Membership*: The University Faculty shall consist of the Professors, Associate Professors, Assistant Professors, Clinician Educators, Lecturers, and Instructors, including part-time and temporary appointees. The President of the University, Provost, other administrative officers at the level of Vice President and above, Deans, and the Secretary of the University shall be ex-officio members of the Faculty whether or not they are actively engaged in teaching.

(b) *Voting Faculty*: Members of the University who are eligible to vote shall include all members of the University Faculty at professorial ranks (Instructors, Assistant Professors, Associate Professors, and Professors) Clinician Educators, and lecturers. No person holding an interim or temporary faculty appointment shall be a member of the Voting Faculty unless he or she be a member ex officio or on an initial term appointment. The ex officio members of the University Faculty as listed in *Section 1(a)* shall be ex officio members of the Voting Faculty.

(c) *Eligibility*: Questions of eligibility for voting which may arise shall be settled by the presiding officer of the Faculty as defined in Section 3. Any appeal from the decision should be taken to the Voting Faculty. The Faculty Contracts Office shall prepare the official list of the membership of the Faculty and of the Voting Faculty as defined above.

Section 2. Responsibilities:

(a) The University Faculty shall have the right of review and action in regard to the following:

- (1) formulation of institutional aims;
- (2) creation of new colleges, schools, and departments and divisions;
- (3) major curricular changes and other matters which in the opinion of the President of the University or his delegate affect the institution as a whole;
- (4) requirements for admission, graduation, honors, and scholastic performance in general;
- (5) approval of candidates for degrees;
- (6) policies of appointment, dismissal, and promotion in academic rank;
- (7) research; and
- (8) general faculty welfare.

However, actions taken by the University Faculty shall be subject to the authority of the Board of Regents in matters involving finance, personnel, and general University policy.

(b) The enunciation of the rights and responsibilities delegated to University Faculty in Section 2 (a) and resulting policies shall be contained or referenced in the Faculty Handbook. All university policies that pertain to the rights and responsibilities of faculty, the terms and conditions of faculty employment, and

academic matters shall be published in the Faculty Handbook by the Secretary of the University under the jurisdiction of the duly elected faculty governing leaders. The Faculty Handbook shall have primacy over all faculty policies and procedures. However, the Board of Regents reserves final authority over all University policies and procedures.

Section 3. Organization:

The President of the University or in his absence the Provost/Executive Vice President for Academic Affairs, shall be the presiding officer of the University Faculty. The Secretary of the University shall be the secretary of the faculty.

Section 4. Rules of Order and Agenda:

(a) The University Faculty shall conduct business according to Robert's Rules of Order, except as modified by Faculty vote.

(b) The agenda for University Faculty meetings shall be prepared by the University Secretary under the direction of the Committee on Governance. The proceedings of each meeting shall be recorded. Meeting minutes, and the audio files shall be made available by the Secretary's office for reference by any faculty member.

Section 5. Meetings:

(a) *Meetings:* Special meetings of the University Faculty may be called (1) by the presiding officer at his or her discretion, (2) by the Committee on Governance, (3) by no fewer than five percent of the Voting Faculty on active duty at the beginning of the academic year whenever a request is made in writing, or (4) by a majority vote of any college faculty.

(b) *Quorum:* Those members of the Voting Faculty present, but no fewer than ten percent of the Voting Faculty on active duty at the beginning of the academic year, shall constitute a quorum for business at a faculty meeting. Members not on active duty may, however, attend meetings and vote. Voting shall be by a simple majority of those present, except on procedural matters, which shall be governed by Robert's Rules of Order, and on amendments to this Constitution, which shall be voted upon in the manner prescribed in Article IV, Section 2. (On April 8, 1975, the Faculty approved a proposal that members of the Voting Faculty not on active duty i.e., those on leave be permitted to vote on any issue submitted to the Faculty by ballot.)

(c) *Committee on Governance:* A committee of five voting members of the general faculty to be known as the Committee on Governance who are not members of the Faculty Senate shall be nominated and elected by ballot for overlapping three-year terms. Duties of this committee are to prepare, in conjunction with the Secretary of the University, the agenda of general faculty meetings; to oversee elections, including referenda; to recommend adjustments, improvements and refinements in the faculty organizational structure; to represent the general faculty to the Senate; and to call meetings of the general faculty when necessary. The committee shall annually elect a chair.

(d) *Standing rules Governing Meetings of the University Faculty:*

- (1) "Meetings shall normally be scheduled for two hours.
- (2) If the agenda of a particular meeting is not concluded within two hours, a motion to adjourn shall include provision for a subsequent meeting. Alternatively, a two-thirds vote of those present could extend the meeting for another thirty minutes."
- (3) "Discussion and debate of any item on the agenda shall be limited to forty-five minutes unless an extension of that time is approved by majority vote. No person may speak more than twice on any item, nor longer than five minutes at either time. The presiding officer will adjudge specific applications of this standing rule."
- (4) "Qualified members of the press are admitted to faculty meetings."

Section 6. The Faculty Senate

(a) *Faculty Senate*: There is created the Faculty Senate to which the responsibilities of the University Faculty set forth in Section. 2 are hereby delegated, with the specific exceptions of (1) the responsibility of approving changes in the constitution, (2) the responsibilities assigned by Section. 7 (a) to the Academic Freedom and Tenure Committee, and (3) the right of the Faculty to hold special meetings as described in Section 6(i). All actions under this delegation are subject to the rights of review and referendum reserved to the University Faculty by Section. 6(h).

(b) The Faculty Senate shall be composed as follows:

(i) The Faculty Senate shall be made up of 68 members, of which 63 are chosen according to the number of full-time voting faculty in each academic unit, and 5 chosen at large except as noted in vi below. The number of senators for each academic unit (school, college, or branch with a full-time academic faculty) shall be determined yearly by first dividing the set number of senators (63) into the total number of voting faculty in the University followed by using this resulting number to determine the proportional representation for each of the units with academic faculty. This calculation will be subject to modification as specified by the following rules.

(ii) For purposes of calculating the number of full-time faculty members the actual number of full-time contracted faculty shall be used. Budgeted positions not filled and part-time faculty will not be counted.

(iii) All academic units will be represented by at least one senator; that is, those units whose proportional representation is calculated as zero due to their small number of faculty, will be assigned one senator while maintaining a total of 63 senators (excluding the at-large senators).

(iv) No academic unit will be represented by more than one-third of the senators chosen proportionally; that is, those academic units whose proportion of all full-time voting faculty would be greater than 21 senators out of 63 will be assigned only 21 senators.

(v) The remaining academic units, that is, those units whose number of senators are not assigned by the rules in iii and iv, will be assigned a number of senators according to the proportion of the full-time voting faculty of those units out of the remaining senators (that is, the remainder from 63 after the assignment of senators to units as modified by iii and iv).

(vi) If there is a discrepancy in number of senators assigned by proportion according to ii, iii, iv, and v due to rounding, that is, if the number of senators assigned by proportion according to ii-v leads to a total of 64 or 62 senators, then the number of senators chosen at-large will be adjusted so that the total number of senators remains at 68.

(vii) A full-time faculty member holding appointments in more than one school or college shall select his constituent school or college for purposes of representation in and election to the Faculty Senate by filing a written notice of such selection with the Secretary of the University no later than the first day of the spring semester of each election year.

(viii) The Provost, Chancellor, vice presidents and associate vice presidents of the university and all deans of schools and colleges and directors from branch colleges shall be ex-officio, non-voting members of the Faculty Senate.

(viii) The President of the University, the Secretary of the University, and the Presidents of the Associated Students (ASUNM) and the Graduate and Professional Student Association (GPSA) shall be ex-officio members of the Faculty Senate without vote.

(c) Eligibility, nominations and elections:

(1) All members of the Voting Faculty as identified in Article 1, Section 1(b), with the exception of ex-officio members, shall be eligible for election as voting members of the Faculty Senate.

(2) Procedures for the nomination of individuals eligible for election to the Faculty Senate under the provisions of Section 6(b)(1i) and Section 6(c)(1) above shall be determined by the faculty members of each school or college which procedures and any subsequent changes therein shall be filed in writing with the Secretary of the University; provided, however, that academic deans and vice presidents shall not be eligible. Elections of school and college, senators shall be completed and the certified results shall be filed with the Secretary of the University no later than the last working day of the sixth week of the spring semester as it appears in the official academic calendar of the University.

(3) Procedures for the nomination of individuals eligible for election to the Faculty Senate under the provisions of Section 6(b)(3) and Section 6(c)(1) shall be determined by faculty members of non school or college academic units. The procedures and any subsequent changes therein shall be filed in writing with the Secretary of the University. Elections of non-school or college academic units shall be accomplished and the certified results shall be filed with the Secretary of the University no later than the last working day of the sixth week of the spring semester as it appears in the official academic calendar of the University.

(4) Nominations of individuals consenting to stand for election to the Faculty Senate under the provisions of Section 6(b)(4) above shall be made in writing to the Secretary of the University no later than the last working day of the ninth week of the spring semester as it appears in the official academic calendar of the University. Ex-officio members of the Voting Faculty shall not be eligible for nomination.

(5) Elections of half the members of the Faculty Senate shall be held annually in the spring semester of the academic year. Elections by the Voting Faculty for the at large members of the Faculty Senate shall be conducted by the Secretary of the University.

(6) The Secretary shall notify all Faculty in writing of the results of the election of senators from all schools and colleges within five working days of the deadline specified in 6(c)(2). Final election results shall be reported by the Secretary of the University in writing to each member of the Voting Faculty prior to the last day of the spring semester as it appears in the official academic calendar of the University.

(7) Voting members of the Faculty Senate shall be elected for terms of two years or until their successors are named, and shall take office on July 1 of the same year of their election. All elections shall be for two-year terms. No one shall serve more than four consecutive years as a voting member. Before regaining eligibility as a member, an interim of at least one year must elapse.

(8) Schools, colleges shall provide their own procedures for filling vacancies in their delegations, which procedures and any subsequent changes in them shall be filed in writing with the Secretary of the University. When the positions of Senator-at-Large become vacant for any reason, the Committee on Governance shall make arrangements with the Secretary of the University for holding special elections to fill such vacancies.

(9) Schools and colleges and faculty from non-school or college academic units shall provide their own procedures for filling vacancies in their delegations, which procedures and any subsequent changes in them shall be filed in writing with the Secretary of the University.

(d) Organization and Procedures: The members of the Faculty Senate shall determine how the Senate shall be organized and what procedures shall be established to carry out the responsibilities delegated to it by Section 6(a) above; provided, however, that the presiding officers of the Senate shall be elected by the voting membership from among their number, provided that the Secretary of the University shall serve as the secretary of the Senate.

(e) Meetings: The Faculty Senate shall meet no less frequently than once per month during the regular sessions of the academic year exclusive of the summer session. Members of the University Faculty may observe the proceedings in a space provided for them. Individual faculty members may address the Senate by request to the presiding officer or at the request of any senator. The Senate may provide reasonable limitations as deemed necessary.

(f) Attendance at Meetings: The Faculty Senate shall establish reasonable requirements for attendance at regularly scheduled meetings of the Senate and shall remove from office any member failing to meet those requirements.

(g) Agenda and Minutes: All actions of the Faculty Senate shall be reported in writing to the Voting Faculty regularly and within ten (10) working days of such action. Additionally, the approved minutes of the Faculty Senate shall be distributed to the University Faculty within three working days after the meeting at which they are approved.

(h) Committees: The Academic Freedom and Tenure Committee which is expressly preserved in Sections. 7(a) and (b) below, and the Committee on Governance are committees independent of the Faculty Senate. All other standing committees of the University Faculty, are committees of the Senate and are responsible to it. In order to discharge the responsibilities delegated to it by this Constitution, the Faculty Senate is empowered to create, abolish, merge, or otherwise redefine functions of standing committees of the Faculty Senate. Each standing committee under the jurisdiction of the Faculty Senate as provided for in this subsection shall have at least one senator as member. Any member of the University Faculty is eligible for membership on standing or special committees. No member shall serve on more than two standing committees at a time.

(i) Review and Referendum: The University Faculty reserves the right of review over actions of the Faculty Senate in that the Senate is the agent of the University Faculty and exercises all authority by way of delegation. By written petition to the President of five percent of the Voting Faculty, issues not raised by the Faculty Senate may be placed on the agenda of a special faculty meeting, debated, and submitted by a ballot of the Voting Faculty for majority decision.

(1) All actions taken and so reported shall be subject to review and reconsideration by the University Faculty upon written petition made to the President of the University by not less than five percent of the members of the Voting Faculty, provided such petition is received by the President no later than one month after the Senate action is taken. Senate action shall become effective after one month unless the President receives a valid petition within this period.

(2) The President shall convoke the University Faculty within ten (10) working days following receipt of a valid petition. The agenda of such a faculty meeting shall be limited to debate on the petitioned matter(s) and the faculty may vote to have the Faculty Senate reconsider the action(s) involved, which reconsideration must be undertaken no later than the next regular meeting of the Faculty Senate.

(3) If the Faculty Senate reaffirms the questioned and referred action(s), the question shall then be submitted to the entire Voting Faculty by mail referendum within ten (10) working days of the Faculty Senate's action of reaffirmation. If fifty percent of the Voting Faculty cast ballots, and if a simple majority of those voting disapprove of the Senate's action(s), the Senate shall be overruled. Ballots will be conducted and administered by the University Secretary.

Section 7. Academic Freedom and Tenure Committee

(a) Charge: There shall be an Academic Freedom and Tenure Committee to discharge the functions assigned to it under the provisions of the Policy on Academic Freedom and Tenure; from time to time to review the policy and recommend appropriate changes in it; to hear appeals regarding sabbatical leave applications; and to make recommendations for appropriate changes in the sabbatical leave policy of the University.

(b) Membership: The membership of the Academic Freedom and Tenure Committee shall be composed and elected as follows: thirteen members, all of whom shall be members of the Voting Faculty, with tenure (or whose tenure decision date has passed without adverse notification). Not more than one member of

any department shall serve as a member on the committee at the same time. The Voting Faculty shall submit nominations in writing according to the instructions in the call for nominations to the University Secretary. Election shall be conducted by electronic ballot, accompanied by biographical sketches of the nominees, distributed by the Secretary to all members of the Voting Faculty who shall then indicate their choices up to a maximum of six in even-numbered years or of seven in odd-numbered years. The six nominees in even-numbered years or the seven nominees in odd-numbered years receiving the highest number of votes shall become members of the committee for a two-year term commencing at the start of the academic year following election. The remaining nominees shall be called on to serve, in order of the votes they have received, as replacements to complete the terms of any members of the committee who shall resign from the committee during the academic year following the election. No committee member shall serve more than two consecutive two-year terms. The chair shall be elected by committee. For a complete statement of the composition, functions, and duties of the Committee on Academic Freedom and Tenure, see Section 6 of the Policy on Academic Freedom and Tenure.

Article II. College and Departmental Organization

Section 1 College Responsibilities: The Faculty of each College, School shall be an autonomous unit in all matters relating to that particular College, School subject to review under the powers set forth in Article I, Section 2.

Section 2 Membership: Faculty membership in a college or department shall be as defined in Article I, Section 1(a) for membership on the University Faculty. For college and departmental voting purposes, such membership shall normally be as defined in Article I, Section 1(b). Those faculty members of a college or department whose eligibility to vote is defined in Article I, Section 1(b) may, upon formal motion and majority approval, establish a general policy extending voting privileges in that college or department to those - i.e., faculty members - holding temporary or part-time appointments in that college or department. Formal notification of such action shall be made to the Secretary of the University. Persons described in Article I, Section 1(a) and 1(b) as ex-officio members of the Faculty shall have voting privileges only in the colleges and departments in which they hold academic rank.

Section 3 Procedure

(a) The Faculty of each College shall decide upon the procedure for the efficient functioning of the College.

(b) Regular meetings shall be held at intervals agreed upon by the College Faculty. Special meetings shall be called at the discretion of the presiding officer or whenever a request in writing is made by ten members of the College Faculty, or by a majority from a Faculty of fewer than twenty members.

Section 4. Departments

(a) The Faculty of each Department shall, with the advice and consent of the Dean of the College, decide upon the organization and procedure for the efficient functioning of the Department.

(b) Meetings shall be called at the discretion of the presiding officer or whenever a request in writing is made by ten percent of the departmental faculty.

Article III. The Administration

Section 1 The President: The President of the University shall be the principal officer of the University and with the assistance of his administrative officers shall carry out the measures enacted by the Voting Faculty within the scope of its responsibilities, and shall perform those duties assigned by the Regents.

Section 2. Provost and Chancellor for Health Sciences:

(a) The appointment or reappointment of the Provost shall be made by the President after consultation with college deans, Faculty Senate President, University officers, Faculty and other interested persons. The Provost shall perform the duties of his or her office as assigned by the President.

(b) The appointment or reappointment of the Chancellor for Health Sciences shall be made as provided and prescribed in Regents Policy 3.4. The Chancellor for Health Sciences shall perform the duties of his or her office as provided and prescribed in Regents Policy 3.4 and related Regents Policies.

Section 3. Deans/Directors of Colleges and Schools:

(a)(1) The Provost may appoint or reappoint Deans of Colleges and Schools and the Dean of Graduate Studies and delegate to such Deans as is consistent with Regent policies (as per Section (a)2 below. In this connection, the Provost will, prior to any such appointment or reappointment of Deans, consult with the President departmental college faculty and chairs, Faculty Senate President, University officers, and other interested persons. In the case of the appointment or reappointment of the Dean of Graduate Studies, the Provost will, in addition to the consultations noted above, also consult with the Faculty Senate Graduate and Professional Committee.

(2) Pursuant to the provisions of Regents Policy 3.4, the Chancellor for Health Sciences may appoint or reappoint Deans of the component colleges and schools of the Health Sciences Center and may delegate to such Deans as is consistent with Regent policies and policies of the University that are applicable to the Health Sciences Center. In this connection, the Chancellor for Health Sciences will, prior to that appointment or reappointment, consult with the President, departmental college faculty and chairs, Faculty Senate President, other University officers, and other interested persons.

(b) The Dean shall be the principal officer of the College or School and shall act as executive officer and representative of the College Faculty. With regard to educational policy, the dean shall prepare plans for consideration of the Faculty, shall carry into effect those plans which it adopts and shall perform such other duties as fall within the scope of the office.

(c) The Dean shall be the presiding officer at meetings of the College Faculty. In case of absence or inability to preside, a substitute shall be designated.

Article IV. General

Section 1 Adoption of Constitution: This Constitution shall be effective when approved by a two-thirds vote of the University Faculty present and voting and ratified by the Regents.

Section 2 Amendments: This Constitution may be amended by a two-thirds vote of those Voting Faculty members responding to an electronic ballot after presentation twice to the Faculty for debate in meetings at least four weeks apart and subsequent ratification by the Regents.

Section 3 Distribution: The Secretary of the University shall publish this Constitution and the Bylaws as amended in the Faculty Handbook.

Approved by the University Faculty

April 11, 1949 and December 18, 2014

Ratified by the Regents

May 14, 1949 and February 6, 2015

Amended in 1957, 1967, 1969, 1970, 1971, 1973, 1974, 1975, 1976, 1977, 1978, 1979, 1981, 1982, 1985, and 2015

A52.2: Committee on Governance

Policy

The Committee on Governance is a constitutionally designated standing committee of the general faculty and members are elected by the entire voting faculty.

According to the Faculty Constitution, Article I, Sec. 5(c) as amended in 1984:

(A committee of five voting members of the general faculty shall be nominated and elected by mail ballot for overlapping three-year terms. Duties of this committee are to prepare, in conjunction with the Secretary of the University, the agenda of general faculty meetings; to oversee elections, including referenda; to recommend adjustments, improvements and refinements in the faculty organizational structure; to represent the general faculty to the Senate; and to call meetings of the general faculty when necessary. The Committee shall annually elect a chair.)

A53: Development and Approval of Faculty Policies

Approved By: Faculty Senate

Effective Date: January 19, 2016

Responsible Faculty Committees: Policy and Operations

Office Responsible for Administration: Office of the University Secretary

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

Policy Rationale

The *Faculty Handbook* provides University of New Mexico (UNM) faculty with a written record of faculty policies and procedures. Policies in the *Faculty Handbook* are unifying documents that describe academic principles, the reasoning behind the principles, and institutional procedures necessary for implementation. *Faculty Handbook* policies contain governing principles and procedures that mandate or constrain actions and apply to UNM faculty; therefore, the development of policies requires input from faculty members who have extensive knowledge on the subject matter and review by faculty members from a variety of academic disciplines at UNM.

Policy Statement

All UNM policies which pertain primarily to faculty and academic matters are placed in the *Faculty Handbook* and are subject to the review and approval requirements defined in this Policy Document, with the exception of Section B “Academic Freedom and Tenure” which follows a separate review and approval protocol. The scope of *Faculty Handbook* policies is established by the **Faculty Constitution** (</policies/section-a/faculty/a51.html>) and the right to review and take action on these policies is granted to the faculty by UNM Board of **Regents Policy 5.1** (<http://policy.unm.edu/regents-policies/section-5/5-1.html>) “The Faculty’s Role in the University’s Academic Mission.” This policy describes the process used to develop or amend *Faculty Handbook* policies, solicit input, and obtain approval.

1. Proposing a New Policy or Changes to Existing Policy. Any faculty member or academic administrator wishing to propose a change to an existing *Faculty Handbook* policy or propose a new policy should send their request to the Office of the University Secretary, who will forward it to the Faculty Senate Policy Committee (FSPC) for consideration. This request should include a draft policy document which shows proposed changes to the existing policy with track changes, or in the case of a new policy the request will include a proposed policy draft addressing the concerns it is intended to address. This request should also include a statement of the reason(s) for the proposed policy change(s) or the new policy. Because faculty policy is a shared governance process, policy actions generally require one to two full

semesters for appropriate review, approval, and implementation. The FSPC will review the request and work with the appropriate Faculty Senate committee(s) to determine the most effective course of action. The Office of University Secretary will notify the requestor of the action taken by the FSPC.

2. Approval. Proposed new faculty policy statements, in their entirety, and changes to the Policy Rationale, Policy Statement, and Applicability sections of existing policies will be posted on the *Faculty Handbook* website for review by UNM faculty members. The Office of the University Secretary in consultation with the Chair of the FSPC will address any comments received from faculty and will forward the final proposed draft to the Faculty Senate for approval. Due to the nature of the policy or previous approval history, specific policies will also require approval by University faculty, the UNM Board of Regents, and/or the UNM President and/or Provost or the Chancellor for Health Sciences. Proposed changes to definition, procedural, and information portions of a policy document will be reviewed by the FSPC in consultation with the responsible Faculty Senate Committee(s) listed in the Policy Heading. After review and consultation, the proposed changes can be made with approval by both the FSPC and the Faculty Senate Operations Committee.

3. Distribution and Notification of New or Amended Policy.

Upon approval, the new or amended policy will be placed on the *Faculty Handbook* website and announced to the campus. Deans and department chairs, or their designees, are responsible for:

- informing their faculty members of new policies or changes to existing policies; and
- updating all related departmental processes, procedures, and/or documents to reflect new or amended policies.

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

Policy and Procedures are sections of each policy document. Changes to the Policy Section require approval of the approving bodies listed in the policy heading; at a minimum this includes the Faculty Senate. Changes to the procedures section requires approval of the Faculty Senate Policy and Operations Committees.

Policy. Provides the overall intention and direction of the policy and major mandated actions or constraints.

Procedures. Provide the information and/or steps necessary for policy compliance and outlines how the policy's requirements will be met.

To assist with implementation of the policy, standards and guidelines may be issued by the office responsible for administration of a specific policy, as identified in the heading of each policy.

Standards. Required processes necessary for compliance with the policy document.

Guidelines. Recommended practices or processes designed to streamline particular processes according to a set routine or sound practice. Guidelines allow some **discretion** (<http://www.businessdictionary.com/definition/discretion.html>) or leeway in interpretation, implementation, or use.

Who Should Read This Policy

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

Related Documents

UNM Regents' Policy Manual **Policy 5.1** (<http://policy.unm.edu/regents-policies/section-5/5-1.html>) “The Faculty’s Role in the University’s Academic Mission”

Faculty Handbook **Policy A50** (</policies/section-a/faculty/a50.html>) “The Faculty’s Role in the University’s Academic Mission”

Faculty Handbook **Policy A51** (</policies/section-a/faculty/a51.html>) “Faculty Constitution”

University Administrative Policies

(<http://policy.unm.edu/university-policies/>) **University Catalog**

(<http://catalog.unm.edu/>) **Pathfinder**

(<http://pathfinder.unm.edu/>) HSC Policy on Policies, which contains procedures specific to the HSC

Contacts

Direct any questions about this Policy to the **Office of the University Secretary** (<http://secretary.unm.edu/>).

Procedures

Faculty Handbook policies are designed to ensure that policy level portions can only be changed with approval of the Faculty Senate, but also allow for a streamlined approval process for definitional, procedural and information oriented sections of the policy to allow for timely updating to reflect new practices and/or information.

1. *Faculty Handbook* policies are composed of the following sections.

1.1 Heading. In addition to policy title and number, the heading of the policy identifies:

- The approving bodies (i.e. Faculty Senate, Provost/Chancellor for Health Sciences, President, Board of Regents, and/or University Faculty).
- Responsible Faculty Senate committee(s).

- Office responsible for administration of the Policy.

1.2 Policy Rationale. Describes the reason for the policy, its relationship to UNM's academic values and/or mission, and any philosophical, stewardship, legal, regulatory, or other requirements the policy aims to meet.

1.3 Policy Statement. Includes the overall intention and direction of the policy and major mandated actions or constraints. It does not include procedures, which are placed in a separate section to allow for greater flexibility when updating is necessary.

1.4 Applicability. Identifies which individuals and/or University units are subject to the policy. Some policies may apply to the entire academic community, while others may apply only to Main Campus, the Health Sciences Center, and/or Branch Campuses.

1.5 Definitions. Defines terms that have specialized or particular meaning in the policy.

1.6 Who Should Read This Policy. Lists individuals who must understand the policy in order to make decisions and/or do their jobs.

1.7 Related Documents. Lists related UNM policy documents and other UNM and external documents that provide helpful, relevant information.

1.8 Contacts. Contains information to assist faculty members in complying with the policy.

1.9 Procedures. Includes procedures necessary for policy compliance and outlines how the policy's requirements will be met.

1.10 History. Lists dates of amendments and summary information on changes approved.

2. Approval process for Policy Level Portions of Faculty Policies. Changes to policy level portions of the policy (sections 1.2 –1.4, herein) require approval by the approving bodies listed in the policy heading. At a minimum this includes the Faculty Senate and depending on the impact of the policy, approval may also require action by the President or Provost/Chancellor for Health Sciences, Board of Regents, and/or University faculty.

3. Approval process for Definitions, Procedures, and Information Portions of Faculty Policies. Changes to definition, procedural and information portions of the policy (sections 1.5 –1.10, herein) can be made with approval by both the Faculty Senate Policy Committee (FSPC) and the Faculty Senate Operations Committee in consultation with the responsible Faculty Senate Committee(s) listed in the policy heading.

History

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

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

August 27, 2013 – Approved by the Faculty Senate

January 20, 2015 – Amended procedures section to remove AF&T and Research Policy Committees from process.

January 19, 2015 – **Amended definitions** (</updates/2015/a53-updated.html>)

A53.1 Policies Applicable to Faculty

Approved By: Faculty Senate

Effective Date: December 22, 2015

Responsible Faculty Committees: Policy Committee

Office Responsible for Administration: Office of the University Secretary

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

Policy Rationale

The Faculty Handbook provides University of New Mexico (UNM) faculty with a written record of faculty policies and procedures. Policies in the Faculty Handbook are unifying documents that describe academic principles, the reasoning behind the principles, and institutional procedures necessary for implementation. Faculty Handbook policies contain governing principles and procedures that mandate or constrain actions and apply to UNM faculty.

Policy Statement

Faculty policies are governed by UNM Board of Regents' Policies. The *Board of Regents' Policy Manual* (<http://policy.unm.edu/regents-policies/>) shall be controlling in any matters in which there is an inconsistency between the *Faculty Handbook* and the *Board of Regents' Policy Manual*. All UNM policies which pertain primarily to faculty and academic matters are placed in the *Faculty Handbook*. The scope of *Faculty Handbook* policies is established by the "Faculty Constitution" and the right to review and take action on these policies is granted to the faculty by UNM Board of Regents Policy 5.1 "The Faculty's Role in the University's Academic Mission."

The *Faculty Handbook* shall be controlling in any faculty and academic matters in which there is an inconsistency between the *Faculty Handbook* and the *University Administrative Policies and Procedures Manual* (<http://policy.unm.edu/university-policies/>), the *University Catalog* (<http://catalog.unm.edu/>), or the *Pathfinder* (<http://pathfinder.unm.edu/>). It is not the purpose of the *Faculty Handbook* to serve as a manual of school/college and departmental policies or procedures; however, the *Faculty Handbook* shall be controlling in all matters in which there is inconsistency. Although, policies applicable to faculty are primarily published in the *Faculty Handbook*, some policies published in the *University Administrative Policies and Procedures Manual* also apply to faculty and these policies are described and listed in the Procedures Section of this document.

Applicability

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

Definitions

No specific definitions are required for this Policy

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

Who Should Read This Policy

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

Related Documents

Board of Regents' Policy Manual (<http://policy.unm.edu/regents-policies/>)

University Administrative Policies and Procedures Manual (<http://policy.unm.edu/university-policies/>)

Contacts

Direct any questions about this Policy to the **Office of the University Secretary** (<http://secretary.unm.edu/>).

Procedures

| Topic | Board of Regents' Policies (RPM) | Faculty Handbook Policies (FH) | University Administrative Policies (UAP) |
|---|--|--|--|
| Academic Adjustments for Students with Disabilities | | | UAP2310 (https://policy.unm.edu/university-policies/2000/2310.html) |
| Academic Dishonesty | RPM4.8 (https://policy.unm.edu/regents-policies/section-4/4-8.html) | FHD100 (http://handbook.unm.edu/section-d/d100.html); D175 (http://handbook.unm.edu/section-d/d175.html) | |
| | RPM1.5 (https://policy.unm.edu/regents-policies/section-1/1-5.html); 2.1 (https://policy.unm.edu/regents-policies/section-2/2-1.html); 2.3 (https://policy.unm.edu/regents-policies/section-2/2-3.html); 5.2 | FHA51 (http://handbook.unm.edu/section-a/a51.html); Section B1-B6 (http://handbook.unm.edu/section-b/index.html); C09 | UAP2060 (https://policy.unm.edu/university-policies/2000/2060.html); 2220 |

| | | | |
|--|--|---|---|
| Academic Freedom and Tenure | (https://policy.unm.edu/regents-policies/section-5/5-2.html); 5.16 (https://policy.unm.edu/regents-policies/section-5/5-16.html); 6.5 (http://policy.unm.edu/regents-policies/section-6/6-5.html) | (http://handbook.unm.edu/section-c/c09.html); C150 (http://handbook.unm.edu/section-c/c150.html) | (http://policy.unm.edu/university-policies/2000/2220.html) |
| Academic Mission | RPM5.1 (http://policy.unm.edu/regents-policies/section-5/5-1.html) | FHA20 (http://handbook.unm.edu/section-a/a20.html); A50 (http://handbook.unm.edu/section-a/a50.html); A51 (http://handbook.unm.edu/section-a/a51.html); A88 (http://handbook.unm.edu/section-a/a88.html); A91 (http://handbook.unm.edu/section-a/a91.html) | UAP1000 (https://policy.unm.edu/university-policies/1000/1000.html) |
| Acceptable Computer Use | | | UAP2500 (https://policy.unm.edu/university-policies/2000/2500.html) |
| Access to Sensitive and Protected Information | | | UAP2520 (https://policy.unm.edu/university-policies/2000/2520.html) |
| Accommodation for Employees with Disabilities | | | UAP3110 (https://policy.unm.edu/university-policies/3000/3110.html) |
| Accommodation for Students with Disabilities, Academic Adjustments | | | UAP2310 (https://policy.unm.edu/university-policies/2000/2310.html) |
| Accountability for University Information and Transactions | | | UAP2000 (https://policy.unm.edu/university-policies/2000/2000.html) |
| | | | |

| | | | |
|--|---|---|---|
| Advisors to Board of Regents | RPM1.7 (https://policy.unm.edu/regents-policies/section-1/1-7.html) | FHA60 (http://handbook.unm.edu/section-a/a60.html) | |
| Alcohol Use and Possession on UNM Property | RPM2.6 (https://policy.unm.edu/regents-policies/section-2/2-6.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP2140 (https://policy.unm.edu/university-policies/2000/2140.html) |
| Allocation and Assignment of Space | | FHA70.4 (http://handbook.unm.edu/section-a/a70.4.html); A89 (http://handbook.unm.edu/section-a/a89.html) | UAP5200 (https://policy.unm.edu/university-policies/5000/5200.html) |
| Allowable and Unallowable Expenditures | | | UAP4000 (https://policy.unm.edu/university-policies/4000/4000.html) |
| Alternative Retirement Program | | | UAP3625 (https://policy.unm.edu/university-policies/3000/3625.html) |
| Animal Control on University Property | | | UAP2290 (https://policy.unm.edu/university-policies/2000/2290.html) |
| Animal Use in Education and Research | RPM5.15 (https://policy.unm.edu/regents-policies/section-5/5-15.html) | FHE100 (http://handbook.unm.edu/section-e/e100.html) | |
| Animals, Service | | | UAP2295 (https://policy.unm.edu/university-policies/2000/2295.html) |
| Annual Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC50 (http://handbook.unm.edu/section-c/c50.html); C205 (http://handbook.unm.edu/section-c/c205.html) | |
| Appeals | RPM1.5 (https://policy.unm.edu/regents-policies/section-1/1-5.html); 4.3 (https://policy.unm.edu/regents-policies/section-4/4-3.html) | FHSection B (http://handbook.unm.edu/section-b/index.html); D175 (http://handbook.unm.edu/section-d/d175.html); D176 (http://handbook.unm.edu/section-d/d176.html) | |

| | | | |
|---|--|--|---|
| Archives and Records--UNM | RPM2.9 (https://policy.unm.edu/regents-policies/section-2/2-9.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html); C07 (http://handbook.unm.edu/section-c/c07.html) | |
| Award Payments | | | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Awards and Recognition, Special | RPM1.6 (http://policy.unm.edu/regents-policies/section-1/1-6.html) | FHA61.12 (http://handbook.unm.edu/section-a/a61.12.html) | |
| Benefits | RPM6.3 (https://policy.unm.edu/regents-policies/section-6/6-3.html) | | UAP3600 (https://policy.unm.edu/university-policies/3000/3600.html); 3625 (https://policy.unm.edu/university-policies/3000/3625.html); 3630 (https://policy.unm.edu/university-policies/3000/3630.html); 3635 (https://policy.unm.edu/university-policies/3000/3635.html); 3640 (https://policy.unm.edu/university-policies/3000/3640.html); 3650 (https://policy.unm.edu/university-policies/3000/3650.html); 3700 (http://policy.unm.edu/university-policies/3000/3700.html) |
| Bicycles and Other Non-Motorized Vehicles | | | UAP2260 (https://policy.unm.edu/university-policies/2000/2260.html) |
| Campus Violence | | | UAP2210 (http://policy.unm.edu/university-policies/2000/2210.html) |
| CARS | | | UAP3750 (https://policy.unm.edu/university-policies/3000/3750.html) |
| Casualty and Liability Insurance and Claims | | | UAP6150 (https://policy.unm.edu/university-policies/6000/6150.html) |

| | | | |
|--|--|--|--|
| Classified Research | RPM5.11 (https://policy.unm.edu/regents-policies/section-5/5-11.html) | FHE10 (http://handbook.unm.edu/section-e/e10.html) | |
| Clinical Practice Payments | | | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Code of Conduct (Employee) | RPM6.4 (https://policy.unm.edu/regents-policies/section-6/6-4.html) | | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Code of Conduct (Student) | RPM4.2 (http://policy.unm.edu/regents-policies/section-4/4-2.html); 4.3 (https://policy.unm.edu/regents-policies/section-4/4-3.html) | FHD175 (http://handbook.unm.edu/section-d/d175.html) | |
| Collections and Museums | | | UAP6410 (https://policy.unm.edu/university-policies/6000/6410.html) |
| Commercialization of Intellectual Property | RPM2.15 (https://policy.unm.edu/regents-policies/section-2/2-15.html); 5.8 (https://policy.unm.edu/regents-policies/section-5/5-8.html) | FHE70 (http://handbook.unm.edu/section-e/e70.html) | |
| Compliance, HSC Institutional | RPM3.7 (https://policy.unm.edu/regents-policies/section-3/3-7.html) | | |
| Computer Security Controls and Access to Sensitive and Protected Information | | | UAP2520 (https://policy.unm.edu/university-policies/2000/2520.html) |
| Computer Use, Acceptable | | | UAP2500 (https://policy.unm.edu/university-policies/2000/2500.html) |
| | RPM2.17 (https://policy.unm.edu/regents-policies/section-2/2-17.html); 5.7 (https://policy.unm.edu/regents- | | UAP2300 (https://policy.unm.edu/university-policies/2000/2300.html); 3710 |

| | | | |
|--|--|--|--|
| Confidentiality of Faculty Records | policies/section-5/5-7.html); 6.8 (https://policy.unm.edu/regents-policies/section-6/6-8.html) | FHC70 (http://handbook.unm.edu/section-c/c70.html) | (https://policy.unm.edu/university-policies/3000/3710.html) |
| Conflict of Interest | RPM6.4 (https://policy.unm.edu/regents-policies/section-6/6-4.html) | FHC130 (http://handbook.unm.edu/section-c/c130.html) | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Conflict of Interest Waiver for Technology Transfer | RPM5.17 (https://policy.unm.edu/regents-policies/section-5/5-17.html) | FHE80 (http://handbook.unm.edu/section-e/e80.html) | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Conflicts of Interest in Research | RPM5.10 (https://policy.unm.edu/regents-policies/section-5/5-10.html) | FHE110 (http://handbook.unm.edu/section-e/e110.html) | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Consensual Relationships and Conflicts of Interest | RPM2.5 (https://policy.unm.edu/regents-policies/section-2/2-5.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html), C07 (http://handbook.unm.edu/section-c/c07.html) | UAP2215 (https://policy.unm.edu/university-policies/2000/2215.html) |
| Constitution (Faculty) | RPM5.1 (http://policy.unm.edu/regents-policies/section-5/5-1.html) | FHA51 (http://handbook.unm.edu/section-a/a51.html) | |
| Counseling, Assistance, and Referral Service | | | UAP3750 (https://policy.unm.edu/university-policies/3000/3750.html) |
| Creation and Reorganization of Academic Units | RPM5.1 (http://policy.unm.edu/regents-policies/section-5/5-1.html) | FHA88 (http://handbook.unm.edu/section-a/a88.html) | |
| Creation and Reorganization of Research Centers and Institutes | RPM5.1 (http://policy.unm.edu/regents-policies/section-5/5-1.html) | FHA91 (http://handbook.unm.edu/section-a/a91.html) | |
| Data Governance | | | UAP2580 (https://policy.unm.edu/university-policies/2000/2580.html) |
| | | | |

| | | | |
|------------------------------------|---|---|---|
| Deductions from Payroll | | | UAP2635 (https://policy.unm.edu/university-policies/2000/2635.html) |
| Dependent Care Spending Account | | | UAP3650 (https://policy.unm.edu/university-policies/3000/3650.html) |
| Dependent Education Benefits | RPM6.11 (https://policy.unm.edu/regents-policies/section-6/6-11.html) | | UAP3700 (http://policy.unm.edu/university-policies/3000/3700.html) |
| Dental Insurance Benefits | RPM6.3 (https://policy.unm.edu/regents-policies/section-6/6-3.html) | | UAP3600 (https://policy.unm.edu/university-policies/3000/3600.html) |
| Disabilities | | | UAP2310 (https://policy.unm.edu/university-policies/2000/2310.html); 3110 (https://policy.unm.edu/university-policies/3000/3110.html) |
| Dishonest or Fraudulent Activities | | | UAP7205 (https://policy.unm.edu/university-policies/7000/7205.html) |
| Dishonesty in Academic Matters | RPM4.8 (https://policy.unm.edu/regents-policies/section-4/4-8.html) | FHD100 (http://handbook.unm.edu/section-d/d100.html) | |
| Distribution of Paychecks | | | UAP2620 (https://policy.unm.edu/university-policies/2000/2620.html) |
| Diversity and Campus Climate | RPM2.4 (https://policy.unm.edu/regents-policies/section-2/2-4.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html), C09 (http://handbook.unm.edu/section-c/c09.html); C50 (http://handbook.unm.edu/section-c/c50.html) | |
| Domestic Abuse Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | | UAP3445 (https://policy.unm.edu/university-policies/3000/3445.html) |

| | | | |
|--|---|--|---|
| Domestic Partners | | | UAP3790 (https://policy.unm.edu/university-policies/3000/3790.html) |
| Drug Free Environment | RPM2.6 (https://policy.unm.edu/regents-policies/section-2/2-6.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html), C07 (http://handbook.unm.edu/section-c/c07.html) | |
| Education Abroad Health and Safety | | | UAP2710 (https://policy.unm.edu/university-policies/2000/2710.html); 6110 (https://policy.unm.edu/university-policies/6000/6110.html) |
| Education Benefits | RPM6.11 (https://policy.unm.edu/regents-policies/section-6/6-11.html) | | UAP3700 (http://policy.unm.edu/university-policies/3000/3700.html) |
| Education Retirement Plan, New Mexico | | | UAP3625 (https://policy.unm.edu/university-policies/3000/3625.html) |
| Educational Records, Student | RPM4.4 (https://policy.unm.edu/regents-policies/section-4/4-4.html) | FH Information Section | |
| Email, Student | | | UAP2540 (https://policy.unm.edu/university-policies/2000/2540.html) |
| Emergency Control | | | UAP6130 (https://policy.unm.edu/university-policies/6000/6130.html) |
| Emeriti Status | RPM6.3 (https://policy.unm.edu/regents-policies/section-6/6-3.html) | FHC305 (http://handbook.unm.edu/section-c/c305.html) | |
| Employee Impairment at Work | | FHC07 (http://handbook.unm.edu/section-c/c07.html) | UAP3270 (https://policy.unm.edu/university-policies/3000/3270.html) |
| Employment of UNM Graduates | RPM5.3 (http://policy.unm.edu/regents-policies/section-5/5-3.html) | FHC20 (http://handbook.unm.edu/section-c/c20.html) | |

| | | | |
|---|---|---|--|
| Endowed Faculty Chairs | RPM5.18 (http://policy.unm.edu/regents-policies/section-5/5-18.html) | FHC170 (http://handbook.unm.edu/section-c/c170.html) | |
| Endowed Faculty Payments | | | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Equal Opportunity and Affirmative Action | RPM5.2 (https://policy.unm.edu/regents-policies/section-5/5-2.html) | | UAP2720 (https://policy.unm.edu/university-policies/2000/2720.html) |
| Extra compensation | RPM5.6 (http://policy.unm.edu/regents-policies/section-5/5-6.html) | FHC140 (http://handbook.unm.edu/section-c/c140.html) | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Faculty's Role in the University's Academic Mission | RPM5.1 (http://policy.unm.edu/regents-policies/section-5/5-1.html) | FHA88 (http://handbook.unm.edu/section-a/a88.html); A89 (http://handbook.unm.edu/section-a/a89.html); A91 (http://handbook.unm.edu/section-a/a91.html) | |
| Family and Medical Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | | UAP3440 (http://policy.unm.edu/university-policies/3000/3440.html) |
| Flexible Spending Accounts | | | UAP3650 (https://policy.unm.edu/university-policies/3000/3650.html) |
| Foreign Nationals | | | UAP2180 (https://policy.unm.edu/university-policies/2000/2180.html) |
| Fraudulent or Dishonest Activities | | | UAP7205 (https://policy.unm.edu/university-policies/7000/7205.html) |
| Free Expression and Advocacy | RPM2.1 (https://policy.unm.edu/regents-policies/section-2/2-1.html) | FHSection B (http://handbook.unm.edu/section-b/index.html); C150 (http://handbook.unm.edu/section-c/c150.html) | UAP2060 (https://policy.unm.edu/university-policies/2000/2060.html); 2220 |

| | | | |
|--------------------------------------|--|--|---|
| | | c/c150.html), C240 (http://handbook.unm.edu/section-c/c240.html) | (http://policy.unm.edu/university-policies/2000/2220.html) |
| Garnishments | | | UAP2670 (https://policy.unm.edu/university-policies/2000/2670.html) |
| Graphic Identification Standards | | | UAP1010 (https://policy.unm.edu/university-policies/1000/1010.html) |
| Gratuities | | | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Grievances-- Student | RPM4.2 (http://policy.unm.edu/regents-policies/section-4/4-2.html); 4.3 (https://policy.unm.edu/regents-policies/section-4/4-3.html) | FHD175 (http://handbook.unm.edu/section-d/d175.html); D176 (http://handbook.unm.edu/section-d/d176.html) | |
| Honorarium Payments | | | UAP2170 (https://policy.unm.edu/university-policies/2000/2170.html) |
| Honorary Degrees | RPM1.6 (http://policy.unm.edu/regents-policies/section-1/1-6.html) | FHA61.12 (http://handbook.unm.edu/section-a/a61.12.html) | |
| HSC Institutional Compliance | RPM3.7 (https://policy.unm.edu/regents-policies/section-3/3-7.html) | | |
| HSC Performance Payments | | | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Human Beings as Subjects of Research | RPM5.14 (https://policy.unm.edu/regents-policies/section-5/5-14.html) | FHE90 (http://handbook.unm.edu/section-e/e90.html) | |
| ID Cards (UNM Lobo Card) | | | UAP1050 (https://policy.unm.edu/university-policies/1000/1050.html) |
| Impairment at Work | | | |

| | | | |
|---------------------------------------|--|---|---|
| | | FHC07 (http://handbook.unm.edu/section-c/c07.html) | UAP3270 (https://policy.unm.edu/university-policies/3000/3270.html) |
| Inclement Weather | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | | UAP3435 (https://policy.unm.edu/university-policies/3000/3435.html) |
| Information and Transactions, Systems | | | UAP2000 (https://policy.unm.edu/university-policies/2000/2000.html); 2500 (https://policy.unm.edu/university-policies/2000/2500.html); |
| Information Security | | | UAP2000 (https://policy.unm.edu/university-policies/2000/2000.html); 2030 (https://policy.unm.edu/university-policies/2000/2030.html); 2500 (https://policy.unm.edu/university-policies/2000/2500.html); 2550 (https://policy.unm.edu/university-policies/2000/2550.html) |
| Inspection of Public Records | RPM2.17 (https://policy.unm.edu/regents-policies/section-2/2-17.html); 4.4 (https://policy.unm.edu/regents-policies/section-4/4-4.html); 5.7 (https://policy.unm.edu/regents-policies/section-5/5-7.html); 6.8 (https://policy.unm.edu/regents-policies/section-6/6-8.html) | FHC70 (http://handbook.unm.edu/section-c/c70.html) | UAP2030 (https://policy.unm.edu/university-policies/2000/2030.html); 2300 (https://policy.unm.edu/university-policies/2000/2300.html); 3710 (https://policy.unm.edu/university-policies/3000/3710.html) |
| Insurance, Employee Benefits | RPM7.14 (https://policy.unm.edu/regents-policies/section-7/7-14.html) | | UAP3600 (https://policy.unm.edu/university-policies/3000/3600.html) |
| Insurance Loss Claims | | | UAP6150 (https://policy.unm.edu/university-policies/6000/6150.html) |
| Intellectual Property | RPM2.15 (https://policy.unm.edu/regents-policies/section-2/2-15.html); 5.8 | | |

| | | | |
|--|---|--|---|
| | https://policy.unm.edu/regents-policies/section-5/5-8.html | FHE70 http://handbook.unm.edu/section-e/e70.html | |
| Jury Duty | RPM5.4 https://policy.unm.edu/regents-policies/section-5/5-4.html | FHC255 http://handbook.unm.edu/section-c/c255.html | UAP3415 https://policy.unm.edu/university-policies/3000/3415.html |
| Keys | | | UAP5010 https://policy.unm.edu/university-policies/5000/5010.html |
| Lactation Support | | | UAP2750 https://policy.unm.edu/university-policies/2000/2750.html |
| Law Enforcement on Campus (UNM Police) | RPM8.2 https://policy.unm.edu/regents-policies/section-8/8-2.html | | |
| Leaves of Absence | RPM5.4 https://policy.unm.edu/regents-policies/section-5/5-4.html | FHC50 http://handbook.unm.edu/section-c/c50.html); C200 http://handbook.unm.edu/section-c/c200.html) – C280 http://handbook.unm.edu/section-c/c280.html) | UAP3415 https://policy.unm.edu/university-policies/3000/3415.html); 3425 https://policy.unm.edu/university-policies/3000/3425.html); 3435 https://policy.unm.edu/university-policies/3000/3435.html); 3440 http://policy.unm.edu/university-policies/3000/3440.html); 3445 https://policy.unm.edu/university-policies/3000/3445.html) |
| Leave with Pay | RPM5.4 https://policy.unm.edu/regents-policies/section-5/5-4.html | | UAP3415 https://policy.unm.edu/university-policies/3000/3415.html) |
| Leave Without Pay | RPM5.4 https://policy.unm.edu/regents-policies/section-5/5-4.html | FHC280 http://handbook.unm.edu/section-c/c280.html) | |
| Life Insurance Benefits | RPM7.14 https://policy.unm.edu/regents-policies/section-7/7-14.html | | UAP3600 https://policy.unm.edu/university-policies/3000/3600.html) |
| Mailing Services | | | |

| | | | |
|--|---|--|---|
| | | | UAP6340 https://policy.unm.edu/university-policies/6000/6340.html |
| Media Response | | FHC150 http://handbook.unm.edu/section-c/c150.html | UAP3740 https://policy.unm.edu/university-policies/3000/3740.html |
| Medical Insurance Benefits | RPM7.14 https://policy.unm.edu/regents-policies/section-7/7-14.html | | UAP3600 https://policy.unm.edu/university-policies/3000/3600.html |
| Medical Reimbursement Account | | | UAP3650 https://policy.unm.edu/university-policies/3000/3650.html |
| Military Leave and Related Service Leave | RPM5.4 https://policy.unm.edu/regents-policies/section-5/5-4.html | FHC230 http://handbook.unm.edu/section-c/c230.html | UAP3425 https://policy.unm.edu/university-policies/3000/3425.html |
| Minors on Campus | | | UAP2205 https://policy.unm.edu/university-policies/2000/2750.html |
| Misconduct -- Research | RPM5.13 https://policy.unm.edu/regents-policies/section-5/5-13.html | FHE40 http://handbook.unm.edu/section-e/e40.html | |
| Museums and Collections | | | UAP6410 https://policy.unm.edu/university-policies/6000/6410.html |
| New Mexico Education Retirement Plan | | | UAP3625 https://policy.unm.edu/university-policies/3000/3625.html |
| Non-Motorized Vehicles | | | UAP2260 https://policy.unm.edu/university-policies/2000/2260.html |
| Non-Standard Payment Processing | | | UAP2615 https://policy.unm.edu/university-policies/2000/2615.html |
| Webpages, Official University | | | UAP2570 https://policy.unm.edu/university-policies/2000/2570.html |

| | | | |
|-------------------------------------|--|--|---|
| Outside Employment | RPM5.5 (http://policy.unm.edu/regents-policies/section-5/5-5.html) | FHC130 (http://handbook.unm.edu/section-c/c130.html) | |
| Overseas Research | RPM5.12 (https://policy.unm.edu/regents-policies/section-5/5-12.html) | FHE20 (http://handbook.unm.edu/section-e/e20.html); E40 (http://handbook.unm.edu/section-e/e40.html); E60 (http://handbook.unm.edu/section-e/e60.html); E70 (http://handbook.unm.edu/section-e/e70.html) | |
| Parental Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC215 (http://handbook.unm.edu/section-c/c215.html) | |
| Parking and Vehicles on Campus | RPM8.3 (https://policy.unm.edu/regents-policies/section-8/8-3.html) | | UAP2260 (https://policy.unm.edu/university-policies/2000/2260.html) |
| Paycheck Distribution | | | UAP2620 (https://policy.unm.edu/university-policies/2000/2620.html) |
| Payroll Deductions | | | UAP2635 (https://policy.unm.edu/university-policies/2000/2635.html) |
| Payroll Overpayments and Collection | | | UAP2680 (https://policy.unm.edu/university-policies/2000/2680.html) |
| Per Diem and Travel Reimbursement | RPM7.7 (https://policy.unm.edu/regents-policies/section-7/7-7.html) | FHC225 (http://handbook.unm.edu/section-c/c225.html) | UAP4030 (https://policy.unm.edu/university-policies/4000/4030.html) |
| Personal Information Disclosure | RPM2.17 (https://policy.unm.edu/regents-policies/section-2/2-17.html); 4.4 (https://policy.unm.edu/regents-policies/section-4/4-4.html); 5.7 (https://policy.unm.edu/regents-policies/section-5/5-7.html); 6.8 (https://policy.unm.edu/regents-policies/section-6/6-8.html) | FHC70 (http://handbook.unm.edu/section-c/c70.html) | UAP2300 (https://policy.unm.edu/university-policies/2000/2300.html); 3710 (https://policy.unm.edu/university-policies/3000/3710.html) |

| | | | |
|--|---|---|---|
| Photo Identification Cards (UNM Lobo Card) | | | UAP1050 (https://policy.unm.edu/university-policies/1000/1050.html) |
| Police, UNM Law Enforcement on Campus | RPM8.2 (https://policy.unm.edu/regents-policies/section-8/8-2.html) | | |
| Political Activity | RPM6.5 (http://policy.unm.edu/regents-policies/section-6/6-5.html) | FHSection B (http://handbook.unm.edu/section-b/index.html); C150 (http://handbook.unm.edu/section-c/c150.html); C240 (http://handbook.unm.edu/section-c/c240.html) | UAP2060 (https://policy.unm.edu/university-policies/2000/2060.html); 2220 (http://policy.unm.edu/university-policies/2000/2220.html); 3740 (https://policy.unm.edu/university-policies/3000/3740.html) |
| Possession of Alcohol on University Property | RPM2.6 (https://policy.unm.edu/regents-policies/section-2/2-6.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP2140 (https://policy.unm.edu/university-policies/2000/2140.html) |
| Post Tenure Review | RPM5.16 (https://policy.unm.edu/regents-policies/section-5/5-16.html) | FHSection B4 (http://handbook.unm.edu/section-b/b4.html) | |
| Postal Services | | | UAP6340 (https://policy.unm.edu/university-policies/6000/6340.html) |
| Prizes - Payments | | | UAP2615 (https://policy.unm.edu/university-policies/2000/2615.html) |
| Professional Development and Training | | | UAP3290 (https://policy.unm.edu/university-policies/3000/3290.html) |
| Professional Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC225 (http://handbook.unm.edu/section-c/c225.html) | |
| Protected and Sensitive Information | | | UAP2520 (https://policy.unm.edu/university-policies/2000/2520.html) |
| | | | |

| | | | |
|--|--|--|---|
| Public Information and/or Access to University Records | RPM2.17 (https://policy.unm.edu/regents-policies/section-2/2-17.html); 4.4 (https://policy.unm.edu/regents-policies/section-4/4-4.html); 5.7 (https://policy.unm.edu/regents-policies/section-5/5-7.html); 6.8 (https://policy.unm.edu/regents-policies/section-6/6-8.html) | FHC70 (http://handbook.unm.edu/section-c/c70.html) | UAP2300 (https://policy.unm.edu/university-policies/2000/2300.html); 3710 (https://policy.unm.edu/university-policies/3000/3710.html) |
| Reasonable Accommodation for Employees with Disabilities | | | UAP3110 (https://policy.unm.edu/university-policies/3000/3110.html) |
| Recognition and Awards, Special | RPM1.6 (http://policy.unm.edu/regents-policies/section-1/1-6.html) | FHA61.12 (http://handbook.unm.edu/section-a/a61.12.html) | |
| Recreational Drones | | | UAP2265 (https://policy.unm.edu/university-policies/2000/2265.html) |
| Recycling | | | UAP2100 (https://policy.unm.edu/university-policies/2000/2100.html); 6350 (https://policy.unm.edu/university-policies/6000/6350.html) |
| Reporting Suspected Misconduct and Retaliation, Whistleblower Protection | | | UAP 2200 (http://policy.unm.edu/university-policies/2000/2200.html) |
| Research -- Classified | RPM5.11 (https://policy.unm.edu/regents-policies/section-5/5-11.html) | FHE10 (http://handbook.unm.edu/section-e/e10.html) | |
| Research, Conflicts of Interest in | RPM5.10 (https://policy.unm.edu/regents-policies/section-5/5-10.html) | FHE110 (http://handbook.unm.edu/section-e/e110.html) | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Research Misconduct | RPM5.13 (https://policy.unm.edu/regents-policies/section-5/5-13.html) | FHE40 (http://handbook.unm.edu/section-e/e40.html) | |

| | | | |
|---|---|---|---|
| Research -- Overseas | RPM5.12 (https://policy.unm.edu/regents-policies/section-5/5-12.html) | FHE20 (http://handbook.unm.edu/section-e/e20.html) | |
| Research -- Sponsored | RPM5.9 (https://policy.unm.edu/regents-policies/section-5/5-9.html) | FHE60 (http://handbook.unm.edu/section-e/e60.html) | UAP2425 (https://policy.unm.edu/university-policies/2000/2425.html); 2430 (http://policy.unm.edu/university-policies/2000/2430.html); 2470 (https://policy.unm.edu/university-policies/2000/2470.html); 2480 (https://policy.unm.edu/university-policies/2000/2480.html) |
| Research Subjects | RPM5.14 (https://policy.unm.edu/regents-policies/section-5/5-14.html); 5.15 (https://policy.unm.edu/regents-policies/section-5/5-15.html) | FHE90 (http://handbook.unm.edu/section-e/e90.html); E100 (http://handbook.unm.edu/section-e/e100.html) | |
| Respectful Campus | | FHC09 (http://handbook.unm.edu/section-c/c09.html) | UAP2240 (http://policy.unm.edu/university-policies/2000/2240.html) |
| Responsibility and Accountability for University Information and Transactions | | | UAP2000 (https://policy.unm.edu/university-policies/2000/2000.html) |
| Retirement | | | UAP3600 (https://policy.unm.edu/university-policies/3000/3600.html); 3625 (https://policy.unm.edu/university-policies/3000/3625.html); 3640 (https://policy.unm.edu/university-policies/3000/3640.html); 3700 (http://policy.unm.edu/university-policies/3000/3700.html) |
| | | | |

| | | | |
|---|--|--|---|
| Retirement, Supplemental Savings Plans | | | UAP3640 (https://policy.unm.edu/university-policies/3000/3640.html) |
| Rights and Responsibilities | RPM2.4 (https://policy.unm.edu/regents-policies/section-2/2-4.html), 2.5 (https://policy.unm.edu/regents-policies/section-2/2-5.html), 2.6 (https://policy.unm.edu/regents-policies/section-2/2-6.html), 2.7 (https://policy.unm.edu/regents-policies/section-2/2-7.html), 2.9 (https://policy.unm.edu/regents-policies/section-2/2-9.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP1010 (https://policy.unm.edu/university-policies/1000/1010.html), 2140 (https://policy.unm.edu/university-policies/2000/2140.html), 2215 (https://policy.unm.edu/university-policies/2000/2215.html), 2740 (https://policy.unm.edu/university-policies/2000/2740.html), 3290 (https://policy.unm.edu/university-policies/3000/3290.html), 5010 (https://policy.unm.edu/university-policies/5000/5010.html), 6110 (https://policy.unm.edu/university-policies/6000/6110.html); 6150 (https://policy.unm.edu/university-policies/6000/6150.html) |
| Risk Management | RPM7.14 (https://policy.unm.edu/regents-policies/section-7/7-14.html) | | UAP6100 (http://policy.unm.edu/university-policies/6000/6100.html) |
| Sabbatical Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC200 (http://handbook.unm.edu/section-c/c200.html) | |
| Safety and Risk Services | | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP6110 (https://policy.unm.edu/university-policies/6000/6110.html); 3290 (https://policy.unm.edu/university-policies/3000/3290.html) |
| Science and Technology Corporation at UNM | RPM2.15 (https://policy.unm.edu/regents-policies/section-2/2-15.html); 5.8 (https://policy.unm.edu/regents-policies/section-5/5-8.html) | FHE70 (http://handbook.unm.edu/section-e/e70.html) | |
| Security, Information | | | UAP2550 (https://policy.unm.edu/university-policies/2000/2550.html) |
| | | | |

| | | | |
|--|--|--|---|
| Sensitive and Protected Information | | | UAP2520 (https://policy.unm.edu/university-policies/2000/2520.html) |
| Service Abroad | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC235 (http://handbook.unm.edu/section-c/c235.html) | |
| Service Animals | | | UAP2295 (https://policy.unm.edu/university-policies/2000/2295.html) |
| Service Awards | | | UAP3745 (http://policy.unm.edu/university-policies/3000/3745.html) |
| Sexual Harassment | RPM2.5 (https://policy.unm.edu/regents-policies/section-2/2-5.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html), C07 (http://handbook.unm.edu/section-c/c07.html) | UAP2210 (http://policy.unm.edu/university-policies/2000/2210.html); 2740 (https://policy.unm.edu/university-policies/2000/2740.html); 3290 (https://policy.unm.edu/university-policies/3000/3290.html) |
| Sexual Misconduct | RPM2.5 (https://policy.unm.edu/regents-policies/section-2/2-5.html) | FHC07 (http://handbook.unm.edu/section-c/c07.html) | UAP2740 (https://policy.unm.edu/university-policies/2000/2740.html) |
| Sick Leave | RPM5.4 (https://policy.unm.edu/regents-policies/section-5/5-4.html) | FHC210 (http://handbook.unm.edu/section-c/c210.html) | |
| Skateboards | | | UAP2260 (https://policy.unm.edu/university-policies/2000/2260.html) |
| Smoking on University Property | | | UAP2250 (http://policy.unm.edu/university-policies/2000/2250.html) |
| Social Security Numbers, Protection of | | | UAP2030 (https://policy.unm.edu/university-policies/2000/2030.html) |
| Solicitation | | | |

| | | | |
|---------------------------------|--|---|--|
| | | | UAP3730 https://policy.unm.edu/university-policies/3000/3730.html |
| Space Allocation and Assignment | | FHA70.4 http://handbook.unm.edu/section-a/a70.4.html ; A89 http://handbook.unm.edu/section-a/a89.html | UAP5200 https://policy.unm.edu/university-policies/5000/5200.html |
| Special Recognition and Awards | RPM1.6 http://policy.unm.edu/regents-policies/section-1/1-6.html | FHA61.12 http://handbook.unm.edu/section-a/a61.12.html | |
| Sponsored Research | RPM5.9 https://policy.unm.edu/regents-policies/section-5/5-9.html | FHE60 http://handbook.unm.edu/section-e/e60.html | UAP2425 https://policy.unm.edu/university-policies/2000/2425.html ; 2430 http://policy.unm.edu/university-policies/2000/2430.html ; 2470 https://policy.unm.edu/university-policies/2000/2470.html ; 2480 https://policy.unm.edu/university-policies/2000/2480.html |
| Student Code of Conduct | RPM4.2 http://policy.unm.edu/regents-policies/section-4/4-2.html | FHD175 http://handbook.unm.edu/section-d/d175.html | |
| Student Email | | | UAP2540 https://policy.unm.edu/university-policies/2000/2540.html |
| Student Grievances | RPM4.2 http://policy.unm.edu/regents-policies/section-4/4-2.html ; 4.3 https://policy.unm.edu/regents-policies/section-4/4-3.html | FHD175 http://handbook.unm.edu/section-d/d175.html ; D176 http://handbook.unm.edu/section-d/d176.html | |
| Student Identification Numbers | | | UAP2030 https://policy.unm.edu/university-policies/2000/2030.html |
| Student Publications | RPM4.5 https://policy.unm.edu/regents-policies/section-4/4-5.html | | |
| | | | |

| | | | |
|---|---|---|---|
| Student Records | RPM4.4 (https://policy.unm.edu/regents-policies/section-4/4-4.html) | | |
| Students with Disabilities, Academic Adjustments | | | UAP2310 (https://policy.unm.edu/university-policies/2000/2310.html) |
| Study Abroad, Health and Safety | | | UAP2710 (https://policy.unm.edu/university-policies/2000/2710.html); 6110 (https://policy.unm.edu/university-policies/6000/6110.html) |
| Supplemental Retirement Savings Plans | | | UAP3640 (https://policy.unm.edu/university-policies/3000/3640.html) |
| Suspected Employee Impairment at Work | | FHC07 (http://handbook.unm.edu/section-c/c07.html) | UAP3270 (https://policy.unm.edu/university-policies/3000/3270.html) |
| Sustainability | | | UAP2100 (https://policy.unm.edu/university-policies/2000/2100.html); 6350 (https://policy.unm.edu/university-policies/6000/6350.html) |
| Taking University Property off Campus | | | UAP7730 (http://policy.unm.edu/university-policies/7000/7730.html) |
| Tax Reporting-Payroll | | | UAP2635 (https://policy.unm.edu/university-policies/2000/2635.html) |
| Technology Transfer-- Conflict of Interest Waiver | RPM5.17 (https://policy.unm.edu/regents-policies/section-5/5-17.html) | FHE80 (http://handbook.unm.edu/section-e/e80.html) | UAP3720 (https://policy.unm.edu/university-policies/3000/3720.html) |
| Tenure | | | |

| | | | |
|--|---|--|---|
| | RPM5.16 (https://policy.unm.edu/regents-policies/section-5/5-16.html) | FHSection B (http://handbook.unm.edu/section-b/index.html) | |
| Terminating Employment Pay | | | UAP2650 (http://policy.unm.edu/university-policies/2000/2650.html) |
| Tobacco-Free Campus | | | UAP2250 (http://policy.unm.edu/university-policies/2000/2250.html) |
| Training--Mandatory | | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP3290 (https://policy.unm.edu/university-policies/3000/3290.html) |
| Travel Reimbursement and Per Diem | RPM7.7 (https://policy.unm.edu/regents-policies/section-7/7-7.html) | FHC225 (http://handbook.unm.edu/section-c/c225.html) | UAP4030 (https://policy.unm.edu/university-policies/4000/4030.html) |
| Tuition Remission | | | UAP3700 (http://policy.unm.edu/university-policies/3000/3700.html) |
| Unallowable and Allowable Expenditures | | | UAP4000 (https://policy.unm.edu/university-policies/4000/4000.html) |
| Unemployment Compensation | | | UAP3635 (https://policy.unm.edu/university-policies/3000/3635.html) |
| University Archives and Records | RPM2.9 (https://policy.unm.edu/regents-policies/section-2/2-9.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html); C07 (http://handbook.unm.edu/section-c/c07.html) | |
| University External Graphic Identification Standards | | | UAP1010 (https://policy.unm.edu/university-policies/1000/1010.html) |
| UNM's Name and Symbols-- Use of | RPM2.7 (https://policy.unm.edu/regents-policies/section-2/2-7.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP1010 (https://policy.unm.edu/university-policies/1000/1010.html) |
| | | | |

| | | | |
|---|--|---|---|
| Use and Possession of Alcohol on University Property | RPM2.6 (https://policy.unm.edu/regents-policies/section-2/2-6.html) | FHC05 (http://handbook.unm.edu/section-c/c05.html) | UAP2140 (https://policy.unm.edu/university-policies/2000/2140.html) |
| Use of University Vehicles | | | UAP7780 (https://policy.unm.edu/university-policies/7000/7780.html) |
| Vehicles on Campus and Parking | RPM8.3 (https://policy.unm.edu/regents-policies/section-8/8-3.html) | | UAP2260 (https://policy.unm.edu/university-policies/2000/2260.html) |
| Violence on Campus | | | UAP2210 (http://policy.unm.edu/university-policies/2000/2210.html) |
| W-2s | | | UAP2635 (https://policy.unm.edu/university-policies/2000/2635.html) |
| Wage Withholdings | | | UAP2670 (https://policy.unm.edu/university-policies/2000/2670.html) |
| Weapons on University Property | | | UAP2210 (http://policy.unm.edu/university-policies/2000/2210.html) |
| Webpages, Official University | | | UAP2570 (https://policy.unm.edu/university-policies/2000/2570.html) |
| Whistleblower Protection and Reporting Suspected Misconduct and Retaliation | | | UAP2200 (http://policy.unm.edu/university-policies/2000/2200.html) |
| Workers' Compensation | | | UAP3630 (https://policy.unm.edu/university-policies/3000/3630.html) |

History

A60: Faculty Senate Bylaws

Policy

Approved March 31, 1981; Amended May 9, 1989; Amended April 10, 1990; Amended May 11, 1993; Amended April 1990; April 1990 amendment was rescinded November 1993; Amended April 28, 1998; Amended March 27, 2001, August 27, 2002; Amended October 28, 2003; Amended April 27, 2004

Note: The authority and duties of the Faculty Senate derive from the Faculty Constitution ([A51 \(/policies/section-a/faculty/a51.html\)](#)), Section 6.

I. SENATE STRUCTURE

A. OFFICERS

1. The Senate shall elect the following officers and representatives annually.

- (a) President
- (b) President-elect
- (c) Four members of the Senate Operations Committee

2. The Operations Committee will also include the immediate past President of the Senate, whether or not he or she is a member of the Senate. The Operations Committee will always include seven faculty members, so that if the President and President-Elect are the same person, (i.e., when the President-Elect runs for a second term and is elected, or if the Past President and President are the same person, (i.e., during the second term of a two-year term as President), then five members of the Operations Committee shall be elected.

3. DUTIES OF OFFICERS

(a) The President shall have the following duties:

- (1) Serve as chairperson of the Senate and the Operations Committee.
- (2) Represent the Faculty before the Regents, Administration and other groups by attending requisite functions and committee meetings.
- (3) Appoint ad-hoc committees as necessary to conduct Senate business.

(b) The President-elect shall have the following duties:

- (1) Serve on the Operations Committee
- (2) Perform the duties of the President in the absence of the President.
- (3) Assist the President in representing the faculty before the Administration, the Regents, and other groups.
- (4) Oversee Faculty Senate committee appointments.

4. ELECTION OF OFFICERS AND OPERATIONS COMMITTEE MEMBERS

- (a) The election of the President and Operations Committee members shall be conducted annually at a special meeting of the incoming Senate held at the close of the spring term of the preceding academic year. Alternatively, at the discretion of the President, this election may be conducted electronically.
- (b) The election shall be chaired by the outgoing President of the Senate.
- (c) The new officers and Operations Committee members shall take office on July 1 of the year of their election.
- (d) Nominations and self-nominations for President, President-Elect, and Operations Committee may be made by incoming senators at a regular Senate meeting or electronically to the University Secretary's office, which will verify the senator's willingness to serve.
- (e) Among the five voting members of the Operations Committee, at least four colleges must be represented.
- (f) If the President or President-Elect does not complete his or her term of office, the Operations Committee will arrange for the Senate to elect a replacement at the earliest opportunity.
- (g) If a member of the Operations Committee does not complete his or her term of office, the Operations Committee will either find a replacement from the un-elected candidates from the most recent Operations Committee election (taking the unelected candidate with the most votes from an eligible college) or, if this is not possible, arrange for a new election of a replacement by the Senate.

B. SENATE OPERATIONS COMMITTEE

1. MEMBERSHIP

- (a) The President, President-elect, Past President and four voting members of the Senate elected by the Senate.
- (b) The President of the Senate shall serve as chairperson of the Senate Operations Committee.
- (c) The immediate past president of the Senate, whether or not he/she is a member of the Senate, shall be an ex-officio voting member of the Operations Committee.

2. DUTIES

- (a) Perform basic administrative functions to facilitate the work of the Senate and Senate Committees.
- (b) Establish priorities and set agenda for Senate meeting
- (c) Transmit to the Senate with recommendations as to adoption of all reports, recommendations and proposals received from Senate Committees. In performing this function, the Operations Committee shall not change committee recommendations or proposals without the approval of the originating committee. It may refer a recommendation back to the committee for further study or it may present its own recommendations to the Senate together with those of the originating committee.
- (d) Coordinate the activities of all Senate Committees.

- (e) Study Senate procedures and structure and make recommendations for their improvement.
- (f) Recommend to the Senate changes in the committee structure in keeping with Article I, Section 6 (g) of the Faculty Constitution.
- (g) Coordinate the work of Senate committees and the administration by forwarding relevant committee reports and recommendations to the appropriate group or individual for additional consideration and comment.
- (h) Function as a committee on committees. (Recommend to the Senate the appointment of committee members and chairpersons.)
- (i) Assist the President and President-Elect in representing the faculty before the administration and Regents, on an as needed basis.

C. OTHER SENATE COMMITTEES AND REPRESENTATION (See Section III for membership and duties)

1. Standing Committees of the Senate. All standing committees are responsible to the Senate, report to the Senate Operations Committee, and have their faculty membership appointed by the Senate.

- (a) Admissions and Registration Committee
- (b) Athletic Council
- (c) Bachelor of University Studies Faculty Advisory Committee
- (d) Budget Committee
- (e) Computer Use Committee
- (f) Curricula Committee
- (g) Faculty Ethics and Advisory Committee
- (h) Faculty and Staff Benefits Committee
- (i) Graduate Committee (members appointed by Colleges/Schools)
- (j) Governmental Relations Committee
- (k) Intellectual Property Committee
- (l) Library Committee
- (m) Research Allocations Committee
- (n) Research Policy Committee
- (o) Scholarship Committee
- (p) Teaching Enhancement Committee
- (q) Undergraduate Committee
- (r) University Honors Council
- (s) University Press Committee

2. Administrative Committees with faculty representatives appointed by the Senate. Faculty members on this Committee shall make periodic reports to the Senate whenever such reports are considered appropriate by them and/or when requested to do so by the Operations Committee.

- (a) Campus Development Advisory Committee

3. Student committees with faculty representatives appointed by the Senate. Faculty members on these

Committees shall make periodic reports to the Senate whenever such reports are considered appropriate by them and/or when requested to do so by the Operations Committee.

- (a) International Affairs Committee
- (b) Student Union Board
- (c) Student Conduct
- (d) Student Publications Board

II. SENATE OPERATING POLICIES

A. COMMITTEES

1. In its capacity as a committee on committees, the Operations Committee shall make recommendations to the Senate for all committee appointments (including committee chairpersons) that are the responsibility of the Senate. These appointments shall be voted on by the Senate.
2. All members of the University voting faculty are eligible for appointment to standing faculty committees or as faculty representatives on administrative and student committees. Appointments shall be determined by the Senate upon recommendation of the Operations Committee.
3. During the Spring Semester of each year, all faculty shall be asked to rank the various committees according to their preference for membership on those committees. The Operations Committee shall recommend appointments to committees based as feasible upon the stated preferences of faculty members.
4. Senators are encouraged to serve on a University Committee, and will be given priority consideration in appointments to committees.
5. Initial committee appointments will normally be effective on July 1 of the year of the appointment. Replacement appointments will be effective when approved by the Senate.
6. When it is desirable, in the judgment of the Operations Committee and the current Committee chair, if there is one, for a committee appointment to begin as soon as possible, the Operations Committee may make such an appointment on a provisional basis, pending approval by the Senate at its next meeting.
7. Administrative officers (Vice Presidents and College Deans) shall not serve as Senate appointed committee members.

B. ABSENTEEISM

1. Given the importance of insuring active participation of all Senators and representation of all parts of the university, if a Senator misses two Senate meetings in a given semester, the President shall consult with the Senator concerning attendance and may, after consultation with the Operations Committee, declare the seat vacant.
2. If a Committee member of any Faculty Senate Committee misses two meetings in a given semester, the Chair of the Committee should consult with that person and may recommend to the Operations Committee that the seat be declared vacant and the person replaced.

C. PROCEDURE

1. Each speaker is limited to five minutes each time when speaking to an issue.
2. The Senate shall normally meet the fourth Tuesday of every month at 3:00 p.m. Additional meetings may be scheduled by the Operations Committee as needed.
3. The President of the Faculty Senate shall have the right to vote as a member of the body on each motion before the Senate.
4. A quorum shall consist of 40 percent of the Senate membership.
5. Faculty Senate meetings shall be conducted in accordance with the Roberts Rules of Order.

III. COMMITTEE MEMBERSHIP AND DUTIES

- A. The duties and composition of committees presently listed in the Faculty Handbook will remain as stated.
- B. For committees not presently listed in the Faculty Handbook, the composition will be determined by the Operations Committee.

A61: Faculty Senate Committees

Policy

(Approval of any and all changes to Faculty Senate Committees are made by the Faculty Senate)

Membership on Faculty Senate committees is set annually by the Faculty Senate based on faculty preferences.

- Terms of committee service are from July 1 through June 30.
- A quorum on standing committees is a simple majority.
- Ex-officio members shall be non-voting unless otherwise specified by the Faculty Senate.
- Ex-officio members of faculty committees are expected to attend meetings and assist the committee by providing pertinent information on issues and shall have the same rights as regular committee members to be heard and speak on issues. However, they shall not attend meetings dealing with personnel matters such as hiring and firing of staff members.
- Committees shall have the right, by majority vote of the voting members, to close a session to such ex-officio members.
- Participation in committees is a right and duty of individuals of all ranks.
- Full-time faculty members are given an opportunity each year to express preference regarding standing committees on which they would like to serve.
- Members are expected to take an active part in the work of any committee to which they are assigned.
- In no case, however, shall a faculty member serve on more than two standing committees concurrently.

Functions, duties, and composition of these committees are detailed in the individual committee descriptions in:

- [A61.1: Admissions and Registration Committee \(/policies/section-a/faculty-senate/a61/a61.1.html\)](/policies/section-a/faculty-senate/a61/a61.1.html)
- [A61.2: Athletic Council \(/policies/section-a/faculty-senate/a61/a61.2.html\)](/policies/section-a/faculty-senate/a61/a61.2.html)
- [A61.3: Bachelor of University Studies Faculty Advisory Committee \(/policies/abolished/sec-a/a61.3.html\)](/policies/abolished/sec-a/a61.3.html) (abolished 4-24-07)
- [A61.4: Budget Committee \(/policies/section-a/faculty-senate/a61/a61.4.html\)](/policies/section-a/faculty-senate/a61/a61.4.html)
- [A61.5: Campus Development Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.5.html\)](/policies/section-a/faculty-senate/a61/a61.5.html)
- [A61.6: Information Technology Use Committee \(/policies/section-a/faculty-senate/a61/a61.6.html\)](/policies/section-a/faculty-senate/a61/a61.6.html)
- [A61.7: Curricula Committee \(/policies/section-a/faculty-senate/a61/a61.7.html\)](/policies/section-a/faculty-senate/a61/a61.7.html)
- [A61.8: Faculty Ethics and Advisory Committee \(/policies/section-a/faculty-senate/a61/a61.8.html\)](/policies/section-a/faculty-senate/a61/a61.8.html)
- [A61.9: Faculty and Staff Benefits \(/policies/section-a/faculty-senate/a61/a61.9.html\)](/policies/section-a/faculty-senate/a61/a61.9.html)
- [A61.10: Governmental Relations Committee \(/policies/section-a/faculty-senate/a61/a61.10.html\)](/policies/section-a/faculty-senate/a61/a61.10.html)
- [A61.11: Graduate Committee \(/policies/section-a/faculty-senate/a61/a61.11.html\)](/policies/section-a/faculty-senate/a61/a61.11.html)
- [A61.12: Honorary Degree Committee \(/policies/section-a/faculty-senate/a61/a61.12.html\)](/policies/section-a/faculty-senate/a61/a61.12.html)
- [A61.14: Library Committee \(/policies/section-a/faculty-senate/a61/a61.14.html\)](/policies/section-a/faculty-senate/a61/a61.14.html)
- [A61.15: Research Allocations Committee \(/policies/section-a/faculty-senate/a61/a61.15.html\)](/policies/section-a/faculty-senate/a61/a61.15.html)
- [A61.16: Research Policy Committee \(/policies/section-a/faculty-senate/a61/a61.16.html\)](/policies/section-a/faculty-senate/a61/a61.16.html)

- **A61.17: Scholarship Committee** (</policies/section-a/faculty-senate/a61/a61.17.html>)
- **A61.18: Teaching Enhancement Committee** (</policies/section-a/faculty-senate/a61/a61.18.html>)
- **A61.19: Undergraduate Committee** (</policies/section-a/faculty-senate/a61/a61.19.html>)
- **A61.20: University Honors Council** (</policies/abolished/sec-a/a61.20.html>) (abolished 4-24-07)
- **A61.21: University Press Committee** (</policies/section-a/faculty-senate/a61/a61.21.html>)
- **A61.22: Policy Committee** (</policies/section-a/colleges-schools/a61.22.html>)
- **A61.23: Health Sciences Center Council** (</policies/section-a/faculty-senate/a61/a61.23.html>)

The membership lists for each of these committees can be accessed at: facgov.unm.edu

(<http://facgov.unm.edu/>)

A61.1: Admissions and Registration Committee

Policy

The Admissions and Registration Committee makes recommendations to the Faculty Senate for the establishment of policies and regulations governing admissions, registration, the grading system, university-wide academic regulations, transference and validation of credits, and university-wide graduation requirements. Additionally, this committee monitors the implementation of these policies and regulations. Through subcommittees, the committee rules on individual cases involving falsification of records, grade changes, petitions for waiver of university-wide graduation requirements and special admissions.

(Ten faculty members, including the chairperson, appointed by the Faculty Senate from at least four colleges or schools on the Albuquerque campus and one from a branch; two student members appointed by the Associated Students of UNM (ASUNM) and the Graduate And Professional Student Association (GPSA), respectively; the Director of Institutional Research; one dean (or designated representative) of a college or school to be elected by the Council of Deans; the Dean of Students; the Vice Provost for Extended University and Dean of Continuing Education and Community Services; the Vice President for Student Affairs or designee; the Director of Undergraduate Admissions; and the Registrar. The terms of office shall be for two years, set up on a staggered basis so that the terms of five members will expire each year. The chairperson is elected by the Committee.)

A61.2: Athletic Council

Policy

The chief duties and functions of the Athletic Council are to formulate, maintain, and review general policies pertaining to intercollegiate athletics. The purpose of the council is to support the personal and academic welfare of the student athlete, protect institutional integrity, and ensure compliance with the National Collegiate Athletic Association (NCAA) and affiliated conference rules. In formulating policy, the Athletic Council shall (a) maintain a position in favor of high scholastic standards for intercollegiate athletics; (b) maintain a position in favor of high standards of institutional and personal integrity and ethical conduct for intercollegiate athletics, and (c) maintain the concept of the intercollegiate athlete as an amateur competitor, a bona fide student pursuing a degree program.

The duties of the Athletic Council are further defined as: (a) to transmit to the President and Faculty Senate at the beginning of each calendar year a report to include information on athletic scholarships and financial aid given to athletes, current review of the graduation rates of student athletes, the eligibility of student athletes as indicated by the Faculty Representative to the NCAA, the Registrar's Office, and the Athletic Academic Advising Office, appropriate recommendations concerning the administration of athletic programs from the perspective of the academic performance of student athletes; (b) to encourage ethical conduct in intercollegiate sports at the University of New Mexico; (c) to make appropriate recommendations to the Vice President for Athletics, the faculty, and UNM President regarding items pertaining to the maintenance of scholastic standards for intercollegiate athletics; (d) to review criteria for admission and eligibility of student athletes, and policies regarding student athletes' progress towards degrees; (e) to review and monitor UNM's athletics programs for compliance with NCAA and MWC rules and regulations including the review of periodic compliance reports; (f) to provide comments and recommendations regarding changes in NCAA, MWC, or other relevant conferences rules, bylaws, policies and procedures to the VP for Athletics and the faculty representative to the NCAA, (g) to review and make recommendations regarding conference affiliations and other intercollegiate relationships; (h) to review at the end of each academic year the list provided by the Vice President for Athletics of student athletes whose scholarships or financial aid are not being renewed, including the reason for each action; (i) to review annually team schedules for conformity to the Athletic Council policy on scheduling of academic events and review and approve scheduling exceptions; (j) to consult with the Vice President for Athletics on policies and procedures for the annual evaluation of coaches and athletic staff; (k) to review and make recommendations regarding appeals of student athletes on academic and athletic matters, and. (l) to advise the Vice President for Athletics, when an Associate Director of Athletics or a head coach is to be employed or dismissed

The Council shall include twelve faculty members, the majority of whom should be tenured, including the chairperson, all to be appointed by the Faculty Senate. These twelve members must be representative of at least four colleges. The terms of office shall be for three years, set up on a staggered basis so that the terms of two members will expire each year. The remaining council membership shall be composed of: three undergraduate student members; one graduate student member; one alumni member; and, also, ex-officio, non-voting, the Vice President for Athletics, the Associate Director of Athletics, and the faculty

representative to the National Collegiate Athletic Association (NCAA). An executive committee of the Council may be appointed to provide coverage during the summer months when some faculty members of the Council may not be available.

A61.4: Budget Committee

Policy

The Budget Committee has the responsibility to make recommendations to the Faculty Senate for advising the budget office in developing the university budget. In particular, the functions of the committee include, but are not limited to: (a) the presentation to the Faculty Senate each September of an analysis of the previous year's disbursement of incremental resources; and (b) the development with the central administration of the university budget for presentation to the regents.

(At least thirteen faculty members appointed by the Faculty Senate, with two from Arts and Sciences and one from each of the following academic areas [where possible given the number of faculty in each area]: Architecture and Planning, Education, Engineering, Fine Arts, University Libraries, Law, Management, Medicine (including Dental Hygiene Programs), Nursing, and Pharmacy and ex-officio member appointed by the Vice President for Business and Finance. The terms of office shall be for three years, set up on a staggered basis so that the terms of at least four members will expire each year. The chairperson is elected by the Committee.)

A61.5: Campus Development Advisory Committee

Policy

Mission

The Campus Development Advisory Committee (CDAC) advises the UNM administration on issues relating to the physical environment of the campus as they contribute to and affect the mission, goals and quality of life at the University. The CDAC serves as a forum for the communication and exchange of ideas and proposals regarding development on the campus and its impact on the campus community, the surrounding neighborhoods, and the City of Albuquerque.

The intent of the committee's involvement is to carry out intelligent and representative reviews of proposed projects, and to offer constructive comment and recommendations directly to the administrative group managing the projects as well as serving as an advisory body to the Provost and Faculty Senate.

Scope of Committee Reviews

The CDAC reviews initiatives that will result in a physical alteration to the campus fabric. The types of projects that fall under the Committee's review include:

- Site selection for new buildings or other space development
- Placement of new buildings on a site
- Site development for buildings or landscape architectural projects such as plazas, open space areas, recreational areas, pedestrian zones, parking lots
- General character, size, massing and materials of proposed new buildings
- Proposed alterations to historic elements of the campus
- Plans for changes to the patterns of access and circulation systems on campus, and as these connect to city systems
- Issues regarding the Campus Master Plan

Evaluative Criteria

The CDAC reviews proposals to consider the general 'fit' between the project and a range of contextual conditions, including:

- The health and safety of students, employees, visitors and residents of the campus
- Potential impacts on movement, visual accessibility and environmental conditions in the surrounding context in which the project is proposed
- The degree to which the proposal incorporates sustainable practices in site and building development
- The aesthetic impact of the proposed development
- The impact of the proposed project on the Campus Master Plan and future development

considerations

Committee Procedure

- The Committee reviews proposals in the preliminary phase of the design process at stage when suggestions and recommendations can still be incorporated. They receive information on the projects again at the completion of the design development stage.
- The Institutional Support Services (ISS) Division and its project managers bring projects before the committee at the appropriate stages of development.
- The Committee reports in an advisory capacity to the Provost, Faculty Senate Operations Committee and Vice President for Institutional Support Services through the Faculty Committee Chair
- ISS provides staff support for the Committee.
- The Committee will meet monthly (generally, on the 2nd Thursday of each Month).

Committee Representation

- Seven faculty members are appointed by Faculty Senate, five from the main campus (including one from the faculty of Architecture and Planning), and two from the north campus.
- Three student representatives, one from the Associated Students of UNM (ASUNM), one from the Graduate and Professional Student Association (GPSA) and one from the Residence Halls Student Association.
- The Administrative members shall be the Vice President for Institutional Support Services; the Provost/Vice President for Academic Affairs; Vice President for Student Affairs (including representatives for student development and the accessibility resource center), the Vice President of the Health Sciences Center; and the Administrator of the UNM Hospital. Any of the administrators may be represented by individuals under their supervision who are designated at the first meeting of each academic year.

The following individuals will have non-voting membership on the committee:

- The UNM Directors of: Planning and Campus Development, Physical Plant, Real Estate, Office of Capital Projects, UNMH Facilities Services, the University Architect, University Landscape Architect, University Planner, Campus Chief of Police, Parking Services Director, and Campus Safety Director
- Three representatives from the City: one each from the Planning Department; the Public Works Department; and the Transit and Parking Department
- Four representatives from neighborhood associations that are located in the four quadrants (north, east, south and west) which are contiguous with the main and north campuses; these four neighborhood representatives will be selected by the Federation of University Neighborhoods.

The Committee is chaired by a faculty member elected by the faculty members from among voting committee members. The Vice President for Institutional Support Services shall co-chair the committee.

A61.6: Information Technology Use Committee

Policy

(Approved by the Faculty Senate November 22, 2011)

The Information Technology Use Committee, in cooperation with UNM IT and other core technology providers, is advisory to the office of the Provost/Vice President for Academic Affairs on all matters relating to technology access. Through communication with the academic and administrative units, it represents the needs and concerns, particularly of the academic community, for computing resources and information technology needs. Its purview includes, but is not limited to, articulation of needs, advocacy of innovative and effective instructional technologies, active participation in planning, advice on IT budgets, recommendation for priorities and liaison with academic as well as administrative computer users. The Committee reports to the Faculty Senate through regular procedures and submits a yearly report to the Senate.

A61.7: Curricula Committee

Approved by: Faculty Senate

Effective: November 22, 2016

Responsible Faculty Committee: Curricula

Office Responsible for Administration: Office of the University Secretary

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

Policy Rationale

The primary role of the Curricula Committee, in cooperation with the Senate Graduate Committee and the Undergraduate Committee, is responsible for maintaining and enhancing the quality of the curricula in the University of New Mexico (UNM), its branches, and its graduate centers.

Policy Statement

Faculty members will be appointed by the Faculty Senate or in the case of branch campus faculty who will be appointed by their respective faculty assemblies. The Curricula Committee shall consist of the following faculty members. One faculty member from each of the branch campuses; three from Arts and Sciences, [one from the humanities (including foreign languages), one from the social and behavioral sciences, one from the natural/physical sciences and math], and one each from Architecture and Planning, Dental Hygiene Programs, Education, Engineering, Fine Arts, Honors College, University Libraries, Law, Management, Medicine, Nursing, Pharmacy, Population Health, two students appointed by the Associated Students of UNM (ASUNM) and the Graduate and Professional Student Association (GPSA), respectively. Ex-officio members shall include the Registrar, a Collection Development Librarian, a faculty administrator from the Office of Academic Affairs, the Director of University Advising, a faculty administrator from the Office of the Chancellor for HSC, and one representative from the Graduate and Professional Committee. The chairperson is elected by the Committee.

The functions of the Committee shall include, but not be limited to, all of the following.

1. Reviewing the recommendations of the Senate Graduate Committee concerning all proposals for major changes in programs (Form C), including new degrees, new programs, new majors and minors, name changes, and substantive changes in existing programs, and transmitting them to the Faculty Senate for final approval.
2. Reviewing and making recommendations on all proposals for minor course changes (Form A), new courses (Form B), minor changes in existing programs (Form C), originating from students, departments, programs, divisions, schools, colleges of the University and its branches and graduate centers, and Faculty Senate committees.

3. Participating, together with members of the Senate Graduate and Professional Committee and Undergraduate Committee, in periodic reviews of instructional units and programs.
4. Hearing curricular disputes and recommending means for their resolution.
5. Initiating occasional reviews of curricular offerings and policies at UNM.
6. Recommending to the Faculty Senate both programs and the application of curricular policies.
7. Overseeing the approval and ongoing assessment of the Core Curriculum in consultation with the Faculty Senate.

Applicability

All 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 Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Definitions

No specific definitions are required for the Policy Statement.

Who should read this policy

- Academic chairs, directors, and deans
- Non-academic managers and directors
- Vice presidents and other executives

Related Documents

“[Plan for Assessment of Courses in the UG General Education Core Curriculum Template \(/_links/office-of-assessment/plan-for-assessment-of-courses-template.doc\)](#)”

Contacts

Direct any questions about this policy to the UNM Office of the University Secretary.

Procedures

1. Procedures for Adding Courses to the Core Curriculum
 - 1.1 Documentation Required

Departments wishing to add courses to the UNM Core Curriculum must submit a Form C for each proposed new course. The Form C should be accompanied by the following material:

- Identification of the area into which the course will fit (writing/speaking, math, science, social/behavioral sciences, humanities, non-English language, fine arts.)
- Rationale for adding the course to the core.
 - Justification for adding the course to the Core.
 - How will this course benefit UNM students?
 - Why does it belong in the UNM Core Curriculum?
 - Impact statement on the effect this addition may have upon other departments/courses currently in the Core.
 - Current and predicted enrollments for the next three years.
 - Demonstrated example of “Annual Report on Assessment.”
- Budget/Faculty Load statement.
 - Budget impact statement.
 - Resources (faculty/facilities) that the department has for teaching the course.
 - Memo from Dean or College Curriculum Committee regarding financial support for five to ten years.
- Student learning outcomes and proposed techniques to assess those outcomes. [See UNM Outcomes Assessment template "[Plan for Assessment of Courses in the UG General Education Core Curriculum Template \(/_links/office-of-assessment/plan-for-assessment-of-courses-template.doc\)](/_links/office-of-assessment/plan-for-assessment-of-courses-template.doc).”]
- Documentation of UNM and HED Core Competencies addressed. (Unless the courses are not applicable to HED standards, i.e. non-English language UNM Core).
- Complete syllabus and course schedule including time on topics and suggested text.

1.2 Approvals

- Approval by department’s college curriculum committee/dean
- Review by the Faculty Senate Undergraduate Committee
- Approval by Faculty Senate Curricula Committee
- Office of the Provost
- Vote by Faculty Senate
- HED’s “New Mexico Common Core Curriculum Course Evaluation” form and New Mexico Common course number (NMCCN) if one exists
 - Provost’s Office
- Provost’s Office will inform Registrar’s office of addition to the UNM Core

1.3 Timeline

- Departments must submit the Form C to Curriculum Workflow early in the fall semester.
- Faculty Senate Curriculum Committee must receive proposal by December 1 for the opportunity for inclusion in the upcoming course catalog.

2. Procedures for Deleting Courses from the Core Curriculum

2.1 Documentation Required

Departments wishing to delete courses to the UNM Core Curriculum must submit a Form C for each course to be deleted. The Form C should be accompanied by the following material:

- Identification of the area into which the course fits (writing/speaking, Math, Science, Social/Behavioral Sciences, Humanities, Non-English Language, Fine Arts.)
- Rationale for deleting the course from the core.
 - Justification for deleting the course from the Core.
 - Impact statement on the effect this deletion may have upon other departments/courses currently in the Core.
 - Enrollment history for the previous three years.
- Budget/Faculty Load statement.
 - Budget impact statement.
 - Memo from Dean or College Curriculum Committee regarding support for removing this course from the core.

2.2 Approval Procedures

- Approval by department's college curriculum committee/dean
- Review by the Faculty Senate Undergraduate Committee
- Approval by Faculty Senate Curricula Committee
- Office of the Provost
- Vote by Faculty Senate
- HED's "New Mexico Common Core Curriculum Course Evaluation" form and New Mexico Common course number (NMCCN) if one exists.
 - Provost's Office
- Provost's Office will inform Registrar's office of deletion from the UNM Core.

2.3 Timeline

- Departments must submit the Form C to Curriculum Workflow early in the fall semester.
- Faculty Senate Curriculum Committee must receive proposal by December 1 for the deletion in the upcoming course catalog.

History

- November 22, 2016- Approve by Faculty Senate
- 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

A61.8: Faculty Ethics and Advisory Committee

Policy

The Faculty Ethics and Advisory Committee shall advise and consult with the President of the University, the Provost/Vice President for Academic Affairs, or the Committee on Academic Freedom and Tenure regarding action to be taken, if any, where a faculty member or a graduate, teaching, research or project assistant in the course of his or her instructional or research-related duties is accused of unethical behavior as defined by the Statement of Professional Ethics (Appendix V). The committee shall also familiarize itself with the Statement on Professional Ethics. (See Appendix V, page 53, Policy on Academic Freedom and Tenure.) The committee may decide that a complaint falls outside its mandate and decline to investigate.

(Seven faculty members appointed by the Faculty Senate and one graduate student appointed by the Graduate and Professional Student Association. Members of the Committee shall serve for overlapping, two-year terms. The chairperson shall be elected each year by the Committee and shall be a tenured faculty member.)

A61.9: Faculty and Staff Benefits

Policy

(Revised by the Faculty Senate August 30, 2011)

The Faculty and Staff Benefits Committee (FSBC) is charged by the Faculty Senate and the Staff Council to review and advise on current and potential University benefits to include but not be limited to, the retirement and insurance plans and health care and investigate the feasibility of additional benefits as may occur to the committee or be suggested to the committee. The committee shall then recommend changes in, or additions to, these benefits to the Faculty Senate, Staff Council and University Administration. Other units within the University shall not create separate benefits committees.

Membership. Committee membership will include both voting and non-voting members as follows:

Voting members. Five faculty members appointed by the Faculty Senate; Five staff members appointed by the Staff Council; One retiree appointed by the Retiree Association;

Non-voting. (Ex-officio members): Executive Vice President for Administration/designee; Vice President for Human Resources/designee; Faculty Affairs and Services Director; Human Resources Department Benefits and Employee Services Director; and the Payroll Manager.

Visitors. The FSBC may from time to time ask individuals with information/knowledge on special topics to address/advise the committee.

Chairpersons. The FSBC will have Co-chairpersons (one faculty and one staff member) who will be elected annually by the voting members of the committee.

Minutes. Minutes will be kept for each meeting and will be reported to the Faculty Senate, the Staff Council and the Retirees Association. This policy and charge when adopted will be added to the Faculty Senate Handbook and the Staff Council Bylaws.

A61.10: Governmental Relations Committee

Policy

The Governmental Relations Committee is responsible for identifying issues of concern to faculty, developing strategies to address these issues, and communicating with the executive and legislative branches of government regarding them. The Committee will monitor developments at the state and local levels that affect higher education and will inform the Senate of these developments and recommend appropriate response.

Membership: Nine faculty members, representing three or more colleges, nominated by the Faculty Senate. Members shall serve overlapping three-year terms and may be reappointed. The Chairperson is elected by the Committee at the last meeting of the academic year.

(For the first year, members will be solicited from the faculty at large by special announcement. Nine members will be appointed, three each to one-, two-, and three-year terms. In subsequent years, appointments will be made through the regular committee-preference process.)

A61.12: Honorary Degree Committee

Policy

The Honorary Degree Committee, a subcommittee of the Senate Graduate Committee shall be composed as follows:

(Two members appointed by the President of the Board of Regents; two members of the General Faculty (appointed for two-year terms by the Faculty Senate;) two members of the General Faculty (appointed for two-year terms by the Senate Graduate Committee;) the President of the University and the President of the Graduate and Professional Student Association. Additionally, the President of the Board of Regents and the Secretary of the University shall be ex-officio members, the Secretary to serve as Secretary of the Committee. The Committee shall elect its own chairman from among the faculty members appointed by the Faculty Senate and the Senate Graduate Committee.)

Operating guidelines: Each year, the Honorary Degree Committee shall solicit nominations for honorary degrees from any source they deem proper. However, a great emphasis should be placed on nominees whose contributions are to UNM, New Mexico or the southwest. The Honorary Degree Committee shall decide if an honorary degree is to be given for any particular year. If no selection is made, the Senate Graduate Committee, the Faculty Senate, and the Regents will be so notified. If the Honorary Degree Committee decides there are appropriate candidates--to a maximum of three annually--they may make a selection or selections and shall present the names of the nominees to the Senate Graduate Committee for confidential approval or disapproval of any or all names. If Senate Graduate Committee's approval is forthcoming for any or all of the nominees, the names shall be submitted to the Faculty Senate for confidential approval no later than at the February meeting. Names of nominees approved by the Faculty Senate shall then be submitted to the Regents for formal approval at their Commencement meeting. (However, approval of the Regents not on the Honorary Degree Committee must be secured informally before names are submitted to the Senate Graduate Committee.) Disapproval of all names by the Senate Graduate Committee, the Faculty Senate, or the Regents stops the process at that point for that year. New nominations from the Senate Graduate Committee, the Faculty Senate, or the Regents will only be considered by the Honorary Degree Committee for a subsequent year.

Early in each academic year, the Honorary Degree Committee makes nominations for the awarding of honorary degrees in accordance with the policy provided below.

Policy for Awarding Honorary Degrees

Approved, Faculty 10/21/51; Approved, Regents 03/10/52; Amended, 12/17/63; Amended, 02/23/67; Amended, 1/14/69; Amended, 05/12/92; Amended and Approved, Regents 11/14/96.

The University of New Mexico wishes to recognize and thereby encourage individuals by awarding special honors to those persons who have contributed significantly to the cultural or scientific development of the Southwest, or to the spiritual or material welfare of its people. At the same time, due regard should be paid to eminent individuals and scholars whose contributions are of general significance and transcend geographic limitations. In no case should a passing courtesy to the University of New Mexico, such as the

delivery of a commencement address, be the sole or principal cause for such honorary awards. The award of an honorary degree to a person seeking or holding a political office does not indicate endorsement by the University of New Mexico. Political involvement should not prevent selection of an individual for an honorary degree.

It is not the University's policy to award honorary degrees to active members of the faculty, staff, or administration. This does not preclude, in an exceptional case, the awarding of an honorary degree to an emeritus member of the faculty or to a former employee whose stature remains or becomes eminent in the years following active service with the University. In such exceptions, sufficient time shall have elapsed to ensure objectivity in the process of selection.

Honorary degrees will be awarded only upon the approval of the Regents, based on recommendations from the Honorary Degree Committee, whose membership is set out in the Faculty Handbook.

Further information on awarding honorary degrees and other types of special recognition can be obtained from "Special Recognition and Awards," Section 1.6 (<http://policy.unm.edu/regents-policies/section-1/1-6.html>), Regents' Policy Manual.

A61.14: Library Committee

Policy

The Library Committee meets regularly to address issues and make recommendations related to the university libraries' policies, budgets and other issues in so far as they impact the teaching, research and service responsibilities of the faculty, and the studies of undergraduate and graduate students. The role of the Committee is also to facilitate communication among libraries and between libraries and faculties of the university. The issues that the Committee will address may be generated by the Committee itself or may be brought to the Committee by any faculty, student or library staff member. Recommendations by the Committee will be made to the Faculty Senate and, when appropriate, to the relevant deans, library directors and vice-presidents. Advice and consultation on library issues will be sought from the library faculty and staff. The chairperson of the Library Committee shall make an annual report to the Faculty Senate reviewing its major activities, including a list of recommended actions. A copy of this report will be sent, for informational purposes, to the Provost/Vice-President for Academic Affairs, the Vice-President for the Health Sciences, the Dean of the Law School, the Dean of the University Libraries, the Director of the Health Sciences Center Library, and the Directors of the various branch campuses.

Membership:

One member from each of the following groupings:

Anderson Schools, Economics, and Public Administration
Education
Engineering
Fine Arts and Architecture
University Libraries
Nursing and Pharmacy
UNM branch campuses
Law School

Two members from each of the following groupings:

Humanities¹
Natural Sciences²
School of Medicine
Social Sciences³
Undergraduate Students (to be appointed by the Associated Students of UNM (ASUNM))
Graduate Students (to be appointed by the Graduate and Professional Student Association (GPSA))

Ex Officio:

Dean of the University Libraries
Director of the Health Sciences Center Library
Director of the Law Library

- 1) English, Foreign Languages & Literatures, History, Linguistics, Philosophy, Spanish and Portuguese.
- 2) Biology, Chemistry, Earth and Planetary Sciences, Mathematics and Statistics, Physics and Astronomy, Psychology.
- 3) American Studies, Anthropology, Communication and Journalism, Geography, Political Science, Sociology, Speech and Hearing Sciences, Community and Regional Planning.

The terms of each office shall be for three years set up on a staggered basis. The chairperson is elected by the Committee. The terms of office of students will be determined by the ASUNM and the GPSA.

A61.15: Research Allocations Committee

Approved by: Faculty Senate

Effective: April 22, 2014

Responsible Faculty Committee: Research Allocations

Office Responsible for Administration: Office of the University Secretary

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

Policy Rationale

The primary mission of the RAC funding is to support the career development of faculty (research and creative works) who are in various stages of career development, but priority will be given to faculty: 1) in the early stage of their careers, 2) embarking upon new directions, or 3) in fields and disciplines where there is limited funding.

The Research Allocations Committee (RAC) supervises and allocates the Faculty Research Fund. This policy document provides policies and the procedures for grant application, approval, acceptance, and administration. It also defines the structure and composition of the Research Allocations Committee.

Policy Statement

The Research Allocations Committee receives requests from faculty members for grants-in-aid, determines faculty eligibility for grants from the fund and the amount of such grants, and appraises the merits of proposed research projects as well as the productivity of the applicants.

The Committee shall communicate and meet with the Vice President for Research or his/her designated representatives. The Committee shall formally meet periodically during fall and spring semesters to discuss the availability and allocation of funds.

Committee Membership

Twelve members appointed by the Faculty Senate; of these twelve, at least one shall be selected from each of the following seven areas with no more than three members from any one area serving concurrently:

1. Physical Sciences—e.g., chemistry, earth and planetary, mathematics and statistics, physics and astronomy.
2. Life Sciences—e.g., biology, psychology.
3. Social Sciences—e.g., anthropology, "business and administrative sciences", economics, geography, history, law, political science, sociology.
4. Engineering--all departments of the School of Engineering.
5. Education--all departments of the College of Education.

6. Humanities—e.g., architecture, English, journalism, foreign languages and literatures, Spanish and Portuguese, philosophy, communication.
7. Fine Arts--all departments of the College of Fine Arts.

The term of service shall be two years. Committee members may be elected to a second two-year term. At least one year must pass before a Committee member who has served two consecutive two-year terms is again eligible to serve. At the last meeting each year, the Committee shall elect a chair from the eligible membership. The chair shall remain active through the summer session. The chair or a designated representative shall convene the initial meeting of the new committee.

Applicability

All 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 Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Definitions

No specific definitions are required for the Policy Statement.

Who should read this policy

- Academic chairs, directors, and deans
- Faculty members

Related Documents

University of New Mexico [Research Allocations Committee \(RAC\) Guidelines for Grants \(≤ \\$10,000\)](http://rac.unm.edu/UNM_RAC_guidelines.pdf)
(http://rac.unm.edu/UNM_RAC_guidelines.pdf)

Contacts

Direct any questions about this policy to the UNM Office of the University Secretary.

Procedures

Procedures for inclusion in this document will be developed by the Research Allocations Committee that defines:

- Eligibility
- Funding cycles and submissions
- Funding priorities and eligible project categories
- Application requirements

- RAC review process

History

Effective:

March 29, 2011—Approved by Faculty Senate

A61.16: Research Policy Committee

Policy

The primary role of the Research Policy Committee shall be to encourage and support research and its funding at the University of New Mexico, including all its established units. The functions of the committee shall include, but not be limited to: initiating, formulating, recommending, and reviewing policies regarding sponsored and unsponsored research, and intellectual property; recommending University policy regarding the distribution of overhead and institutional grants; reviewing with the chief administrative officers for research the research budget of the University prior to and during its final development, and informing and making recommendations to the Faculty Senate regarding this budget; recommending policy concerning the use of the Faculty Research Fund and reviewing and making recommendations to the administration through the Faculty Senate regarding the budget of the Faculty Research Fund; formulating policy regarding the establishment, major modification or termination, and periodic review of research centers, bureaus, institutes, or other related organizations, reviewing and making recommendations to the central administration and the Faculty Senate on proposals regarding these bodies, and participating in the periodic review of these centers; evaluating, formulating and recommending policy concerning research support services provided by computer facilities, libraries, contract accounting, research administration, and other support organizations; making recommendations to the central administration when the appointment of the chief administrative officers for research is being considered; making recommendations to the Faculty Senate on matters of grant research, contract research, patent and copyright policy, and policy on commercialization of intellectual property affecting directly or indirectly the faculty and University as a whole; consulting with the Faculty Senate on formulating the charge of the Intellectual Property Committee as called for in the University Intellectual Property Policy; recommending candidates for the Annual Research Lectureship; meeting with the academic deans formally at least once each year to discuss current problems and exchange information concerning research; and consulting with the chief administrative officers for research regarding implementation of policies.

(Twelve faculty members, appointed by the Faculty Senate in consultation with the Committee chairperson, selected primarily from colleges and departments generating sponsored research: including three from the College of Arts and Sciences, two from the College of Education, two from the School of Engineering, one from the College of Fine Arts, one from the Library, and two from the Health Sciences Center. One graduate student member nominated by the Graduate and Professional Student Association (GPSA). Ex-officio members include the chief administrative officer for research on main campus, the chief administrative officer for research at the Health Sciences Center, and the Director of the Science and Technology Corporation at UNM. The attorney from the University Counsel's office with primary responsibility for research matters shall attend committee meetings and provide legal advice to the RPC. The terms of office shall be for three years, set up on a staggered basis so that the terms of at least three members will expire each year. A member may be appointed for a second three-year term. The chair is elected by the Committee and normally will serve a renewable two-year term. The committee annually elects a Vice-Chair to serve in place of the chair in her/his absence. In addition to Committee appointees, subcommittee membership will be augmented with other faculty, administrators, and graduate students as required for specific subcommittee tasks.)

A61.17: Scholarship Committee

Policy

The Scholarship Committee will:

1. formulate and oversee the implementation of policies governing the allocation of scholarships to students when policy is not stipulated by the granting agency;
2. coordinate scholarship issues with the Scholarship Office (SO), Student Financial Aid Office (SFO), and other university offices and administrators and advise the Directors of the SO and SFO on matters brought to the Committee by the UNM community;
3. submit an annual report to the Faculty Senate each May on issues and decisions related to the granting of scholarships by the SO and SFO;
4. evaluate scholarship-related budgetary policy in the Student Affairs Division and advise the Vice-President of Student Affairs and the Provost on scholarship-related budgetary policy, and on matters brought to the committee by the UNM community;
5. assist in the selection process of the Regents and Presidential Scholars; and,
6. oversee and assist designated UNM faculty representatives in disseminating information concerning screening and preparing applicants from among UNM students for major national and international scholarships such as the Truman, Rhodes, Marshall, Goldwater, and Fulbright Scholarships.

(Ten faculty members, including chairperson, appointed by the Faculty Senate from at least six colleges; two student members appointed by the Associated Students of UNM (ASUNM); one student member appointed by the Graduate and Professional Student Association (GPSA); also as ex-officio members, the Dean of Students, the Director of Development, the Dean of the Undergraduate Studies, the Director of Admissions, the Bursar, the Director of Recruitment Services, the Director of the Scholarship Office, and Director of Student Financial Aid.)

A61.18: Teaching Enhancement Committee

Policy

The purpose of the Teaching Enhancement Committee shall be to encourage and support quality teaching and its funding as the primary role of the University of New Mexico, including all its established units. The TEC will in no way infringe upon the academic freedom of faculty members in searching for and imparting knowledge. The functions of the committee shall include, but not be limited to: initiating, formulating and recommending policies regarding teaching resources, support staff and faculties; recommending University policy regarding the granting of awards and stipends for outstanding teaching and scholarly achievements; oversee selection of Presidential Teaching Fellow and Teacher of the Year Awards and future University teaching honors; awarding funds to be used as incentives to enhance teaching methods and curriculum development through the Teaching Allocations Subcommittee; reviewing and recommending the use of contemporary and developing tools for teaching quality and productivity; serve as an advisory committee to the Center for the Advancement of Scholarship in Teaching and Learning (CASTL); evaluating, formulating and recommending policy concerning teaching support services provided by computer facilities, libraries, media services, and other support organizations; developing and recommending a plan for the institution of an annual lecture by an outstanding teacher and the procedure for selection; meeting formally with the Deans' Council and the Senate Operations Committee at least once each year to discuss current problems and exchange information concerning teaching.

(Eleven faculty members, including a member from a branch campus, appointed by the Faculty Senate; one graduate student appointed by the Graduate Professional Student Association (GPSA); one undergraduate student appointed by the Associated Students of UNM (ASUNM). The Provost, the Associate Provost for Academic Affairs, and the Director of CASTL shall be ex officio members of the committee. The terms of office shall be three years set up on a staggered basis, and the committee members shall elect the chair.)

A61.19: Undergraduate Committee

Policy

The Undergraduate Committee is responsible for maintaining and enhancing the quality of undergraduate education in the University and its branches by (1) presenting to the Faculty Senate recommendations concerning general policies for undergraduate education, including policies on the creation and termination of undergraduate degrees and programs; (2) considering proposals regarding administrative or academic regulations which affect the overall undergraduate program; (3) interviewing, or designating appropriate faculty members to interview, prospective instructors for the University ROTC programs; (4) reviewing policy questions concerning undergraduate counseling and advisement programs; (5) participating, together with members of the Curricula and Graduate Committees, in periodic reviews of instructional units and programs; (6) developing and implementing a process of periodic review of undergraduate programs; and (7), together with the Curricula Committee, evaluating new undergraduate curriculum forms.

Eighteen faculty members, including the chair, appointed for a term of three years by the Faculty Senate: four from the College of Arts and Sciences (one each from natural sciences, social sciences, and humanities; and one at large), two each from the College of Education and the School of Engineering, and one each from the School of Architecture and Planning, the College of Fine Arts, the University Libraries, the School of Management, the College of Nursing, and the School of Medicine; also one faculty representative from each branch college. The committee also includes two undergraduate students, one appointed by the ASUNM Senate and one by the ASUNM president. The chair is elected by the committee. Ex officio non-voting members include the Registrar, the Provost offices for Undergraduate Affairs and Extended University, and the Dean of Students.

A61.21: University Press Committee

Policy

General supervision of the editorial policies and publishing operations of the University Press is vested in a committee so named. It is the custodian of the University imprint for all publications issued by the Press and has general responsibility for the critical reading of manuscripts submitted for publication and for the ultimate acceptance of such manuscripts. The committee makes recommendations to the Administration regarding the appointment of the Director of the Press. The committee submits to the Faculty Senate an annual report on the state of the press. (The UNM Printing Plant is a separate department of the University and not under the jurisdiction of the University Press Committee.)

(Twelve faculty members, appointed by the Faculty Senate in consultation with the Director of the Press; also the Director of the University Press. No more than two members shall be from any one department. The terms of office shall be for three years, set up on a staggered basis so that the terms of four members will expire each year. A member may be appointed for a second three-year term. The chairperson is elected by the Committee.)

A61.22: Policy Committee

Policy

Abolished

(Approved by the Faculty Senate October 23, 2007; Revised by the Faculty Senate November 27, 2007)

The primary role of the Policy Committee shall be to support the University's overall purpose, principles, and goals. In the interest of shared governance, the functions of the committee shall include, but not be limited to initiating, formulating, recommending, and reviewing all policies of the University that impact the faculty. The charge to this committee is as follows:

- Review, as necessary, policies of the Regents' Handbook, Faculty Handbook, Constitution, University Business Policies and Procedures, and the Pathfinder;
- Consult and collaborate with administrators with respect to policies in documents other than in the Faculty Handbook;
- Communication of policies across the campuses after Faculty Senate approval, full faculty approval, or as per policy history; and
- Review policies developed by other standing committees.

The Policy Committee membership will be comprised of seven voting faculty (from at least three schools and colleges including the Health Sciences Center and none of whom are from the same department). At the committee's request, an attorney from the University Counsel's office with primary responsibilities for policy issues shall attend committee meetings and provide legal advice to the Policy Committee. The terms of office shall be for three years, set up on a staggered basis so that the terms of at least three members will expire each year. Members can be appointed for a second three-year term. The chair is elected by the Committee and normally will serve a renewable two-year term. The Committee annually selects a Vice-Chair to serve in place of the chair in his/her absence. In addition to the Committee members, subcommittee membership will be augmented with other faculty, administrators, staff, and students as required for specific subcommittee tasks.

A61.23: Health Sciences Center Council

Policy

The purpose of the HSC Council is to serve as an advisory board to the Faculty Senate, to enhance the role and visibility of the Health Sciences Center faculty in shared governance, and to represent the UNM Faculty Senate in all matters relating to faculty governance and shared governance of the HSC, consistent with the UNM Faculty Constitution, Faculty Handbook, Faculty Senate Bylaws, and with the policies of the Board of Regents and the University. In matters pertaining to faculty governance and shared governance of the university as a whole, the HSC Council shall represent the faculty of the UNM HSC to the Faculty Senate.

The HSC Council shall have the right or duty to consider and advise the Faculty Senate on behalf of HSC faculty on:

- a) Institutional aims and strategic plans of the HSC;
- b) Organizational structure and creation of new departments and divisions;
- c) Major curricular changes and other matters that, in the opinion of the Chancellor for Health Sciences or of the Faculty, affect the HSC as a whole;
- d) Matters of general concern or welfare for HSC faculty.

The foregoing purposes do not supplant the rights and responsibilities of faculty within their respective academic units, nor replace the authority of the Faculty Senate. Rather, the HSC Council shall serve as a forum and voice for the HSC faculty as a whole in representing the interests of HSC Faculty to the Board of Directors and Office of the Chancellor for Health Sciences as well as to the UNM Faculty Senate.

Membership shall consist of all duly elected senators of the Faculty Senate representing the HSC campus. Membership may be increased by a quorum vote of the Council to include non-senators.

A chair shall be elected every two years. Midway through the term of the chair, a chair-elect shall be elected to serve for one year as chair-elect, prior to taking office as chair. The retiring chair shall serve as past chair for at least the first year of the term of newly elected chair.

HSC COUNCIL BY LAWS (http://facgov.unm.edu/hscouncil/HSCCouncil_By-laws.pdf)

A70.4: Student Union Board

Policy

The function of the Student Union Board is to formulate policies for the operation of the Union, as per the Union Board's Constitution and Bylaws, including:

- Review and approve the schedule of charges prepared by the Director of the Union for use of the SUB's facilities.
- Establish policy with the Director of the Union for use of the SUB's facilities by students, faculty, alumni, employees of UNM and the members of the community of Albuquerque.
- Participate on a search committee when the position of Director of the SUB is to be filled. (Secondarily, the Board shall serve to represent the interests of its constituent groups.)
- Review the annual budget of the SUB.
- Remain continuously informed of the services and financial operations of the SUB, and maintain records of this information for its constituent groups and future board members.
- Serve to promote student involvement in the activities and operations of the SUB in recognition of the unique position of students as primary users of the SUB's facilities and programs.

(Two faculty members appointed by the Faculty Senate in the spring to serve two-year overlapping terms, one to be appointed each year; the President of the University or his/her designee; the Dean of Students or his or her designee; two undergraduate students and one graduate student at-large student members; the President of the Associated Students of the University of New Mexico or designee; the President of the Graduate and Professional Student Association or designee; one student senator appointed by the ASUNM Student Senate in the spring to serve to the following academic year by incoming student vice president; an alumnus or alumna appointed in the spring by the Alumni Association President; and the Director of the Student Union, ex-officio member.)

A70: Faculty-Student Standing Committees

Information

Faculty-student committees require or request both the faculty and student population be represented to carry out the function designated to each of these committees. They may not be changed in function or composition without the concurrence of the Faculty Senate and the associated student governing body, though either group may unilaterally withdraw from any of these committees.

- Faculty membership on these committees is set annually by the Faculty Senate based on faculty preferences.
- Student membership on these committee is set annually by the Associated Students of the University of New Mexico President (ASUNM) based on volunteer applications.
- Students associated with the Graduate and Professional Student Association (GPSA) are also involved in University and Faculty Senate Committees.

Further information on student involvement in UNM standing committees can be obtained from the ASUNM and GPSA Web sites at <http://asunm.unm.edu/> (<http://asunm.unm.edu/>) and <http://www.unm.edu/~gpsa>.
(<http://www.unm.edu/%7Egpsa>)

A82: Faculty Membership and Powers

Policy

The membership and powers of the faculty in each college and school is defined in Article II of the Faculty Constitution. Below is an excerpt from the **Faculty Constitution** (<http://handbook.unm.edu/section-a/a51.html>).

Article II. College and Departmental Organization

Sec. 1 College Responsibilities: The Faculty of each College, School shall be an autonomous unit in all matters relating to that particular College, School subject to review under the powers set forth in Article I, Section 2.

Sec. 2 Membership: Faculty membership in a college or department shall be as defined in Article I, Section 1(a) for membership on the University Faculty. For college and departmental voting purposes, such membership shall normally be as defined in Article I, Section 1(b). Those faculty members of a college or department whose eligibility to vote is defined in Article I, Section 1(b) may, upon formal motion and majority approval, establish a general policy extending voting privileges in that college or department to those - i.e., faculty members - holding temporary or part-time appointments in that college or department. Formal notification of such action shall be made to the Secretary of the University. Persons described in Article I, Section 1(a) and 1(b) as ex-officio members of the Faculty shall have voting privileges only in the colleges and departments in which they hold academic rank.

Sec. 3(a) Procedure: The Faculty of each College shall decide upon the procedure for the efficient functioning of the College.

(b) Regular meetings shall be held at intervals agreed upon by the College Faculty. Special meetings shall be called at the discretion of the presiding officer or whenever a request in writing is made by ten members of the College Faculty, or by a majority from a Faculty of fewer than twenty members.

Sec. 4(a) Departments: The Faculty of each Department shall, with the advice and consent of the Dean of the College, decide upon the organization and procedure for the efficient functioning of the Department.

(b) Meetings shall be called at the discretion of the presiding officer or whenever a request in writing is made by ten percent of the departmental faculty.

A83: Annual Reports

Approved by: Faculty Senate

Effective: April 22, 2014

Responsible Faculty Committee: Policy

Office Responsible for Administration: Provost, HSC Chancellor, and EVP for Administration

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

Policy Rationale

Annual reports ensure accountability and provide a measure of how well and at what cost UNM is fulfilling its mission of teaching, research, patient care, and public service. Annual reports serve as management tools for UNM's leadership, faculty, and staff, by documenting the success of each division in meeting its key goals. They also provide UNM's stakeholders with a snapshot of the achievements and challenges of each division during the past year, as well as plans for the future.

Policy Statement

Annual reports will be prepared by the Provost, Chancellor for Health Sciences, and the Executive Vice President for Administration. These leaders are charged with providing:

- a brief description of their units, including information on function, budget, and personnel;
- major activities for the year; and
- plans for the future.

The reports will provide a clear picture of the division's contributions to UNM's achievement of its mission and key goals. The annual reports will be made available and accessible to faculty, staff, and the public. The reports will become part of the permanent records of the University, and reference to them is invited at any time.

Applicability

All 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 Policy and Operations Committees in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Definitions

No specific definitions are required for the Policy Statement.

Who should read this policy

- Academic chairs, directors, and deans
- Non-academic managers and directors
- Faculty members

Related Documents

Contacts

Direct any questions about this policy to your vice president.

Procedures

Annual reports should include unique indicators, presenting data on a wide spectrum of activity including the division's impact on student success and/or quality of patient care; affordability, capacity, and quality of services provided; and effective use of UNM's resources.

To ensure integrity and internal consistency the indicators used should be:

- Based on data that are publicly available and may be reproduced.
- Commonly used nationally or internationally.
- Presented in a way that makes their meaning apparent.
- In a format that allows for comparison to other institutions and trend analysis, when appropriate.

The Annual Report should be brief and well organized. It should not include superfluous materials such as brochures, calendars, class schedules or flyers.

The Provost, Chancellor for Health Sciences, and the Executive Vice President for Administration may request deans and directors to submit annual reports for their academic and administrative units for inclusion in the annual reports.

History

Amended:

January 25, 2011—Approved by Faculty Senate

August 24, 2010—Approved by Faculty Senate

A88: Creation and Reorganization of UNM Academic Units

Policy

(Approved by the Faculty Senate, October 27, 2015)

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

Policy Rationale

From time to time it is necessary for the University of New Mexico (UNM) to consider proposals for the creation of new academic units, or for major restructuring of existing academic units, especially units involving teaching functions and those crossing disciplinary lines. Occasionally the proposed unit would become a branch of the University. This Policy document provides policies and procedures for consideration of such actions pertaining to UNM academic units. The specific procedures for consideration and approval will be established through discussions between the proposers of any changes and representatives of the Provost's Office or HSC Chancellor and the Faculty Senate Operations Committee.

Policy Statement

The creation of a new academic unit located on or off the UNM Albuquerque campus, including new branches or education centers, or to make changes in an existing academic unit require approval of at least the 1) UNM Faculty Senate, acting on the advice of appropriate faculty committees as determined by the President of the Faculty Senate, and 2) appropriate administrative officers, as determined by the President, the Provost, or the HSC Chancellor. If approval of the proposal by the Board of Regents is required (See **Regents' Policy 5.1** (<http://policy.unm.edu/regents-policies/section-5/5-1.html>)), all actions of the Faculty Senate and the administrative officers relative to the proposal shall be transmitted to the Board of Regents.

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

All proposals to create or re-organize academic units shall follow the policies and procedures described herein and any applicable procedures, standards, or guidelines established by the Faculty Senate Operations Committee in consultation with representatives of the Provost or the HSC Chancellor and relevant academic unit heads (e.g., dean's, directors, chairs).

Applicability

All academic units (excluding research centers and institutes, which are covered in [Policy A91 \(/policies/section-a/other/a91.html\)](#)) including those within the Health Sciences Center and Branch Campuses.

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

Definitions

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

Academic unit. Degree granting program, department, branch, school, or college.

Who should read this policy

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

Related Documents

Faculty Handbook:

[Policy A91 \(/policies/section-a/other/a91.html\)](#) "Creation, Review, Reorganization, and Termination of UNM Research Centers and Institutes"

UNM Board of Regents' Policy Manual:

[Policy 5.1 \(http://policy.unm.edu/regents-policies/section-5/5-1.html\)](http://policy.unm.edu/regents-policies/section-5/5-1.html) "The Faculty's Role in the University's Academic Mission"

Contacts

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

Procedures

Creation or Reorganization of an Academic Unit. Those proposing new or revised academic units, other than research centers or institutes (see [A91 \(/policies/section-a/other/a91.html\)](#) for these units), must prepare a proposal and submit it for approval by the Faculty Senate and Provost or HSC Chancellor. The proposal should include the following:

A. Identification of the proposed academic unit or major changes, including all aspects such as instruction, research, and service.

B. Reasons why the proposed changes are desirable, or necessary. For example, the proposed change may be responsive to state or national needs, existing or anticipated opportunities, or requirements of regulatory bodies such as accreditation agencies.

C. The advantages to UNM if the proposal is implemented, including effects on current or future students, faculty, and staff at UNM.

D. Any actual or potential conflicts with the programs or services of existing academic units at UNM, branches of UNM, or other institutions or organizations within the State of New Mexico. Does the proposed academic unit or change offer a potential for enhancement of, or cooperation with, the programs or services of other academic units or organizations?

E. A summary of the anticipated costs or changes in costs, and the human and physical resources, including space and equipment needed during the first five years of operation of the proposed new or revised academic unit.

F. Existing organizational structure related to the proposal, and the anticipated structure when the revision or new academic unit has evolved to anticipated form. Include a description of:

- Administrative structure, including the line of responsibility within the organization and the path(s) through which the unit will report;
- Faculty positions, including rank and responsibilities; and
- Staff positions, including grades and responsibilities.

G. Description of the instructional programs the academic unit will offer, if any. What degree programs will the unit offer, or support at the undergraduate or graduate levels? What courses at the lower division, upper division, and graduate levels will the unit offer in support of either its own or other degree programs? Identify both existing and new courses. Briefly explain the need for the new courses. If any of these courses overlap or are intended to replace existing course offerings at UNM, explain how potential duplication and conflict with the units offering those courses would be resolved.

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

I. Description of the academic unit's service activities. What services will the unit provide to other units in or associated with UNM? Are these services currently offered by any other unit at UNM associated with it, or contracted by it? If so, do you plan to supplement what exists or to replace it? How would potential conflicts with the other units be resolved? What services will the unit provide to organizations outside UNM? Are there units, either public or private, already offering these services? If so, justify the need for you to provide them via the proposed unit.

J. Discussion of the plans for the academic unit for the next three to five years, including what needs, opportunities, or demands will the academic unit satisfy that are not currently being adequately met. How will the unit's functions and size change during this period? For example, will they remain static, grow, or

diminish? How will faculty, staff, and administrators be acquired to support this unit?

K. A detailed budget summary for the first five years of operation of the proposed academic unit. For operating costs, include at least personnel, space upkeep or rental, utilities, contracted services, and equipment maintenance and replacement. For one-time costs, include at least space, furniture, utilities connections, and equipment.

History

October 27, 2015—Approved by Faculty Senate

October 11, 1994—Approved by Faculty Senate

A89: Allocation of Office, Laboratory, and Classroom Space

Policy

The Space Allocation Committee is an administrative committee appointed by the President of the University to oversee the assignment to and utilization by the various organizational units of all facilities and spaces owned or leased by the University. Space needs of programs and patient service organizations associated with the UNM Medical Center are reviewed by the Director of the Medical Center/ Dean of the Medical School.

The membership of the Space Allocation Committee will be the Vice Presidents for Academic Affairs, Research, Student Affairs, and Business and Finance; the Director of Enrollment Services who coordinates the scheduling of all general classrooms; and a member of the Department of Facility Planning staff. The Vice President for Business and Finance will serve as Committee Chairperson. The Committee will schedule meetings at least once per month.

General Policies. The actions of the Space Allocations Committee will be guided by the following policies:

1. The Committee will review and render decisions concerning the assignment of space in the following circumstances:
 - a. When space is provided by new construction and/or the subsequent vacation of existing facilities and/or major renovation of existing facilities.
 - b. When a general classroom, lecture hall or seminar room is proposed for conversion to any other use.
 - c. When Deans or Directors cannot resolve space issues among their departments or units or when the need for additional space is beyond their current space allocation.
 - d. When the assignment of space is proposed to be changed from one organizational unit to another unit.
2. Deans and Directors will be responsible for the management of space assigned to their various departments and units and will notify the Committee of the following:
 - a. When there is a change in the internal allocation of space from one department to another department.
 - b. When the nature of the use of any space is changed.
 - c. When the delineation or configuration of a space is to be changed by the installation or removal of partitions or walls and/or the relocation of doorways.
 - d. When assigned space is greater than the functional needs of a department or unit.
3. The Committee will review the utilization of all space periodically and reallocate space, when appropriate, to promote efficient use of the limited spaces available.
4. When there are multiple requests for new or existing unallocated space, assignment will be generally guided by the following utilization priority order:

- Instruction*
- Library Services
- Research
- Public Service Functions
- Institutional Support Services
- Student Government
- Other

5. Changes in space assignment and/or utilization within the Student Union Building, the South Campus Complex, the North Campus Medical Center Complex, and the Continuing Education Center will be made in consultation with the Director of Student Union Operations and the New Mexico Union Board, the Athletic Director, the Director of the Medical Center/Dean of the Medical School, and the Dean of Continuing Education respectively.

6. Within the above policy guidelines, high priority will be given to the creation and utilization of multi-use spaces.

7. The Committee will be guided by the following minimum criteria in determining the quantity of space allocated:

- Deans, Department Heads, Directors 140-150 sq. ft.
- Professionals 120 sq. ft.
- Professionals (Part-time) two or more per room 60 sq. ft.
- Secretarial/Clerical Station 120 sq. ft.
- Secretarial/Clerical Open Office Configuration 80 sq. ft.
- Secretarial/Clerical (Part-time) two or more per room 60 sq. ft.
- Graduate Assistants** 50-60 sq. ft.

8. The Committee will refer any space issues that have long-range campus facilities development implications to the Campus Planning Committee for consideration before final action is taken by the Space Allocation Committee.

**Because of very limited classroom space, no general classrooms may be converted to another purpose without the review by the Dean of Admissions and Records.*

***Graduate teaching and research assistants may be assigned space if their duties require such space and the space is made available by the department. Work study students will normally not be assigned specific space.*

Procedures. The Space Allocation Committee will accept and review requests for changes in space assignment and utilization throughout the year. Since some of the requested actions and Committee's decisions will have financial implications, the Committee will coordinate its decisions with the capital budget planning process. Deans, Department Heads, and Directors are encouraged to anticipate space need issues as part of the annual capital improvement projects planning process to assure consideration in the capital budget plan for the next year.

1. Space issues will be initiated and reviewed in the following sequence:

Department Head
Dean/Director
Vice President
Campus Planner
Space Allocation Committee

2. Responsibilities of each participant in the process include:

Department Head: The initiation of the request should include:

- General nature of request
- Location of space
- Current utilization
- Proposed utilization
- Justification for request
- Time implications for decisions
- Results of consultation with current occupants of space if the space is not currently assigned to the department, or is shared with another department
- Other information that may be useful to reviewers.

Dean/Director: Should provide the above information if initiating the request or provide comment if reviewing a request.

Vice President: Should provide the above information if initiating the request or provide comment if reviewing a request. Request should be forwarded to the Campus Planner for Committee meeting agenda preparation.

Campus Planner: Responsibilities include:

- Review request
- Consult with requesting unit for further detail
- Determine alternative solutions
- Review or obtain necessary cost implications
- Consult with Director of Facility Planning and Director of Physical Plant for availability of funding
- Consult with Scheduling Office in situations that have general classroom implications
- Prepare Committee agenda information, including recommended Committee action, in consultation with Chairperson.

Space Committee: Review requests and communicate decision to all parties impacted by the request and decision. Committee decisions may be to:

- Approve as requested
- Approve alternative solution
- Approve, subject to allocation of funds in capital budget plan
- Request additional information before action is taken
- Disapprove the request.

3. The Committee, after notification by the Dean or Director of any of the conditions in 2 above, will send the Space Allocation Memo to the appropriate University departments or units and will notify the following of the changes:

- a. UNM Physical Plant Department
- b. UNM Lockshop
- c. UNM Telecommunications
- d. UNM Parking Services
- e. NM Commission on Higher Education Space Analyst
- f. Other applicable departments and/or units.

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

Approved By: Faculty Senate

Effective Date: 3/7/16

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, interdisciplinary, and trans-disciplinary 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 obtained prior to initiating operation of a new research center or institute, or making permanent 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 temporary 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 considered by the appropriate dean, director, or other administrator proposing the changes, prior to initiation. Policy A91 "Creation, Review, Reorganization, and Termination of Research Centers and Institutes" DRAFT 2/4/15 Page 2 of 4 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 the Faculty Senate Research Policy Committee in consultation with representatives of the Provost or the HSC Chancellor and relevant research center or institute heads.

Applicability

All 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

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.
- Faculty interested in creating a new center or institute

Related Documents

Faculty Handbook:

Policy A61.16 (</policies/section-a/faculty-senate/a61/a61.16.html>) “Research Policy Committee”

Policy A88 (</policies/section-a/other/a88.html>) “Creation, Review, Reorganization, and Termination of UNM Academic Units”

Policy E60 (</policies/section-e/e60.html>) “Sponsored Research”

Standard A91#1 “Creation, Review, Reorganization, and Termination of Non-HSC Research Centers and Institutes”

UNM Board of Regents’ Policy Manual:

Policy 5.1 (<http://policy.unm.edu/regents-policies/section-5/5-1.html>) “The Faculty’s Role in the University’s Academic Mission”

Policy 5.9 (<https://policy.unm.edu/regents-policies/section-5/5-9.html>) “Sponsored Research”

University Administrative Policies and Procedures Manual:

Policy 2425 (<https://policy.unm.edu/university-policies/2000/2425.html>) “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. The annual review processes from the Operational Phase 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 standard document specific to the component designed to ensure compliance with this Policy. Standard A91#1 provides guidelines applicable to non-HSC research centers and institutes. A standard will be developed to provide guidelines applicable to HSC research centers and institutes. In the event that a research center or institute has substantial involvement in both the HSC and non-HSC divisions of UNM, the director will work with the Provost and HSC Chancellor to determine which standard is applicable or if another standard needs to be developed.

History

April 28, 2015 – Approved by the Faculty Senate



Faculty Handbook

Section B: Policy on Academic Freedom and Tenure

May 29, 2018

Table of Contents

Section B: Policy on Academic Freedom and Tenure

- [Table of Contents \(/policies/section-b/index.html\)](/policies/section-b/index.html)
- [Introductory Note \(/policies/section-b/introductory-note.html\)](/policies/section-b/introductory-note.html)
- [B1: Professional Activities of Faculty and Criteria for Evaluation \(/policies/section-b/b1.html\)](/policies/section-b/b1.html)
- [B2: Faculty Ranks and Titles \(/policies/section-b/b2.html\)](/policies/section-b/b2.html)
- [B3: Faculty Appointments and Contracts \(/policies/section-b/b3.html\)](/policies/section-b/b3.html)
- [B4: Faculty Reviews \(/policies/section-b/b4.html\)](/policies/section-b/b4.html)
- [B5: Separation from the University \(/policies/section-b/b5.html\)](/policies/section-b/b5.html)
- [B6: Academic Freedom and Tenure Committee \(/policies/section-b/b6.html\)](/policies/section-b/b6.html)
- **Appendices**
 - [I: 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments \(/policies/section-b/appendices/appendix-i.html\)](/policies/section-b/appendices/appendix-i.html)
 - [II: 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings \(/policies/section-b/appendices/appendix-ii.html\)](/policies/section-b/appendices/appendix-ii.html)
 - [III. 1989 Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments \(/policies/section-b/appendices/appendix-iii.html\)](/policies/section-b/appendices/appendix-iii.html)
 - [IV. 1990 Statement on Recruitment and Resignation of Faculty Members \(/policies/section-b/appendices/appendix-iv.html\)](/policies/section-b/appendices/appendix-iv.html)
 - [V. 1987 Statement of Professional Ethics \(/policies/section-b/appendices/appendix-v.html\)](/policies/section-b/appendices/appendix-v.html)
 - [VI. 1971 Committee "W" Statement on Faculty Appointment and Family Relationship \(/policies/section-b/appendices/appendix-vi.html\)](/policies/section-b/appendices/appendix-vi.html)
 - [VII. Committee A Statement on Extramural Utterances \(/policies/section-b/appendices/appendix-vii.html\)](/policies/section-b/appendices/appendix-vii.html)
 - [VIII. Faculty Ethics and Advisory Committee \(/policies/section-b/appendices/appendix-viii.html\)](/policies/section-b/appendices/appendix-viii.html)

Introductory Note

Information

The full statement of policies pertaining to academic freedom and tenure, and to faculty appointment and promotion, follows this note. With regard to the Policy on Academic Freedom and Tenure (hereinafter Policy), note that:

1. Use of the term *Scholarly Work* shall in this Policy refer to the collective activities of Research, Scholarship, or Creative Work.
2. References to the "department" in this Policy are to the primary academic unit, generally a disciplinary department within a college/school. Some non-departmentalized colleges/schools have "areas" or "concentrations" that perform many of the functions of a conventional department. Some non-departmentalized colleges function as the primary academic unit. In the case of non-departmentalized colleges and academic divisions, the responsibilities and procedures set forth in this Policy for the department and the college/school be interpreted by the dean in ways that fit the structure of the unit and all recommendatory and appeal procedures should be modified accordingly. In the case of the branch campuses, the directors shall assume the responsibility of the deans of the colleges and schools.
3. For faculty members in the Health Sciences Center, the office of the Vice President for Health Sciences (VPHS) shall perform those functions assigned in this Policy to the office of the Provost. Unless stated otherwise, the term Provost/VPHS shall be used in this Policy to denote the positions of Provost or Vice President for Health Sciences.

(Most recently approved by the Faculty on December 7, 1998 and by the Board of Regents on December 8, 1998.)

B1: Professional Activities of Faculty and Criteria for Evaluation

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

SECTION 1: PROFESSIONAL ACTIVITIES OF FACULTY AND CRITERIA FOR EVALUATION

1.1 GENERAL PRINCIPLES

(a) All members of the faculty - tenured and non-tenured, full-time and part-time, on main campus and branch campuses - are entitled to academic freedom.

(b) The University endorses and adheres to the principles expressed in the following statements approved by the American Association of University Professors: The 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments (as revised 1990 / Appendix I); 1958 Statement on Procedural Standards in Faculty Dismissal Proceedings (as revised 1990 / Appendix II); 1989 Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments (Appendix III); 1990 Statement on Recruitment and Resignation of Faculty Members (Appendix IV); 1987 Statement on Professional Ethics (Appendix V); 1971 Committee "W" Statement on Faculty Appointment and Family Relationship (Appendix VI); and the 1989 Committee "A" Statement on Extramural Utterances (Appendix VII). UNM policy closely follows the principles set down in these documents and in certain respects surpasses them in guarantees of due process and other safeguards to faculty members. The procedural requirements of the foregoing statements are superseded by the procedures set forth in the *Faculty Handbook*.

(c) The University strives for inquiry, learning, and scholarship of a breadth and depth that will result in excellence in all of the University's major functions: teaching, scholarly work, and service. Each academic unit has an obligation to contribute to each of the three functions of the University. Faculty members play a central role in the realization of these functions and help fulfill the obligations of their academic unit by contributing their unique expertise and competence.

1.2 CATEGORIES FOR FACULTY PERFORMANCE EVALUATIONS

(a) The categories in which faculty performance will be evaluated are the following:

1. Teaching
2. Scholarly Work
3. Service
4. Personal Characteristics

The University's general expectations in each of these categories are set forth below.

(b) In order to earn either tenure or promotion or both, faculty are required to be effective in all four areas. Excellence in either teaching or scholarly work constitutes the chief basis for tenure and promotion. Service and personal characteristics are important but normally round out and complement the faculty member's strengths in teaching and scholarly work. (The criteria for clinical faculty in the Medical School, however, are defined in the tenure and promotion guidelines for the Medical School and are somewhat different in that clinical faculty are expected to be excellent in at least two of the three categories of teaching, scholarly work, and clinical service/administration. The criteria for faculty at the branch campuses are defined in the statement on "Academic Freedom, Tenure, Appointment, and Grievance Procedures" for branch colleges in the *Faculty Handbook*.)

(c) In those cases in which specific assignments limit the faculty member's involvement in some major area of faculty responsibility, a written understanding to this effect shall be made by the department, approved by the dean and the Provost/VPHS and filed in the office of the Provost/VPHS at the time the assignment is made. (If the faculty member holds a probationary appointment, see Sec. 3.2.4.)

1.2.1 Teaching

(a) Due to the variety of subject matter and student populations at the University, teaching occurs in various settings and via a diversity of forms of instruction, such as didactic lecturing, small group seminars, problem-based learning, and clinical practicums. The term teaching as used here includes, but is not restricted to, regularly scheduled undergraduate, graduate, post-graduate, and professional instruction, and the advising, direction and supervision of individual undergraduate, graduate, post-doctoral, and professional students. Library faculty, in the discharge of their professional duties, shall be regarded as engaged in teaching. Teaching also includes the direction or supervision of students in reading, research, internships, residencies, or fellowships. Faculty supervision or guidance of students in recognized academic pursuits that confer no University credit should also be considered as teaching.

(b) Effective teaching is one of the primary qualifications for promotion and tenure. The educational experience provides a student with an increased knowledge base, an opportunity to develop thinking and reasoning skills, and an appreciation for learning. An effective teacher is best characterized as an individual who successfully promotes these goals. Although individual teachers bring to bear different sets of talents in pursuit of these goals an effective teacher, at a minimum, should:

- Demonstrate effective communication skills.
- Show evidence of strong preparation.
- Present material that reflects the current state of knowledge in the field.
- Demonstrate effective management skills.
- Organize individual topics into a meaningful sequence.
- Demonstrate an ability to interact with students in an encouraging and stimulating manner.
- Demonstrate a commitment to the discipline.

(c) Teaching is evaluated by students and faculty. Evidence to be evaluated for teaching during mid-probationary, tenure, and promotion reviews must include student course evaluations, descriptions of courses taught and developed by the faculty member, and written reports of peer observations of teaching.

1.2.2 Scholarly Work

(a) The term *Scholarly Work*, as used in this Policy, comprises scholarship, research, or creative work. *Scholarship* embodies the critical and accurate synthesis and dissemination of knowledge. The term research is understood to mean systematic, original investigation directed toward the generation, development, and validation of new knowledge or the solution of contemporary problems. *Creative work* is understood to mean original or imaginative accomplishment in literature, the arts, or the professions.

(b) The faculty member's scholarly work should contribute to the discipline and serve as an indication of professional competence. The criteria for judging the original or imaginative nature of research or creative work must reflect the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as scholarship or creative work, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question.

(c) Evidence of scholarship or creative work is determined by the faculty member's publications, exhibits, performances, or media productions and may be supplemented by evidence of integration of the faculty member's scholarly work and teaching. Written evaluations from colleagues and experts in the field, both on campus and at other institutions, may be used at the discretion of the department for the mid-probationary review (Sec. 4.5 and 4.6). Such evaluations must, however, form part of the dossier for both the tenure review and the review for promotion to the senior ranks (Sec. 4.5, 4.7, and 4.8).

1.2.3 Service

(a) There are two broad categories of faculty service: professional and public.

(1) Professional service consists of those activities performed within the academic community that are directly related to the faculty member's discipline or profession. Within the University, it includes both the extraordinary and the routine service necessary for the regular operation of departments and colleges and the University as a whole, including, for example, facilitating the day-to-day operations of academic life, mentoring students and colleagues, and, in the Health Sciences Center, providing patient care. Universities, and their component colleges and departments, rely to a great extent for their operation and advancement on the active participation of faculty members in their administration and governance. Although service is not weighted as heavily as teaching and research or creative works, "service" is an essential element of faculty performance and duties. Faculty members, particularly senior faculty members, have a responsibility to contribute to the government of the University through timely participation on committees and other advisory groups at the department, college, and University levels. Beyond the University, professional service includes service to professional organizations and other groups that engage in or support educational and research activities.

(2) Public service consists of activities that arise from a faculty member's role in the University. These activities normally involve the sharing and application of faculty expertise to issues and needs of the civic community in which the University is located.

(b) Service to the University, to the faculty member's profession and to the local, national, and international communities beyond the University is reviewed in this category. Evidence of performance in this area includes committee work at the University, college and department levels, and participation in professional

organizations of the discipline and in the community in the faculty member's professional capacity.

1.2.4 Personal Characteristics

This category relates to the personal traits that influence an individual's effectiveness as a teacher, a scholar, researcher, or creative artist, and a leader in a professional area. Of primary concern are intellectual breadth, emotional stability or maturity, and a sufficient vitality and forcefulness to constitute effectiveness. There must also be demonstrated collegiality and interactional skills so that an individual can work harmoniously with others while maintaining independence of thought and action. Attention shall also be given to an individual's moral stature and ethical behavior, for they are fundamental to a faculty member's impact on the University. Information used in the objective appraisal of personal traits may be acquired from peer evaluations (e.g., letters of recommendation for new appointees, or written evaluations prepared by colleagues for promotions or for other departmental reviews) and must be handled with great prudence. By necessity, the category of Personal Characteristics requires flexibility in its appraisal.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977; August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

B2: Faculty Ranks and Titles

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

SECTION 2: FACULTY RANKS AND TITLES

2.1 INTRODUCTION

Appointment or promotion to the junior ranks of instructor or assistant professor represents a judgment by the department, college/school, and University that the individual has the required qualifications and expertise and that the individual will function to sustain the mission of the University and enrich its academic environment. In a similar manner, appointment or promotion to the senior ranks of associate professor or professor represents an implicit prediction that the individual will continue to make sound contributions to the University. Deans and departmental chairs normally look to the senior ranks for advice and counsel regarding policy matters, including appointment and promotion of other faculty.

2.2 TENURE-TRACK FACULTY RANKS AND TITLES

Faculty members with the rank of assistant professor, associate professor, professor, or distinguished professor may be awarded tenure (for an exception in the Health Sciences, see Sec. 2.3.1). Probationary appointments potentially leading to tenure ("tenure-track" appointments) are made at the ranks of assistant professor, associate professor, and professor levels.

2.2.1 Assistant Professor

Individuals who are demonstrably competent in the subject matter of the courses to be taught and who have indicated a serious commitment to a faculty career may be considered for this faculty rank. This appointment is typical for most faculty who are beginning their probationary service. While it is not expected that persons appointed at this rank shall have acquired an extensive reputation in their field, it is expected that they will continue to increase their knowledge, to improve their teaching ability and to present the results of their scholarly work in ways appropriate to their field.

2.2.2 Associate Professor

(a) Individuals who have acquired significant experience beyond the terminal degree are appropriate for this faculty rank. They shall have demonstrated competence as teachers and have shown a conscientious interest in improving their teaching. They shall have demonstrated a basic general understanding of a substantial part of their discipline and have an established reputation within and outside the University in their fields of scholarly work. This implies scholarly work after the terminal degree sufficient to indicate continuing interest and growth in the candidate's professional field.

(b) Appointment at, or promotion to, the rank of associate professor represents a judgment on the part of the department, college, and University that the individual has made and will continue to make sound contributions to teaching, scholarly work, and service. The appointment should be made only after careful

investigation of the candidate's accomplishments and promise in teaching, scholarly work, and leadership.

2.2.3 Professor

(a) Individuals who have attained high standards in teaching and who have made significant contributions to their disciplines may be considered for this faculty rank. They shall also have developed expertise and interest in the general problems of university education and their social implications, and have shown the ability to make constructive judgments and decisions. It is expected that the professor will continue to develop and mature with regard to teaching, scholarly work, and the other qualities that contributed to earlier appointments.

(b) Appointment or promotion to Professor represents a judgment on the part of the department, college/school, and University that the individual has made significant, nationally recognized scholarly or creative contributions to his or her field and an expectation that the individual will continue to do so.

(c) Professors are the most enduring group of faculty, and it is they who give leadership and set the tone for the entire University. Thus, appointment or promotion should be made only after careful investigation of the candidate's accomplishments in teaching, scholarly work, and leadership.

2.2.4 Regents' Professor and Regents' Lecturer

Criteria for these honorific titles are established at the college level with nominations forwarded by the dean to the Provost/VPHS. The term of appointment is three years. Individuals may be named more than once for Regents' appointments, although appointments may not be made for successive terms. The title "Regents' Professor" may be retained during the balance of an awardee's career. Awards may not be given to administrators, but will not be withdrawn from faculty members who become administrators.

2.2.5 Distinguished Professor

(a) Individuals who have demonstrated outstanding achievements and are nationally and internationally renowned as scholars may be considered for this faculty rank. This is the highest faculty title the University bestows and is used only for a few of its most prominent faculty members.

(b) The Nomination Procedure originates at the department level and must have the recommendation of the departmental and/or college faculty with which the candidate is now or would be affiliated. Upon receiving a recommendation, the Provost shall, in consultation with the Faculty Senate Operations Committee, appoint a University-wide committee of no fewer than five non-administrative senior faculty who shall review the nominee's dossier and make appropriate recommendations to the Provost who makes the appointment. The position of Distinguished Professor is not proprietary with a department or college. Upon termination of employment of a distinguished professor, the title may not be passed on to another individual unless the procedure described herein has been followed.

2.3 NON-TENURE-TRACK FACULTY TITLES

2.3.1 Clinician-Educator Faculty

In the Health Sciences Center, faculty may be appointed to the position of clinician-educator. These appointments are for health professionals with appropriate professional degrees who are primarily engaged in patient care and teaching, and may have related scholarly responsibilities. While not eligible for tenure,

clinician-educators may hold the rank of instructor, assistant professor, associate professor, or professor.

2.3.2 Lecturer

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

(a) Lecturer I—The title used for individuals who have qualifications equivalent to teaching assistants or graduate students and who are not currently graduate students at the University in the same department as their academic appointment.

(b) Lecturer II—The title used for qualified professionals who have completed all requirements except the dissertation for the terminal degree (or equivalent) in their fields of study and who are not currently graduate students at the University in the same department as their academic appointment. It may also be used for professionals who have the terminal degree but only limited experience in teaching or scholarly work, or for professionals who do not have the terminal degree but have extensive experience.

(c) Lecturer III—The title used for qualified professionals who hold the terminal degree (or equivalent) in their fields of study and who have additional experience in teaching and scholarly work.

2.3.3 UNM-National Laboratory (NL) Professor

The title of UNM-NL professor is appropriate for distinguished scientists and engineers affiliated with Sandia and Los Alamos national laboratories who assume positions as professors in academic departments at the University. They are chosen by academic departments, with the approval of the dean, and serve renewable terms of varying duration.

2.3.4 Instructor

This title is used for individuals who are hired as the result of a search to fill a tenure-track or clinician-educator position but who do not yet qualify for an Assistant Professor rank because they have not yet completed their academic programs or have not yet obtained the requisite professional certifications. It is the one non-tenure-track title that refers to a professorial rank (see the Faculty Constitution, Art. I, Sec.1(b) in the Faculty Handbook). Instructors may be appointed with an understanding that they will be advanced to a rank of Assistant Professor contingent upon fulfilling specified goals such as timely completion of the individual's academic program.

2.3.5 Assistant Instructor

This title is given to individuals who assist tenure-track faculty, chiefly in laboratory areas, and who are not candidates for a degree.

2.3.6 Visiting Scholar

This title is used for scholars who are visiting the University and participating in some way in its teaching or research functions.

2.3.7 Other Visiting Titles

The titles of visiting lecturer, visiting instructor, visiting assistant professor, visiting associate professor, and visiting professor are appropriate for persons who are employed to teach on a non-permanent basis. Qualifications are the same as for the corresponding ranks and titles.

2.3.8 Research Titles

(a) The titles of research lecturer, research assistant professor, research associate professor, and research professor are appropriate for persons who are engaged primarily in research activities and have qualifications similar to those held by tenure-track faculty. They may occasionally teach or serve as members of thesis or dissertation committees. Teaching assignments on a regular basis require appointment in a tenure-track faculty rank. Research appointments are renewable annually for an unlimited time. The title of research scholar is used for visiting faculty whose primary function pertains to the exchange of specific laboratory or research skills with University researchers.

(b) Research professors generally have extramural funding in which they are the principal investigator or for which their contribution is crucial to the funding. Appointments are temporary in nature, and therefore, research faculty are not eligible to vote in the general faculty. Such appointments are renewable annually and are non-probationary. In the event that a person with a research title is appointed to a faculty rank that can lead to tenure, the time served with a research title shall not count toward tenure.

2.3.9 Artist-in-Residence

Individuals with non-teaching assignments in creative work are given the title of artist-in-residence.

2.3.10 Adjunct Titles

The titles of adjunct lecturer, adjunct instructor, adjunct assistant professor, adjunct associate professor, and adjunct professor are appropriate for persons whose primary professional responsibility is outside the University or for professional staff of the University who may teach on an occasional, limited, course-by-course basis. Qualifications are the same as for regular faculty ranks and titles.

2.3.11 Clinical Titles

The titles of clinical associate, clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor are appropriate for practicing professionals who volunteer time or are non-University employees assigned to a particular department on a regular basis. These titles are also used for selected administrators from cooperating and collaborating agencies.

2.3.12 Postdoctoral Fellow

Individuals who are engaged in special study and research at the postdoctoral level and are paid from designated funds are given the title of postdoctoral fellow.

2.3.13 Associate

Individuals affiliated with an academic department, but with their primary appointment in another department, are given the title of associate.

2.3.14 Professor of Practice

This title may be used to appoint individuals who have achieved substantial national and/or international distinction in practice, who have had a major impact on fields important to the mission of the University, and who may benefit a program at the University by the integration of professional practice within its teaching and research missions. Appointment as Professor of Practice should only be made in exceptional circumstances to meet demonstrable need that cannot be met by regular faculty appointments. The Professor of Practice shall not be a substitute for regular faculty nor shall appointment as Professor of Practice be made as a matter of courtesy.

Specific titles will be granted with respect to the applicable program, "Professor of Practice in ____". Those holding these appointments will not have voting privileges except as described in Article II, Section 2 of the Faculty Constitution. Professors of Practice are not eligible for tenure.

Full and part-time appointments of those designated Professors of Practice shall not exceed 10% of the FTE tenure/tenure-track faculty of each department, or in the absence thereof, each School or College. For a department of less than 10 FTE tenure/tenure-track faculty, no more than one Professor of Practice shall be appointed.

2.3.15 Term Teaching Faculty

This title is used for part-time faculty greater than .25 FTE and who are employed to teach on a non-permanent basis.

2.4 GRADUATE, TEACHING, RESEARCH AND PROJECT ASSISTANTS, AND TEACHING ASSOCIATES

(a) Graduate, teaching, research and project assistants, and teaching associates occupy a dual role in the University (i.e., they are students who also perform various faculty functions). Some students are given teaching assignments, while the work of others supports instruction indirectly. Because of their dual role, assistants and associates in these positions share in the rights and responsibilities of both students and faculty. They must adhere to established guidelines and to standards of ethical conduct; they must also be accorded the right to freedom from arbitrary or capricious suspension or dismissal from their assistantships.

(b) As students, assistants and associates have all the rights and responsibilities of students when acting in that capacity as defined by University regulations. As teachers, assistants, and associates have the responsibility of adhering to the standards of faculty professional ethics and following the policies and course guidelines of the department or supervisor for whom they act. When given discretion in the selection of instructional material and in the conduct of classes, they are responsible for exercising this discretion in a manner consistent with the guidelines provided for the courses in which they instruct.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977; August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

B3: Faculty Appointments and Contracts

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

SECTION 3: FACULTY APPOINTMENTS AND CONTRACTS

3.1 TYPES OF FACULTY APPOINTMENTS

(a) Faculty appointments may be *probationary*, *tenured*, *continuing non-tenure-track*, or *temporary*. Prior to awarding of tenure, tenure-track faculty appointments are probationary appointments; following the award of tenure, such appointments are *tenured*. All faculty members holding probationary appointments at the rank of assistant professor or above are eligible for consideration for tenure. (For a definition and discussion of tenure, see Sec. 4.7.1 and Appendix I.) Non-tenure-track appointments do not lead to tenure. However, the presumption with continuing non-tenure-track appointments is that they will be continued if the faculty member is not duly notified to the contrary. Non-tenure-track appointments where there is not a presumption of continuation are *temporary*.

(b) The precise terms and conditions of every new appointment to the faculty shall be stated in writing and given to the faculty member before the appointment is made. A copy of this Policy on Academic Freedom and Tenure shall also be given to the faculty member before appointment of the individual.

3.2 PROBATIONARY APPOINTMENTS

(a) The probationary period is the time during which an individual's fitness for tenure is under consideration. Probationary appointments are given only to individuals who are believed to have potential to achieve tenure in the appointing department. Only time spent in a faculty rank in a tenure-track position shall be considered as probationary employment leading to tenure. A mid-probationary review of a faculty member's progress toward tenure will be conducted as provided in this Policy.

(b) Probationary faculty members serve on one-year faculty contracts, following the procedures specified in this Policy.

(c) Notification of the decision of the Provost/VPHS to discontinue a probationary faculty member must be given to the faculty member by March 31 of the first year of appointment, Dec. 15 of the second year of appointment, and June 30 of the third and subsequent years of appointment. Probationary members notified in their third or subsequent years of their discontinuation are offered a one-year terminal contract.

3.2.1 Full-time Faculty

(a) When initial probationary appointments are made at the assistant professor level, the new assistant professor shall normally be appointed on year-to-year contracts on the assumption of a probationary period no longer than six full academic or fiscal years with a mid-probationary review in the third year. When initial probationary appointments are made at the associate professor level, the maximum probationary period is four years and when initial probationary appointments are made at the professor level, the maximum

probationary period is three years. For initial appointments commencing after Dec. 31, the remainder of that academic or fiscal year is not included in determining the length of the probationary period.

(b) By written agreement between the appointee and the chair of the department and with the approval of the dean and the Provost/VPHS, the probationary period may be reduced below these maximum periods. When the probationary period is reduced below the maximum periods by agreement, the agreement will identify specific times for the mid-probationary and tenure reviews. If the probationary period is established to be two years or less, there shall be no mid-probationary review. The duration of the probationary period will not be extended beyond six full academic or fiscal years. However, if a faculty member goes on leave of absence without pay, family leave or paid medical leave for a semester or more during a year of probationary service, the probationary period will normally, upon timely request of the probationary faculty member, be suspended for the duration of the leave, and subsequent mid-probationary and tenure reviews will be one full year later. A faculty member shall be reviewed for tenure only once.

3.2.2 Part-time Faculty

(a) Part-time probationary appointments are made in exceptional cases and such appointments may be made only with the approval of the department, the dean, and the Provost/VPHS. If approval is granted, an agreement will be drawn up and signed by the faculty member, the department chair, the dean, and the Provost/VPHS stating that the individual is working toward tenure in a part-time faculty position. Part-time probationary appointments may be made for positions that are less than 1.0 full-time equivalent (FTE) but not less than one-half (0.5) FTE. At the time of appointment to any part-time probationary position, the appointee and the University must reach an understanding that clearly defines the terms of the appointment.

(b) The performance expectations for a faculty member on a part-time probationary appointment will be the same as those set forth for faculty holding full-time probationary appointments, but the probationary period shall be longer. The probationary period shall be pro-rated based upon the fraction of full-time equivalent and rounded-up one year for fractional-year calculations. A part-time probationary faculty member appointed as an assistant professor may, by agreement upon appointment, serve up to a maximum of 12 years in probationary status. A part-time probationary faculty member appointed at the senior ranks (associate professor and professor levels) may, by agreement upon appointment, serve up to a maximum of 8 years in probationary status if initially appointed to the rank of associate professor, and serve up to a maximum of 6 years in probationary status if initially appointed to the rank of professor. When a part-time probationary faculty member is awarded tenure, there is no presumption that the faculty member will ever be placed on full-time status at the University.

(c) A part-time probationary faculty member may move to a full-time probationary position and a full-time probationary faculty member may move to a part-time position, with appropriate adjustments of the probationary period and expectations, only with the approval of the faculty member, the department, the dean, and the Provost/VPHS.

(d) Part-time probationary faculty and tenured faculty with part-time appointments shall be considered regular members of the voting faculty of the department, the college/school, and the University. Part-time

probationary faculty shall be subject to the performance reviews and procedures specified in this Policy for full-time probationary faculty.

(e) Tenured faculty with part-time appointments are eligible for sabbatical leave. Such leave benefits may be earned on the same timetable as those for full-time faculty members, but the sabbatical salary shall be proportionately reduced.

3.2.3 Appointments in Two or More Units

(a) Appointments in which the services of a full-time faculty member are shared by two or more academic units or colleges are not only possible but encouraged when they benefit the University. A joint appointment must:

1. not total more than 1.0 Full-Time Equivalent (FTE) and
2. be approved, in writing, by the faculty member, all the departments and colleges involved and the Provost/VPHS.

(b) Before a faculty member receives a joint appointment, the appropriate academic units must jointly specify in writing, and secure written administrative approval for, all conditions of the appointment. The resulting agreement shall address matters such as probationary period, criteria for tenure and promotion and procedures for recommending salary increases and reappointment or non-reappointment, promotion and tenure. The agreement shall specify the academic unit that shall have primary responsibility for promotion and tenure. Any such agreement shall conform to the provisions of this Policy pertaining to promotion and tenure.

3.2.4 Appointments with Administrative Duties or Other Special Assignments

It is not expected that probationary faculty members will assume significant administrative duties. However, in a case in which administrative or other specific assignments limit the probationary faculty member's involvement in some major area of faculty responsibility (Sec. 1.2 (b)), a written understanding to this effect shall be made by the department, with the consent of a majority of the tenured faculty of the department, and approved by the dean and the Provost/VPHS at the time the assignment is made. The resulting agreement shall address matters such as probationary period, criteria for tenure and promotion, and procedures for recommending salary increases and reappointment or non-reappointment, promotion and tenure. Any such agreement shall conform to the provisions of this Policy pertaining to promotion and tenure. Copies of the agreement shall be filed with the Provost/VPHS and with the Committee on Academic Freedom and Tenure (the Committee). The Committee shall review the agreement for conformity to Faculty Handbook policies. Similarly, if an administrator is given academic rank at any time following the initial appointment, these requirements will apply. The policies of this section do not apply to library faculty whose teaching responsibilities may be defined to include administrative duties (see Sec. 1.2.1 (a)).

3.3 TENURED APPOINTMENTS

3.3.1 Appointments with Tenure

An initial appointment with tenure may be recommended to the Provost/VPHS for exceptional cases in which an ad hoc tenure review of the candidate has been conducted in accordance with the standards and

procedures of this Policy. Otherwise, a tenured appointment may be granted after a favorable tenure decision made in accordance with the standards and procedures of this Policy subsequent to a period of probationary service.

3.3.2 Changes in Appointments

(a) A faculty member with tenure may at his or her request, either permanently or temporarily for a specified time, change to part-time service while retaining tenure status, provided that the department, the dean, and the Provost/VPHS approve the terms in advance.

(b) A faculty member with tenure who resigns from the University:

1. and is rehired within three years as a full-time member of the same department shall have tenure upon return.
2. and is rehired by the same department after more than three years' absence may be required to serve a probationary period of not more than one year at the discretion of the department.
3. and is rehired as a full-time member of another academic department may be required to serve a probationary period of not more than one year at the discretion of the department.

3.3.3 Appointments with Administrative Duties

It is understood that a faculty member who has been granted tenure and, thereafter, accepts an administrative post within the University, retains tenured status in the original academic unit. No tenure may be granted with respect to an administrative post or administrative duties.

3.4 CONTINUING NON-TENURE-TRACK APPOINTMENTS

3.4.1 Clinician-Educator Faculty

Clinician-educator appointments are for a fixed term, subject to renewal at the discretion of the dean, following policies and procedures adopted by colleges in the Health Sciences Center.

3.4.2 Lecturers

Lecturers are initially appointed to annual terms renewable at the discretion of the University. Written notice regarding the status of a lecturer shall be given according to the following minimum periods of notice: (1) not later than March 31 of the first academic year of service or (2) not later than December 15 of the second or subsequent academic year of service. Lecturers who have completed at least three academic years of continuous service are eligible for renewable two-year term appointments. Senior Lecturers serve on renewable two-year term appointments, and Principal Lecturers serve on renewable three-year term appointments. Two- and three-year term appointments are renewable at the discretion of the University. Notice of the status of these term appointments will be given no later than December 15 of the final year of the term appointment.

3.4.3 UNM-National Laboratory Professors

UNM-National Laboratory professors are chosen by academic departments, with approval of the dean, and serve renewable terms of varying duration.

3.4.4 Professor of Practice

Professors of Practice are chosen by department, school, or college, with approval of the dean, and serve

renewable terms of three years. Initial appointments may be granted for a term up to three years, with the approval of faculty within the department, school, or college. Appointments may be renewed in terms of up to three years with the approval of faculty within the department, school, or college. These appointments may be either full-time or fractional (i.e., less than 100%) when the individual appointed is actively engaged in practice. Faculty involvement in the decision to appoint the Professor of Practice should be identical to the procedures used in all faculty hires within department, school, or college. Individuals appointed to these positions must be reviewed annually in accordance with Faculty Handbook Section B4.10 Annual Review of Continuing Non-tenure-track Faculty.

3.5 TEMPORARY APPOINTMENTS

Temporary appointments of one year or less may be made to faculty titles listed in Sec. 2.3.4 through Sec. 2.3.13 for various reasons, including to appoint faculty members as visiting professors, to fill positions funded by other than State-appropriated funds, to replace faculty members on leave, or whenever an appointment has to be made so late that normal search procedures cannot be followed. With the exception of appointments made without a normal search procedure, faculty members on such appointments may be reappointed for a second or third year if mutually agreeable to the faculty member and the department and college involved. Temporary appointments shall not lead to tenure. They shall not exceed a total of three consecutive years except in the case of faculty with research, adjunct, or clinical titles.

3.6 STANDARD CONTRACTS

Standard faculty appointments are for the academic or fiscal year. For academic year appointments, faculty members will be notified of the date they are expected to be available for duty. The appointment period for the first semester ends Dec. 31, even though the semester may end at a different time.

3.6.1 Probationary Faculty

Probationary faculty members receive an annual contract, issued each year by the Provost/VPHS. This contract provides information about their tenure status, rank, salary and term of service. It is signed by the faculty member and returned to the Faculty Contracts Office.

3.6.2 Tenured Faculty

Faculty members receiving tenure (or being appointed with tenure) receive a contract, issued by the Provost/VPHS, establishing their status as tenured faculty members. Thereafter, tenured faculty members receive an annual contract that provides information about tenure status, rank, salary and terms of service (e.g., sabbatical leave, departmental administrative service, etc.).

3.6.3 Senior Academic Officers

Academic officers holding the title of associate or assistant provost, associate or assistant vice president, dean, program director and other similar titles, receive a contract, issued by the Provost/VPHS, each year that reflects their administrative duties. It is within the University's discretion whether or not to renew such administrative appointments, subject to the University's Policy on Contract Employees.

3.6.4 Temporary Faculty

Temporary faculty are issued contracts for a limited period of time. It is within the University's discretion whether to renew such contracts, subject to the provisions of this Policy.

3.6.5 Term Teaching Faculty

Term faculty appointments are greater than .25 FTE and faculty in this category are issued contracts for a limited period*. It is within the University's discretion whether to renew such contracts, subject to the provisions of this Policy.

**Note: The Faculty Contracts Office has administratively defined a limited period as at least two consecutive semesters.*

3.7 SPECIAL CONTRACTS

3.7.1 Notice Contracts

A notice contract is a one-year contract issued to an untenured probationary faculty member who the University has determined is qualified for retention, but who cannot be retained at the moment, for financial reasons or the restructuring of academic units. If circumstances change, faculty members with notice contracts may be offered more permanent appointments. In this event, the year served on notice contract shall be treated as if it were included in the faculty member's original appointment.

3.7.2 Terminal Contracts

A terminal contract is a one-year contract that follows a negative decision, made at or following the mid-probationary review, on the retention of a tenure-track faculty member. A terminal contract is the last faculty contract a faculty member may receive at this University unless the decision to terminate is overturned.

3.7.3 Special Conditions Contracts

Under conditions that would otherwise lead the President to propose termination for cause of a faculty member with tenure, the President and the faculty member may agree to a contract containing special conditions. The terms of such a contract, including performance standards, dates of periodic review, review procedures, possible remedies in case standards are not met, etc., are subject to mutual agreement between the faculty member and the President.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977; August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

B4: Faculty Reviews

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

4.1 INTRODUCTION

(a) One of the most important responsibilities of tenured faculty and department chairs is their participation in the procedures for formal review of colleagues. It is a fundamental principle that, when a faculty member's academic performance and qualifications are reviewed, the process is to be conducted objectively by their peers and the faculty are guaranteed due process as set forth in this Policy. There are six types of review: (1) the annual review of probationary faculty, (2) the mid-probationary review, (3) tenure review, (4) the review for advancement in rank (promotion), (5) the annual review of tenured faculty (i.e., post-tenure review), and (6) the annual review of continuing non-tenure-track faculty (i.e., clinician educators and lecturers). Mid-probationary, tenure, and promotion reviews, in contrast to annual reviews, necessarily involve evaluation of performance at three levels: department, college/school, and the University (i.e., Offices of the Provost/VPHS).

(b) Tenure and promotion recommendations made by the department, through the department chair, will be given primary consideration in this procedure (see Introductory Note #2). These recommendations are reviewed by academic officers and forwarded with their recommendations to the Provost/VPHS who makes the decision on tenure and promotion. Ultimate decisions in matters of appointment and promotion in rank are made on the authority of the Board of Regents.

4.2 ANNUAL REVIEW OF PROBATIONARY FACULTY

4.2.1 Purpose

The purpose of the annual review is to provide the probationary faculty member written information about his or her performance in the department, identifying both strengths and weaknesses. The review entails cumulative evaluation of the faculty member's achievements and progress toward tenure.

4.2.2 Timetable

The annual review for each probationary faculty member must be initiated and completed by the department chair during the Spring semester of each academic year of probationary appointment. An annual review will not be conducted during the academic year designated for mid-probationary or tenure review. Faculty members whose appointments begin in the Spring semester will have their first annual reviews during the following Spring semester so that annual reviews of all faculty occur at the same time of year.

4.2.3 Procedures

(a) The annual review is conducted by the department chair, in consultation with at least the tenured members in the department and, where appropriate, with any other faculty who are well acquainted with

the probationary member's work.

(b) In preparation for the annual review, the faculty member shall assemble a file including:

- *curriculum vitae*
- classroom materials, teaching evaluations, and other materials reflecting on teaching performance
- copies of scholarly works completed or submitted during the previous year and other materials reflecting on scholarly work
- statement of self evaluation based upon goals set for the previous year
- statement setting goals for the coming year

(c) As part of the review, the chair shall review the faculty member's assembled file and obtain written evaluations of the member's performance from at least those tenured members of the department who are best acquainted with the probationary faculty member's work. Whether all tenured members of the department will be required to participate in the annual reviews and whether peer evaluations of teaching are to be included in the review shall be matters of consistent departmental policy and not decided on a case-by-case basis (see Sec. 4.4.8). If peer evaluations of teaching are to be included, the chair shall arrange for the faculty member's teaching to be observed. The evaluation of all components (teaching, scholarly work, service, and personal characteristics) shall be summarized by the chair in the written annual review provided to the probationary faculty member. If earlier reviews have identified specific deficiencies, special attention should be paid to the progress made toward remedying them. The chair shall discuss each annual review report with the probationary member before the end of the Spring semester. The probationary member shall acknowledge receipt of the report and may provide a written response. This report and any response shall be filed with the department and college/school.

4.2.4 Discontinuance of Probationary Appointment

Probationary faculty members serve on annual contracts. A decision as to whether the contract will be renewed is made as the result of a review of the faculty member's performance. In case of a recommendation of non-renewal made at a point other than at the mid-probationary or tenure review, the faculty member must be notified immediately in writing by the chair who shall include a statement of the reasons. This recommendation, and any response of the faculty member, shall be reviewed by the dean. The dean's recommendation is forwarded to the office of the Provost/VPHS and the final decision is made by the Provost/VPHS. The faculty member shall have 10 working days from receipt of the chair's recommendation and statement of reasons to respond for consideration by the dean. The faculty member shall also have 10 working days from receipt of the dean's recommendation to respond for consideration by the Provost/VPHS. The probationary faculty member whose appointment is to be discontinued is entitled to the notice periods and terminal contract requirement specified in Sec. 3.2 (c). (See Sec. 5.4 for termination of employment of a probationary faculty member during a contract year.)

4.2.5 Appeal to the Academic Freedom and Tenure Committee or President

The faculty member may appeal the final decision by the Provost/VPHS to the Academic Freedom and Tenure Committee on grounds that the decision to discontinue the probationary appointment involved academic freedom violations, improper considerations or prejudicial violation of Policy procedures (Sec. 6). The faculty member may appeal a negative decision to the President on any other grounds.

4.3 GENERAL SEQUENCE AND PROCEDURES FOR MID-PROBATIONARY, TENURE AND PROMOTION REVIEWS

The sequence and procedures for mid-probationary, tenure and promotion reviews are set forth below.

4.3.1 Departmental Review and Recommendations

(a) The department chair, in consultation with at least the tenured members of the department, conducts a formal review of the faculty member's achievements in teaching, scholarly work, service, and personal characteristics. The criteria are presented in this Policy and in any supplemental policies within academic units. This review shall take account of the annual reviews of the faculty member. Tenured members of the department are expected to submit written evaluations of the candidate and indicate either a positive or negative mid-probationary, tenure, and/or promotion recommendation.

(b) The chair shall prepare a report that is included in the member's dossier. The report shall summarize the faculty evaluations of the candidate, external letters as required, teaching evaluations and other documented evidence. Information acquired from interviews shall be summarized in writing and verified by the interviewee prior to inclusion in the dossier. The chair includes his or her personal observations and evaluation and, based upon documented information, the chair makes a positive or negative recommendation.

(c) The chair shall discuss the review and recommendation with the faculty member. Thereafter, the department chair shall forward the candidate's dossier, written documentation of the department's review, including copies of all evaluations received from faculty members, any external evaluations, and the chair's report and recommendation to the dean of the college/school. At the same time, the faculty member shall be advised in writing whether the recommendation is positive or negative. If the recommendation is negative, a copy of the chair's report, the internal peer reviews and external letters (all redacted as necessary to preserve confidentiality), if requested by the candidate, shall be furnished to the candidate.

4.3.2 Review by the Dean

The college dean is to review the candidate's dossier and the chair's recommendation and shall provide a written assessment and recommendation for promotion, continuation (mid-probationary review), or tenure and promotion. The dean shall normally abide by the chair's recommendation. The dean shall forward the assessment and recommendation together with the entire dossier to the office of the Provost/VPHS. If the dean's recommendation is negative, or conflicts with the chair's recommendation, a copy of the dean's letter (redacted as necessary to preserve confidentiality) shall be provided to the candidate and the department chair. In a case where the dean decides not to follow the chair's recommendation, the chair shall have 10 working days to present an appeal to the Associate Provost (for faculty in the Health Sciences Center, this does not apply [Sec. 4.3.4—4.3.6]).

4.3.3 Review by the Associate Provost

The associate provost for academic affairs reviews the candidate's dossier and the recommendations of the chair and the dean. The associate provost shall provide a written recommendation to the Provost. If the associate provost's recommendation is negative, a copy of the recommendation (redacted as necessary to preserve confidentiality) shall be concurrently provided to the faculty member, the dean, and the chair. (This step is omitted for faculty in the Health Sciences Center.)

4.3.4 Review and Decision by the Provost

(a) The Provost reviews the faculty member's dossier and the recommendations of the chair, dean, and associate provost. The final decision shall be made by the Provost. If the Provost considers not following a recommendation in which the associate provost, the dean and the chair have concurred (or if there is a conflict in the recommendations made by these officers), the Provost shall immediately, and in writing, inform the faculty member and the officers involved in the decision and include a written statement of reasons. The faculty member and the officers involved have 10 working days to present their views to the Provost before the Provost makes a final decision.

(b) The Provost provides written notification of the decision to the faculty member no later than June 30 of the review year, exercising the personnel authority of the Regents delegated by them for this purpose. In the case of mid-probationary and tenure reviews, if the decision by the Provost is negative, a terminal contract is issued for the following year. If a negative decision is not made by June 30, the faculty member is entitled to an additional terminal year contract.

4.3.5 Review and Decision by the Vice President for Health Sciences

The VPHS reviews faculty dossiers and the recommendations of the chair and dean for faculty in the Health Sciences Center. The VPHS makes the final decision. In all other aspects, the review is identical to the process described in Sec. 4.3.4 for the Provost.

4.3.6 Negative Recommendations

If at any level of review, the recommendation is negative, the faculty member shall be given a copy of the negative recommendation and may request a copy of all other reports, recommendations and internal peer reviews and external letters (all redacted as necessary to preserve confidentiality). The faculty member shall have 10 working days after receipt of such materials, if requested, to present his/her views to the next level of review before the next recommendation, or the final decision, is made. In addition, if the Provost/VPHS makes a negative decision, the faculty member may request reconsideration by the Provost/VPHS. Such request shall be made in writing by July 15. The Provost/VPHS shall respond within 10 working days of receiving the request.

4.3.7 Appeal to the Academic Freedom and Tenure Committee or President

The faculty member may appeal the final decision by the Provost/VPHS to the Academic Freedom and Tenure Committee on grounds that the mid-probationary, tenure, or promotion review involved academic freedom violations, improper considerations or prejudicial violation of the Policy procedures (Sec. 6). The faculty member may appeal a negative decision to the President on any other grounds.

4.4 GENERAL POLICIES RELATING TO FACULTY REVIEWS

The following general policies apply to mid-probationary, tenure, and promotion reviews, unless otherwise specified in this Policy.

4.4.1 Confidential Materials

Internal peer evaluations of a faculty member, student evaluations, and letters received from reviewers outside the University are added to the faculty member's dossier by the department chair, and they shall be kept confidential from the faculty member to the extent allowed by law and by University policy (see "Confidentiality of Faculty Records Policy" in the *Faculty Handbook*).

4.4.2 Evaluations by Untenured Faculty

At the discretion of the tenured faculty of the department, untenured faculty may participate in reviews. The chair's report shall distinguish between the evaluations and votes of the tenured faculty, on the one hand, and those of the untenured faculty, on the other. Untenured faculty members may decline to participate in the review without penalty.

4.4.3 Absent Faculty

Faculty absent from campus at the time of a mid-probationary, tenure, or promotion review of a departmental colleague shall be informed of the upcoming review by the department chair with sufficient time to participate if they so choose.

4.4.4 Other Sources of Relevant Information

Academic officers with responsibilities for the review of faculty members may consult any person or call upon their own personal knowledge of the candidate in formulating their recommendations or decisions. To the extent that they rely on information not already documented in the dossier, they shall so state in their written report and explain the nature and source of such information and obtain written confirmation of orally transmitted information for inclusion in the dossier. Sec. 4.5.4 also applies.

4.4.5 Faculty Advisory Committees

Academic officers with responsibilities for the review of faculty members are encouraged to appoint experienced faculty advisory committees. If advisory committees are used, they shall have access to the complete dossier of the faculty member. Advisory committees shall communicate with the candidate or chairs only through the academic officer whom they advise and shall not discuss the consideration outside committee meetings.

4.4.6 Statement of Reasons

All written recommendations shall include a statement of supporting reasons.

4.4.7 Directing Questions Arising During Review to Chair

Academic officers and advisory committees considering matters of promotion and tenure shall communicate with the chair if there are major faults or omissions in the dossier or if significant questions or possible misunderstandings arise. In such circumstances, the chair shall discuss substantive problems with the candidate and department faculty as appropriate.

4.4.8 Procedural Consistency

Where departments are given discretion to choose among alternative procedures in this Policy, such discretion shall be exercised as a matter of department policy and not on a case-by-case basis.

4.5 PREPARATION OF THE DOSSIER FOR MID-PROBATIONARY, TENURE, AND PROMOTION REVIEWS

4.5.1 Content

(a) The dossier is a collection of documents that summarize and evaluate a faculty member's accomplishments in teaching, scholarly work, and service and contain evidence of personal and professional effectiveness. It is the foundation for evaluation at each level of the review process. The

organization of the dossier shall be standardized within each unit, combining clarity, convenience, and effectiveness in a manner appropriate to the discipline. The faculty member shall provide the following elements:

1. statement by the faculty member of professional goals and progress toward achieving them,
2. complete and current *curriculum vitae*, and
3. systematic collection of professional materials documenting the faculty member's achievements in the evaluation categories of teaching; scholarly work; and service.

(b) Student teaching evaluations shall be included and organized to reflect the various types of courses or students taught. Peer evaluations of teaching shall also be included. The dossier shall include those books, offprints, manuscripts, research proposals, and papers presented at professional meetings that best represent scholarly contributions. Reviews of such materials, including reviews of juried creative works, may also be included. The faculty member shall provide a table of contents, which the chair signs to acknowledge that materials received from the faculty member are complete and appropriate.

4.5.2 External Letters

When external review letters are required (i.e., for tenure or promotion, or for mid-probationary review in some departments), the candidate shall suggest potential reviewers to the chair. The chair, in consultation with tenured faculty, shall identify additional reviewers. The chair shall select reputable scholars, researchers, or creative artists and critics who can evaluate the candidate's contributions to scholarship, research, or creative work. The materials supplied to external reviewers shall include written instructions and a curriculum vitae. Such external review letters shall be added to the dossier by the chair. External reviewers shall be advised that the University will endeavor to keep the reviewer's identity confidential, to the extent permitted by law.

4.5.3 Timetable

In the Spring semester before the faculty member is scheduled for mid-probationary, tenure or promotion review, the department chair shall meet with the faculty member to discuss the assembly of the dossier. Early in the Fall semester of the review year, the candidate shall submit the dossier to the chair. During the confidential evaluation process, peer evaluators within the University shall have access to the dossier and to the external reviews.

4.5.4 Adding Material to the Dossier

The substantive record for the faculty candidate is the material consolidated by the department chair in the dossier. As the review proceeds, the University officer at each level adds any written response received from the faculty candidate or officer(s) at lower level(s) to the dossier as well as his or her own recommendation. If any substantive material is introduced at a higher administrative review, the candidate, chair and dean (if appropriate) shall be furnished copies. If necessary to preserve confidentiality, material provided to the candidate shall be redacted and the candidate shall have 5 working days to submit written comments if desired.

4.6 SPECIFIC PROVISIONS FOR MID-PROBATIONARY REVIEW

4.6.1 Purpose and Standards

(a) The purpose of the mid-probationary review is to enable the department to evaluate progress towards

tenure, to inform the probationary faculty member of his or her strengths and weaknesses, and to decide whether or not to continue the faculty member's appointment. The review entails evaluation of the faculty member's achievements in the four categories of teaching, scholarly work, service, and personal characteristics, according to the standards specified in this Policy and the criteria of the academic unit.

(b) The mid-probationary review requires identification of the specific areas of strength and weakness demonstrated by the faculty member and the evidence supporting conclusions to that effect. The aim of the required identification of areas of strength and weakness is to give the faculty member a clear picture of the performance levels by which he or she is to be judged and offer the opportunity to correct any noted deficiencies prior to subsequent reviews. The existence of some identified deficiencies in this review are considered normal, as it is not anticipated that the probationary member will have fully attained the standards required for the award of tenure by the time of the mid-probationary review.

(c) For a positive mid-probationary review there should be demonstration of, or at least clear progress toward, the competence or effectiveness in all four evaluation categories expected of tenured faculty, as well as promise of excellence in either teaching or scholarly work. If the University concludes that insufficient progress towards tenure has been made and that deficiencies are unlikely to be corrected in the time remaining before the tenure decision, then a negative mid-probationary decision is both appropriate and necessary.

4.6.2 Timetable

This review shall occur at the approximate mid-point of the faculty member's probationary period at the University. The year of a probationary faculty member's mid-probationary review shall be specified in writing at the time of appointment to probationary status. If, as a result of a mid-probationary review, it is decided that a faculty member should not be continued, written notice shall be provided by June 30 and the faculty member shall be given a terminal contract for an additional year.

4.6.3 Procedures

The sequence and procedures for the mid-probationary review are as set forth in Sec. 4.3 above.

4.6.4 External Letters

If a department requires external letters of evaluation for mid-probationary reviews, this must be stated in a written departmental policy.

4.6.5 Fiscal and Programmatic Contingencies

(a) The mid-probationary review process may take into account the programmatic and fiscal needs of the department, the college/school, and the University. Should programmatic changes or fiscal emergency be the sole reason for a decision not to continue the appointment of a probationary faculty member, then the department, college/school, and the University shall explain in writing the exact nature of these circumstances.

(b) Should the concerned unit's circumstances require that a faculty member judged worthy of retention be released from service, the Provost/VPHS shall notify the Academic Freedom and Tenure Committee in

writing and explain the unit's or the administration's plans for the academic and fiscal disposition of the position held by the faculty member under review.

(c) A faculty member who is released from service because a position is being discontinued, shifted within a department or to another department or college/school is issued a notice contract for one additional year of employment.

4.7 SPECIFIC PROVISIONS FOR TENURE REVIEW

4.7.1 Purposes of the Tenure System

The academic freedom of teachers and scholars is the means by which society is protected from hindrances to the search for knowledge and from limits on the dissemination of knowledge. The system of tenure for faculty members is the preeminent means of fostering and protecting academic freedom of the faculty. The tenure system consists of rules and procedures that establish an essentially self-regulated body of scholars, researchers, and creative artists enjoying the continuity of existence and economic security within which academic freedom is both fostered and protected. The protection of academic freedom shall be extended to all members of the faculty during their terms of appointment. The tenured faculty of a university serve the institution by providing continuity to the university and to its mission of instruction, scholarly work, and service. The awarding of tenure carries both benefits and responsibilities to the individual so recognized. As the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors (AAUP) notes, "freedom and economic security, hence tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society." It is the responsibility of faculty members, supported by the tenure system, to use the opportunities thus provided for the advancement of the purposes of the University and of the community it serves. These purposes include teaching, scholarly work, and service.

4.7.2 Purpose of the Tenure Review and Standards for Tenure

The awarding of tenure is the most serious commitment the department, college/school, and University make to a faculty member. Tenure is a privilege, not a right, and is awarded only after the most serious deliberation and review. The tenure review consists of evaluation of the faculty member's teaching, scholarly work, service, and personal characteristics, according to the standards specified in this Policy and the criteria of the academic unit. For a positive tenure review, the faculty member shall have demonstrated competence or effectiveness in all four areas, and excellence in either teaching or scholarly work. Faculty in the School of Medicine are required to demonstrate excellence in two of the following categories of teaching, scholarly work, or service/administration as described in the Medical School tenure and promotion guidelines.

4.7.3 Timetable

A review and report on a candidate's acceptability for tenure is initiated by the department in the Fall semester of the final year of the faculty member's probationary period. The faculty member's contract identifies the year for tenure review. Notification of the tenure review decision by the Provost/VPHS shall be made no later than June 30 of that year.

4.7.4 Procedures

The sequence and procedures for the tenure review are as set forth in Sec. 4.3. The mid-probationary review report and annual reviews must be taken into consideration during this process.

4.7.5 External Letters

External letters of evaluation are required as part of tenure reviews. Procedures for obtaining external letters are provided above in Sec. 4.5.2.

4.8 SPECIFIC PROVISIONS FOR ADVANCEMENT IN RANK: PROMOTIONS

4.8.1 Purpose

(a) The promotion process is the mechanism by which the University promotes and recognizes the professional development of faculty members, and thereby maintains the quality of the University. A description of the faculty ranks is provided in this policy (Sec. 2) to set a framework for the promotion process. The promotion review consists of evaluation of the faculty member's teaching, scholarly work, service, and personal characteristics (Sec. 1), according to the standards specified in this Policy and the criteria of the academic unit, both as appropriate for the promotion level.

(b) Decisions to promote a faculty member are made after a thorough evaluation of his or her performance in all the areas of faculty professional activities and the corresponding categories of performance evaluation specified in this Handbook. The candidate's performance is judged by all recommending parties in the light of the categories and definitions set forth in this Policy, the assignments of the candidate, and any special conditions pertaining to the candidate's appointment.

4.8.2 Promotion to Associate Professor

(a) It is the policy of the University that tenure and promotion to the rank of associate professor will normally be granted together. A candidate for tenure who does not already hold the rank of associate professor shall simultaneously be considered for promotion to the associate professor rank. A favorable decision on promotion to associate professor rank shall normally be a basic prerequisite for the awarding of tenure. Requests for departures from this policy must be made prior to the initiation of the tenure or promotion review process with the concurrence of the department, the dean, and the Provost/VPHS.

(b) Timetable for promotion to associate professor: The anticipated length of service in the rank of assistant professor is six years, with review for promotion to the rank of associate professor occurring in the sixth year. The review process for advancement to associate professor is normally conducted at the same time as the review for tenure (i.e., Fall semester of the final academic year of the probationary period). Recommendations for promotion in less time are to be carefully weighed and justified. Notification of the outcome of the review shall be made during the Spring semester no later than June 30 of that year.

4.8.3 Promotion to Professor

(a) Qualifications for promotion to the rank of professor include attainment of high standards in teaching, scholarly work, and service to the University or profession. Promotion indicates that the faculty member is of comparable stature with others in his or her field at the same rank in comparable universities. Service in a given rank for any number of years is not in itself a sufficient reason for promotion to professor.

(b) Timetable for promotion to professor: The anticipated length of service in the rank of associate professor prior to consideration for promotion to the rank of professor is at least five years. Recommendations for promotion in less time must be carefully weighed and justified. The review for advancement in rank to that of professor is initiated during the Fall semester. Notification of the outcome of the review is made during the Spring no later than June 30 of that year.

4.8.4 Procedures for Advancement in Rank

(a) The sequence and procedures for the review of advancement in rank (promotion) are as set forth in Sec. 4.3, with the following additions:

1. The process begins in the Fall semester when the candidate requests consideration by the department chair. A dossier is presented by the candidate for consideration according to department policy. The candidate has the right to withdraw his or her dossier from consideration at any point in the review process.
2. The chair secures written evaluations from at least the full professors within the department and from distinguished persons in the field outside the department.
3. The chair discusses the outcome of the review with the faculty member. After this discussion, the faculty member may choose to withdraw his or her request. If not, the chair forwards the recommendation and member's dossier to the dean (Sec. 4.3.1).
4. The Provost/VPHS shall communicate in writing the final decision to the faculty member, the department chair and college dean. If promotion is awarded, it is effective immediately upon the faculty member's acceptance of the next contract.

4.9 POST-TENURE REVIEW

(Approved by the Faculty Senate, February 13, 1996, and May 6, 1997; approved by the Regents, April 11, 1996, and May 16, 1997, and included in the Policy on AF&T in the version approved by the Faculty on December 6, 1998 and by the Board of Regents on December 8, 1998.)

4.9.1 Introduction

The Post Tenure Review Policy ensures that all tenured faculty members will receive an annual review and that those with either exceptionally good performance or deficiency in one or more areas will be identified. Special achievement shall be rewarded in a manner determined by each college/school. For a faculty member who receives two successive annual reviews with identified uncorrected deficiencies, the Post-Tenure Review policy provides a mechanism to either (a) overturn the findings of deficiency in the annual reviews or (b) establish a remedial program for correcting the deficiencies.

4.9.2 General Principles

A tenured professor who performs well should be rewarded, and one who performs inadequately should seek or accept help and improve or be subject to dismissal. The purpose of UNM's post-tenure review is to determine levels of performance efficiently, equitably, and in conformity with tenure rights expressed in the Policy on Academic Freedom and Tenure and guaranteed by the Contract Clause of the U.S. Constitution.

4.9.3 Data Collection

Biographical updates, student evaluations of teaching (supplemented by periodic but not necessarily

annual peer evaluations of teaching), and (with necessary exceptions, as in the Medical School) evaluations for salary recommendations shall be required annually of all faculty, including tenured professors. Some departments and divisions may also wish to require information more detailed than in the current biographical update form. The biographical update shall include space for objectives for the coming year.

4.9.4 Performance Criteria

Deans shall require each department or division to file a statement of criteria and procedures for annual evaluation of the performance of tenured faculty members. The criteria and procedures shall be consistent with the Faculty Handbook, reflect the standards of excellence and appropriate balance of teaching, research, or other creative activity, and service prevailing in the discipline and department or division, and have the approval of the department or division faculty and the dean. At a minimum, the procedures shall include an annual written evaluation, as described below. Sec. 1 (of this Policy) describes good teaching and good research at some length, including the importance of one's original research in imparting new ideas in the classroom and inspiring students to engage in original research. Sec. 1 also stresses the need for service in the department, the University, and one's discipline, particularly by senior members of the faculty. (Reviews from outside the University, as suggested in Sec. 1, shall not normally be included in annual and more formal post-tenure reviews [Sec. 4.9.5 and 4.9.7].)

4.9.5 Annual Reviews

(a) Each department shall conduct an annual review of each tenured faculty member's teaching, scholarly work, and service. This review, which may be combined with salary review and may be performed by the chair or the chair and a committee of tenured faculty, shall be in writing (normally 50 to 100 words for most faculty, more for those with special achievements or identified deficiencies) and contain a description and critique of performance during the past year and performance goals for the coming year. It shall be discussed with the faculty member if there are deficiencies. Two copies of the annual review, signed by the chair, shall be given to the faculty member, one to be signed as acknowledgment of receipt and returned to the chair. A faculty member who disagrees with the review may add a comment or rebuttal. The review and any such statement shall be placed in the faculty member's personnel file. The faculty member, in addition, may appeal the chair's evaluation to the dean. At any point in these or subsequent proceedings, the faculty member shall have access to aggregate information concerning the teaching evaluations, publications, grants, etc., of the department as a whole for purposes of comparison. Aggregate information shall be determined by each department and will contain, at a minimum, summary data of faculty activities in the areas of teaching, scholarly work and service. In the dissemination of aggregate data, confidentiality shall be protected to the extent provided by law.

(b) Administrators who hold tenured faculty rank shall also be reviewed on the performance of their faculty duties (teaching, research, and service). The manner in which the chair and other administrators are reviewed shall be decided by an agreement between the dean and tenured faculty in the unit, in a manner consistent with the intent of this document. Administrators who have no assigned faculty duties within the department will not be reviewed under this policy.

4.9.6 Reports to Deans

Each department shall annually provide the dean with summaries of the reviews of all faculty members (normally no more than 50 words for most faculty, more for those with special achievements or identified deficiencies) and the full text of any comment or rebuttal. The summaries shall include the special achievements or identified deficiencies of individual faculty members. Merit, as determined in annual salary reviews, shall be the primary criterion for raises. In the case of special achievement, the summary shall state the rewards to be provided. The dean or a college committee shall participate in the merit award for special achievement. In the case of deficiency, the summary shall suggest remedies, and the chair and the dean shall monitor improvements. If the dean disagrees with the chair's evaluation, he or she shall so inform the chair and the faculty member.

4.9.7 More Complete Reviews

If in the judgment of the chair the annual review for any faculty members shows a serious deficiency that has continued for two consecutive years, the chair shall inform the faculty member. One of two possible courses of action shall follow:

1. The faculty member may request that the chair submit his or her findings to the other tenured faculty members for consideration in a more complete review during the following year, or
2. If the faculty member does not request the review, the chair may initiate such a review with the concurrence of a majority of the tenured faculty in the department.

The more complete review shall be similar to the mid-probationary review described in the Faculty Handbook, with the aim of identifying strengths and weaknesses. This review shall be undertaken by the chair with a committee of at least three tenured faculty members chosen by the tenured faculty. If they find that the faculty member's performance is not seriously deficient, the member shall be so informed and a statement of the decision placed in the file. If serious deficiency is found, a specific remedial program shall be developed in consultation with the faculty member, including procedures, criteria for evaluating progress, and a reasonable timetable. The results of the program shall be reported by the chair to the dean. If the dean concludes, after consulting the college promotion and tenure committee, or other advisory committee, if any, that serious deficiencies persist, he or she shall so inform the Provost/VPHS.

4.9.8 Enhancement Programs

Whether or not a tenured faculty member accepts a recommendation to participate in a teaching or scholarly work enhancement program, and whether or not the member performs well in the program, he or she shall be judged, after a reasonable period of time, on subsequent classroom and scholarly work performance.

4.9.9 Individual Request for Review

Any faculty member who feels that two or more consecutive annual reviews have inaccurately conveyed his or her professional accomplishments or have contained other substantial deficiencies shall have the option of initiating the more complete review described above.

4.9.10 Frequency of Review

The more complete review shall not be initiated for any faculty member more frequently than once every five years.

4.9.11 Review by the Committee on Academic Freedom and Tenure

If a tenured faculty member's professional deficiencies are considered by the Provost/VPHS to be very serious and to have been uncorrected at the conclusion of the agreed time period, and, further, if there is evidence that the faculty member's performance has deteriorated since the award of tenure and that his or her academic performance is now typically unsatisfactory, the President of the University shall initiate the process specified in Sec. 6 for removing a faculty member for cause under the procedures and standards set forth in that section, including "If the faculty member's academic competence is questioned, the proof before the Committee shall be insufficient unless it includes testimony of teachers and other scholars, either from the University or from other institutions, and it shows that the faculty member's academic performance (1) has deteriorated since receipt of tenure and (2) is now typically unsatisfactory" (Sec. 6.4.3 (k)), and "[T]he burden of proof resides with the President and University administration" Sec. 6.4.3 (a)).

4.9.12 Limitation on Applicability

This policy does not apply to proposed terminations of tenured faculty for alleged misconduct or violation of University policy or law, which is provided for in Sec. 6.

4.10 ANNUAL REVIEW OF CONTINUING NON-TENURE-TRACK FACULTY

Continuing non-tenure-track faculty (lecturers and clinician educators) shall be reviewed annually following procedures adopted by each department.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977; August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

B5: Separation from the University

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

SECTION 5: SEPARATION FROM THE UNIVERSITY

5.1 INTRODUCTION

This section refers to the ways in which the professional relationship between an individual faculty member and the institution may be dissolved or suspended. The dissolution of this professional relationship may be initiated by the faculty member or by the institution

5.2 FACULTY-INITIATED SEPARATION

5.2.1 Resignation

(a) Faculty members may terminate their appointment effective at the end of an academic year, provided that they give notice in writing at the earliest possible opportunity, but normally not later than May 15. Conditions for the resignation of clinical faculty in the School of Medicine are defined in the School of Medicine policies. Faculty members may properly request a waiver of this requirement of notice in case of hardship or in a situation where they would otherwise be denied substantial professional advancement or other opportunity.

(b) A faculty member may properly give notice after May 15 but within 10 days after receiving the contract (1) if it is not in the member's hands in time to meet the normal time requirements and (2) if the member is not satisfied with the terms and conditions of the offered contract.

5.2.2 Retirement

The date of retirement shall normally be the end of the contract year or the end of a semester, and shall be negotiated between the faculty member and the administrative unit. Appropriate State statutes and State and University regulations and policies regarding retirement shall be consulted.

5.3 UNIVERSITY-INITIATED TERMINATION OF SERVICES OF FACULTY MEMBERS WITH TENURE

5.3.1 General

The services of a faculty member having tenure shall be terminated only for one of the following reasons: (1) adequate cause, (2) bona fide financial exigencies of the University, (3) bona fide discontinuance of a program or department of instruction, or (4) health reasons. Termination decisions shall not interfere with any retirement benefits for which a faculty member may be eligible. No faculty member shall be retired involuntarily unless such action is authorized by statute or by this Policy. The process for dismissal of a tenured faculty member is described in Sec. 6.

5.3.2 Adequate Cause

Adequate cause for termination of a faculty member with tenure consists of academic incompetence, neglect of duty, serious violation of University policy, commission of a serious crime, loss of medical licensure or clinical privileges, or other serious professional or ethical deficiencies. Adequate cause may be determined in several ways, including admission, conviction by a court of law, or findings of a hearing before a relevant University faculty-review committee such as the Academic Freedom and Tenure Committee (Sec. 6.4.3).

5.3.3 Financial Exigency

Termination of a tenured appointment may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, namely, an imminent financial crisis that threatens the survival of the institution as a whole and that can not be alleviated by less drastic means. The following standards and procedures will apply:

- (a) The exact nature of the need for termination must be substantiated in writing by the department, the college, and the Provost.
- (b) The Provost must explain the action with regard to this particular position to the Committee on Academic Freedom and Tenure and show that the plans for the academic and fiscal disposition of the position are reasonable and that all feasible alternatives to termination of the appointment have been pursued. The burden shall rest on the administration to prove the existence and extent of the condition of financial exigency.
- (c) Should the Provost decide that the University's financial crisis requires that the faculty position in question be eliminated, shifted within the department, or shifted to another department or college, the faculty member, department chair, and college/ school dean shall be so notified as early as possible, but no later than May 1. The faculty member will be issued a notice contract for one additional year of employment.
- (d) If a tenured faculty member is terminated because of a bona fide financial exigency of the University, the released faculty member's place will not be filled by a replacement for a period of two years, unless the released faculty member has declined an offer of reappointment with at least the previous rank and salary.

5.3.4 Program Discontinuance

Termination of a tenured appointment may occur as a result of bona fide formal discontinuance of a program or department of instruction. The following standards and procedures will apply:

- (a) The formal decision to discontinue a program or department of instruction will be based essentially upon educational considerations, as determined by the Board of Regents after consideration by and recommendation from the Faculty Senate.
- (b) Before the administration issues notice to a tenured faculty member of its intention to terminate an appointment because of formal discontinuance of a program or department of instruction, the University

will make every effort to place the faculty member in another suitable position. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be offered. If no position is available within the University, with or without retraining, the faculty member's appointment then may be terminated, but only with provision for severance salary equitably adjusted to the faculty member's length of past and potential service.

(c) A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has a right to a full hearing before the Academic Freedom and Tenure Committee. The issues in such a hearing may include the University's alleged failure to satisfy any of the conditions specified in this section of the Handbook. In such a hearing, a determination by the Board of Regents (after recommendation by the Faculty Senate) that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof on other issues will rest with the administration.

(d) Should a program or department of instruction be discontinued and, within three years, should the program be restored or the position be reestablished elsewhere in the University, the faculty member must be given the opportunity to return to the position with at least the previous rank and salary.

5.3.5 Health Reasons

(a) An appointment with tenure may be terminated for health reasons, following the procedures of this section, based upon clear and convincing evidence that the faculty member cannot continue satisfactorily to perform his or her normal professional duties, that such condition is likely to be permanent, and that no reasonable accommodation as required by the Americans with Disabilities Act is feasible. Extended sick leave or leave without pay is appropriate when a serious health condition requires absence from faculty duties, but the condition is not expected to be permanent.

(b) The decision to terminate the employment of a faculty member for health reasons shall be reached only after there has been appropriate consultation with at least the other tenured members of the department, the chair, the dean, and the Provost/VPHS. The faculty member, or his or her representative, shall be informed in writing by the Provost/VPHS of the basis of the proposed action and be given an opportunity to present the faculty member's position to the Provost prior to the Provost making a recommendation to the President. If the President concludes that the faculty member cannot continue satisfactorily to perform his or her normal professional duties but the faculty member does not agree, the President shall initiate proceedings before the Committee on Academic Freedom and Tenure to terminate the employment of the faculty member pursuant to the procedures of this Policy dealing with dismissal (Sec. 6.4.3).

5.4 UNIVERSITY-INITIATED TERMINATION OF CONTRACT OF ANON-TENURED FACULTY MEMBER

(a) The University has the discretion whether or not to renew the annual contract of probationary or non-tenure-track faculty members (for probationary faculty-Sec. 3.2(c) for notice periods and Sec. 4.2.4, 4.2.5, and 6.4.1 for rights of appeal; for continuing non-tenure-track faculty-Sec. 3.4 for notice periods). For Faculty members on two- or three-year term appointments, the University's discretionary renewal or non-renewal may be exercised only during the final year of the appointment; the notice periods specified above apply to the final year of the appointment. For non-tenured faculty members with two or three year term

appointments, these term appointments may be terminated early, on the expiration date of an annual contract, following the procedures described in Sec. 5. 3.

(b) Under the extraordinary circumstances and with proof of adequate cause as outlined in Sec. 5.3.2, a non-tenured faculty member's annual contract may be terminated before its expiration and/or without regard for the notice periods or terminal contract requirements set forth in this Policy. A decision to terminate the contract of a non-tenured faculty member under these circumstances shall be made by the Provost/ VPHS after recommendations by the chair and the dean. At each administrative level, the faculty member shall be fully informed in writing of the reasons proposed for such termination and shall be given an adequate opportunity to respond in writing and/or orally to the Provost/VPHS prior to the final decision. The faculty member shall have the right to appeal a termination decision by the Provost/VPHS to the Academic Freedom and Tenure Committee on grounds within the Committee's jurisdiction (Sec. 6.2); however, such appeal shall not postpone the date of termination.

5.5 SUSPENSION

Suspension is an emergency, short-term condition that can be invoked by the dean, Provost/VPHS, or President. The faculty member suspended must be named in the suspension order, the terms of which may vary from a directive not to meet classes to a legal exclusion from campus. An emergency suspension order is justified only as an effort to forestall imminent harm to the faculty member, to others, or to University property. As an emergency measure, it is intended to serve only until more formal action may be taken to resolve the issue at hand. Unless prohibited by law, suspension is always with pay, unless suspension is imposed as a disciplinary measure after a full opportunity for hearing and review, in which case the suspension may be with or without pay.

5.6 DISMISSAL OR NON-REAPPOINTMENT OF GRADUATE, TEACHING, RESEARCH, AND SPECIAL ASSISTANTS

(a) No graduate, teaching, research, or special assistant has a right to reappointment or to continuance in service beyond the contract period. However, assistants have the right to be secure from arbitrary or capricious dismissal. If an assistant is not satisfactorily performing assigned duties, the supervisor shall so inform the assistant and point out the unsatisfactory aspects of the work and how these should be corrected. If dismissal is contemplated after such warning has been judged ineffective, the assistant shall be given a written statement of the reasons for this action and have an opportunity to respond to the supervisor prior to the final decision. The assistant may be suspended with pay by the dean of the college/school if warranted, prior to the final decision. The assistant may appeal dismissal to any or all of the following: the department chair, the dean of the college/school, or the Dean of Graduate Studies.

(b) If an assistant who is dismissed or not reappointed alleges that the decision violates academic freedom or Faculty Handbook procedures, or involves improper considerations, the assistant may appeal to the Academic Freedom and Tenure Committee pursuant to this Policy (Sec. 6.2), after completing the process of administrative appeal.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977;

August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

B6: Academic Freedom and Tenure Committee

Policy

(*Approved by Regents December 8, 1998)

(**Approved by Faculty December 7, 1998)

SECTION 6: ACADEMIC FREEDOM AND TENURE COMMITTEE

6.1 COMPOSITION, ELECTION, DUTIES, AND SUPPORT OF COMMITTEE

The faculty Academic Freedom and Tenure Committee (the Committee) shall consist of 13 members, all of whom shall be tenured members of the voting faculty. For the purpose of this Section, members of the voting faculty shall exclude departmental chairs and other academic administrators above the rank of chair. The following shall apply:

- Not more than one member of any department or equivalent unit shall serve as a member of the Committee at the same time.
- The Committee may appoint its own counsel. The University shall bear the cost of the services of such counsel.
- A quorum shall consist of seven (7) members.
- The office of the Secretary of the University shall provide clerical and administrative support for the Committee, including facilitating the communication of the Committee with members of the faculty, the administration and the Board of Regents and others, and serving as a repository of information and records relevant to the Committee.

6.1.1 Nominations

Nominations of at least 14 persons shall be made by mail addressed to the University Secretary.

6.1.2 Election

Election shall be by mail ballot. Ballots, accompanied by biographical sketches of the nominees shall be distributed by the Secretary to all eligible members of the voting faculty. Eligible faculty members may vote for a maximum of six (6) candidates in even-numbered years and seven (7) in odd-numbered years. The six nominees in even-numbered years and the seven nominees in odd-numbered years who receive the most votes shall become members of the committee for two-year terms commencing at the start of the academic year following election. The remaining nominees shall be called on to serve, in order of the votes they received, as replacements to complete the terms of any members who resign from the Committee after the election.

6.1.3 Term

The term of service shall be two years. Committee members may be elected to a second two-year term. At least one year must pass before a Committee member who has served two consecutive two-year terms is again eligible to serve.

6.1.4 Duties

The Committee shall (1) discharge the functions assigned to it as defined herein, and (2) from time to time review this statement of policy and recommend appropriate revisions.

6.1.5 Effective Date and Revision of Policy on Academic Freedom and Tenure

This policy and any subsequent revision thereof shall become effective immediately after approval by the University faculty and approval by the Regents and shall supersede all previous action or statements of policy relative to academic freedom and tenure, and faculty appointment and promotion, except that the mid-probationary standards established in Sec. 4.6.1(c) shall apply only to faculty hired after the effective date of this policy and that the procedures and standards for handling complaints and appeals set forth in Sec. 6 shall apply only to complaints filed with the Committee after the effective date of this policy.

6.2 MATTERS THAT MAY BE APPEALED OR REFERRED TO THE COMMITTEE

6.2.1 General

(a) The Academic Freedom and Tenure Committee is responsible for reviewing significant decisions affecting faculty tenure, promotion, sabbatical leave and employment, and determining if any of the following influenced the decision-making process:

1. violation of academic freedom,
2. improper consideration in which a decision on substantive issues was not based upon impartial professional academic judgment and resulted in prejudice to the faculty member, or
3. procedural violations of Faculty Handbook policies that resulted in prejudice to the faculty member.

(b) Academic freedom is defined in the 1940 Statement of Principles adopted by the American Association of University Professors and is the right of all members of the faculty and graduate students employed in teaching and research positions.

(c) In reviewing allegations, the Committee shall not reverse or modify the decision of an appropriate University officer or faculty body solely because it disagrees with their academic judgment. The Committee may reverse or modify a decision only if the decision violated the faculty member's academic freedom or was based upon improper considerations. The Committee may judge a matter to involve procedural violations and remand the matter to the appropriate administrative officer with remedies (Sec. 6.6 (e)).

(d) If a faculty member wishes to appeal on grounds not within the jurisdiction of the Committee, he or she may appeal a decision by the Provost/VPHS to the President. Matters that can be appealed or referred to the Committee are described in Sec. 6.2.

6.2.2 Matters Involving Termination of Employment

(a) Denial of Tenure

If the Provost/VPHS denies tenure to a faculty member and that faculty member believes that infringement of academic freedom, improper considerations, or prejudicial violation of the procedures specified in this Policy occurred, the faculty member may appeal the decision to the Committee. If the faculty member bases an appeal on issues outside the jurisdiction of the Committee, he or she may present the appeal to

the President.

(b) Dismissal of Tenured Faculty Member

1. If, after all reasonable efforts to resolve disputes and correct problems have failed, the University intends to proceed with terminating the services of a tenured faculty member who does not accept the terms of the action, the President of the University shall file a complaint with the Committee as provided herein. The burden of proof in such cases shall be on the President.

1. In cases in which grounds for termination of a tenured faculty member are conviction or admission of a serious crime the President may terminate the faculty member's services. If the faculty member contends that the violation does not constitute adequate cause for revocation of tenure, the faculty member may appeal the President's termination decision to the Committee on that ground. Tenured clinical faculty whose services are terminated because of loss of medical licensure or hospital privileges may appeal such decision to the Board of Regents rather than through the Committee.

(c) Dismissal or Non-Renewal of a Non-Tenured Faculty Member

If the annual contract of a probationary faculty member is not renewed by the Provost/VPHS, or a faculty member receives a negative mid-probationary review, or a probationary or other non-tenured faculty member is dismissed during the term of his or her contract and if the faculty member believes that violation of academic freedom, improper considerations, or prejudicial violations of the procedures specified in this Policy occurred, the faculty member may appeal the action to the Committee.

(d) Involuntary Retirement

If a faculty member has been involuntarily retired and believes that the action is associated with violation of academic freedom, improper considerations, or prejudicial violation of the procedures specified in this Policy, the faculty member may appeal the decision to the Committee. (See Sec. 5.3.5 on termination for health reasons.)

(e) Dismissal of Student Assistants

If a graduate, teaching, research or project assistant is dismissed and the student assistant believes that violation of academic freedom, improper considerations or prejudicial violation of the procedures specified in this Faculty Handbook are involved in the dismissal, he or she may appeal the dismissal to the Academic Freedom and Tenure Committee. In this context, student assistants shall be considered faculty.

6.2.3 Matters Not Involving Termination of Employment

(a) Denial of Promotion

If the Provost/VPHS makes a negative decision on the granting of promotion to a faculty member and the faculty member believes that violation of academic freedom, improper considerations or prejudicial violation of University procedures are involved in that decision, the faculty member may appeal the decision to the Committee.

(b) Denial of Sabbatical Leave

If a faculty member has been denied a sabbatical leave and that faculty member believes that violation of academic freedom, improper considerations or prejudicial violation of the procedures specified in this Policy are involved in that decision, the faculty member may appeal the decision to the Committee.

(c) Report of Violation of Academic Freedom or Faculty Handbook Procedure

Anyone discovering what he or she believes to be a violation of academic freedom anywhere within the University or of the procedures specified in this Policy, may properly bring the matter to the attention of any member of the Committee. A current roster of the Committee is maintained by the University Secretary.

6.2.4 Use of Advisory Committees or Boards

(a) Report of Unethical Behavior by a Faculty Member

If any matters in Sec. 6.2 involve claims of unethical behavior by a faculty member, the case may be referred initially by the AF&T Committee to the Faculty Ethics and Advisory Committee for review and recommendation (Appendix VIII). The AF&T Committee will accept the report from the Faculty Ethics and Advisory Committee and apply the recommendations in a manner appropriate to the case before the AF&T Committee.

(b) Discrimination Claims Involving Faculty

If any matters in Sec. 6.2 involve claims of unlawful discrimination by or against a faculty member, the case may be initially reviewed and investigated by the University Office of Equal Opportunity Programs (OEO). This process shall follow established University procedures and include consultation by the director of OEO with the chair of the Committee on Academic Freedom and Tenure or a designee. The investigation by the OEO shall not exceed three (3) months unless there are extenuating circumstances. After conclusion of the OEO investigation, the Committee, at its discretion, may consider the evidence obtained by and the determination of the OEO investigation in connection with the issues before it.

6.3 COMPLAINT

6.3.1 General

(a) The involvement of the Committee shall be initiated by a written complaint. The complaint shall include the basis of the complaint, the underlying facts, any supporting documentation, the names, and telephone numbers of any relevant contact people, and the desired remedy.

(b) In the case of proposed dismissal of a faculty member with tenure, the President files a complaint with the Committee and sends a copy of the complaint to the faculty member.

(c) When a faculty member initiates a complaint (i.e., acts as the complainant), a copy of the complaint shall be forwarded by the Committee to the person(s) whose action is questioned in the complaint. The individual(s) against whom allegations are made shall be the respondent.

6.3.2 Preliminary Review

(a) Upon receipt of a complaint filed by a faculty member, the chair of the Committee shall appoint a subcommittee of two Committee members to investigate the allegations of the complaint, obtain a written

response from the respondent, interview individuals with relevant information, and advise the chair and Committee on the matter. Based upon acquired information from the subcommittee, the Committee shall determine whether a hearing should be held. Every effort shall be made to make this determination within 30 days of appointment of the subcommittee. A faculty member shall be entitled to a formal resolution process if the Committee determines that sufficient grounds may exist to support allegations of violations concerning academic freedom, improper considerations, or substantial procedural violations of the Faculty Handbook. The Committee shall inform the complainant and respondent in writing of the issues warranting proceeding with a formal resolution process. The resolution process may involve mediation, arbitration, or a formal hearing process. If the Committee proceeds with a formal hearing, subcommittee members normally shall not serve as members of the Hearing Panel.

(b) If the Committee determines that the complaint contains allegations that have not been considered previously by the Provost/VPHS, the Committee shall refer the case to the Provost/VPHS for discretionary review before proceeding with any formal resolution process. The Provost/VPHS shall complete any such review within 15 working days of the referral. If the Provost/VPHS decides not to review the case, or if on receipt of the decision of the Provost/VPHS the complainant still wishes to pursue the complaint with the Committee, the Committee may proceed with a formal resolution process.

(c) There will be no preliminary review of cases filed by the President. A formal hearing will be held upon receipt of a complaint from the President.

6.3.3 Alternative Resolution Processes

(a) The Committee may require that the complainant and the respondent(s) enter into mediation or a non-binding arbitration process in an attempt to resolve the dispute. The mediation or non-binding arbitration proceedings shall remain confidential unless all parties involved in the complaint agree to waive the confidentiality of the proceedings in whole or part. If this process does not result in the resolution of the complaint, the Committee may again be petitioned to review the case for the appropriateness of a hearing. The timetable for consideration of a hearing, as set forth in the hearing schedules, will then begin.

(b) In consultation with the Committee, the parties may agree to submit resolution of their dispute to final binding arbitration in lieu of a hearing before the Committee. The binding arbitration procedures will be set up pursuant to agreement of the parties.

(c) The University will assume the cost for mediation and/or arbitration.

6.4 TYPES OF HEARINGS AND NORMAL TIME SCHEDULES

All parties shall make every effort to adhere to the following schedule(s) in order to expedite the review and hearing process. In extraordinary circumstances, the Committee may accept complaints that are at variance with the established schedules. In such proceedings, the schedule of events shall approximate the established time increments as described below.

6.4.1 Denial of Tenure or Non-renewal of Probationary Appointment

(a) A probationary faculty member who is denied tenure, who receives a negative mid-probationary review,

or whose annual contract is not renewed for reasons other than financial exigency and who has exhausted the appeal process through the chair, dean and Provost/VPHS has the right to file a complaint with the Committee by Sept. 1 of the terminal contract year.

(b) The described time schedule (Table 6.4.1) will also apply to faculty members who are denied promotion and have appealed the decision through the chair, dean, and Provost/VPHS.

Table 6.4.1. Schedule-A for a Hearing Based on a Denial of Tenure or Non-Renewal of Probationary Appointment.

| ACTION | DUE DATE / WORKING DAYS |
|--|-------------------------|
| Notification letter is sent from the Provost to the faculty member.+ | June 30* |
| Faculty member sends request for reconsideration of the decision to Provost. | July 15 |
| Provost responds to the request for reconsideration. | Aug. 1 |
| Faculty member requests a hearing by the Committee. | Sept. 1* |
| Investigatory subcommittee is appointed by the Committee | Sept. 15 |
| Requested additional documentation is sent to the Committee. | 5 days after request |
| Respondent replies to the complaint. | 10 days after request |
| Investigatory subcommittee reports its findings & makes recommendation to Committee. | Oct. 15 |
| Case referred, if necessary, to Provost/VPHS for discretionary review and response received from Provost/VPHS. | 15 days after referral |
| A Hearing Panel of the Committee, if necessary, is appointed. | Nov. 15* |
| The hearing is completed by the Committee Hearing Panel. | Feb. 1 |
| The Committee transmits its decision to the Provost. | Mar. 15* |
| Decision is implemented or appealed. | Apr. 15* |

* Final date for indicated action to have been completed. Dates falling on weekends are extended to the next working day; + Also applies to matters involving the denial of promotion.

(c) By Sept. 15, the chair shall appoint an investigatory subcommittee of two Committee members. The subcommittee shall make every effort to complete the preliminary review within 20 working days, which includes the acquisition of requested information and receipt of the respondent's written reply to the complaint. The subcommittee shall report to the full Committee, and shall recommend whether a hearing should be held.

(d) If the Committee determines that a hearing will occur, a five-member hearing panel shall be appointed by Nov. 1. By no later than Nov. 15, the chair of the panel shall contact all persons involved and set the earliest possible hearing date. All hearings shall be completed by Feb. 1.

(e) The hearing panel shall present its findings to the Committee within 15 working days of receipt of the hearing transcript. The Committee shall review and consider the findings of the hearing, and make a decision that shall be transmitted to the Provost/VPHS on or before Mar. 15.

(f) The faculty member shall have 20 working days from receipt of the decision in which to appeal the decision. Similarly, the Provost/VPHS shall have 20 working days from receipt of the decision in which to appeal the decision or to implement it if it is not appealed. Appeals shall follow the procedures specified in Sec. 6.7 and 6.8.

6.4.2 Other Matters

(a) Allegations of violation of academic freedom, improper considerations, or prejudicial violation of Faculty Handbook policies, outside the context of matters addressed in Sec. 6.4.1 or 6.4.3, shall follow the procedures set forth in this section. The matter should be brought to the Committee within 90 days of the date when the faculty member knew or reasonably should have known about the violation (Table 6.4.2).

Table 6.4.2. Schedule-B for a Hearing Pertaining to Other Matters.

| ACTION | WORKING DAYS AFTER PRIOR ACTION |
|--|--|
| There is an alleged violation of a faculty member's academic freedom or of Faculty Handbook policies.* | |
| Faculty member files a complaint with the Committee. | Within 90 days of knowledge of violation |
| Investigatory subcommittee is appointed by the Committee. | 10 days |
| Faculty member sends any additional documentation to the Committee. | 5 days after request |
| Respondent replies to the complaint. | 10 days after request |

| | |
|--|------------------------|
| Preliminary investigation is completed. | 20 days |
| Case referred, if necessary, to Provost/VPHS for discretionary review and response received from Provost/VPHS. | 15 days after referral |
| Hearing Panel, if necessary, is appointed by the Committee. | 5 days after decision |
| Committee hearing is completed. | Earliest possible date |
| Transcript of the hearing is received by the Committee. | |
| Hearing Panel presents its findings to the Committee. | 15 days |
| Committee transmits its decision to the Provost. | 20 days |
| Decision is implemented or appealed. | 20 days |

* Matters involving denial of sabbatical leave, dismissal of student assistants, or matters not included in Schedule-A or Schedule-C shall follow this time schedule.

(b) The Committee Chair will appoint an investigatory subcommittee of two Committee members within 10 working days of the receipt of the complaint. The subcommittee shall make every effort to complete the preliminary review within 20 working days, which includes the acquisition of requested information and receipt of the respondent's written reply to the complaint. The subcommittee shall report its findings to the full Committee and make a recommendation as to whether a hearing is appropriate.

(c) If the Committee decides that a hearing is appropriate, the Committee chair shall appoint a five-member hearing panel within five working days of completion of the preliminary investigation. The chair of the hearing panel will contact all persons involved and set the earliest possible hearing date.

(d) The hearing panel shall present its findings to the Committee within 15 working days of receipt of the hearing transcript. The Committee shall transmit its decision to the Provost/VPHS within 20 working days of receipt of the panel's report.

(e) The faculty member shall have 20 working days from receipt of the decision in which to appeal the decision. Similarly, the Provost/VPHS shall have 20 working days from receipt of the decision in which to appeal the decision or to implement it if it is not appealed. Appeals shall follow the procedures specified in Sec. 6.7 and 6.8.

6.4.3 Dismissal of Tenured Faculty Member

(a) Reasons for termination of employment for faculty members with tenure are described in Sec. 5.3. In each case, the burden of proof resides with the President and University administration (Table 6.4.3).

Table 6.4.3. Schedule-C for Dismissal of a Tenured Faculty Member.

| | |
|--|--|
| | |
|--|--|

| ACTION | WORKING DAYS AFTER PRIOR ACTION |
|---|--|
| President files a complaint with the Committee. | |
| Committee requests a response from the faculty member. | |
| Faculty member sends a response to the Committee. | 10 days after request |
| Hearing Panel is appointed by the Committee. | |
| Hearing is scheduled to begin. | 20 days |
| Hearing is completed. | 20 days |
| Transcript of the hearing is received by the Committee. | |
| Hearing Panel presents its findings to the Committee. | 15 days |
| Committee transmits its decision to President & faculty member. | 20 days |
| President implements the Committee's decision or appeals it to Regents. | 20 days |

(b) No termination proceeding based on academic incompetence or neglect of duty shall be instituted against a faculty member with tenure unless the faculty member has been informed in writing of the alleged shortcomings and has been given a reasonable period of time in which to remedy them (Sec. 4.9).

(c) When reasons arise to question the fitness of a tenured faculty member, the matter first shall be discussed between the department chair and the faculty member as described for the post-tenure review process (Sec. 4.9). If the matter is not resolved at that level, the complaint may be directed to the next direct authority. If a resolution is still not effected, the issue shall proceed through normal University channels up to and including the President of the University. At every stage, the appropriate University officer shall discuss the matter in a personal conference with the faculty member involved, and notify the faculty member in writing of any proposed action. The matter may be concluded at any point in this process by mutual consent.

(d) If the matter is not concluded by agreement after the preliminary proceedings described above, and the President still decides to terminate the faculty member's services, the President shall file a complaint with the Committee and send a copy of the complaint to the faculty member. The procedures established in this

Policy for hearings by the Committee shall be followed.

(e) In addition to materials outlined in Sec. 6.3.1, the complaint should contain:

1. A statement, with reasonable particularity, giving the grounds for the dismissal.
2. A statement that the Committee will conduct a hearing on the charges.
3. A statement referring the faculty member to the pertinent sections of the Faculty Handbook governing the procedural and substantive rights of faculty.

(f) The Chair of the Committee will request from the faculty member a written response to the charges. The faculty member shall submit the response to the chair of the Committee and to the President within 10 working days after receiving the request.

(g) If the faculty member does not submit a written response to the charges, the Committee shall consider whether the stated grounds constitute adequate cause, and it may conclude, without further inquiry, that the dismissal would be proper. At its discretion, however, the Committee may investigate the truth of the charges and request that the President provide supporting evidence. Thirty (30) working days following the faculty member's failure to respond, the Committee shall forward its decision, with the reasons stated, to the President and to the faculty member.

(h) If the faculty member submits a written response to the charges, the hearing procedures set forth shall be followed. References to the complainant shall refer to the President and University administration, and the references to the respondent shall refer to the faculty member. Therefore, the President and administration have the burden of proving their case (Sec. 6.5.1 (c)).

(i) Within 5 working days after receiving the faculty member's written response, the chair of the Committee shall appoint a hearing panel of five members. The panel shall schedule a hearing to begin not more than 20 working days after receipt of the President's complaint. The time and place of the hearing shall be set in consultation with the faculty member and the President. The hearing shall be completed within 20 additional working days and a transcript shall be obtained.

(j) Suspension by the administration of a tenured faculty member during the Committee's proceedings shall be justified only if harm to self, to others, or to University property is threatened by continuance of duty. Should it believe such a suspension to be justified, the administration shall consult with the Academic Freedom and Tenure Committee concerning the propriety and conditions of the suspension. Unless prohibited by law, any such suspension shall be with pay.

(k) If the faculty member's academic competence is questioned, the proof before the Committee shall be insufficient unless it includes testimony of teachers and other scholars, either from the University or from other institutions, and it shows that the faculty member's academic performance (1) has deteriorated since receipt of tenure and (2) is now typically unsatisfactory.

(l) The panel shall present its findings to the Committee within 15 working days of receipt of the transcript

of the hearing. The Committee shall transmit its report to the President and faculty member within 20 working days of receipt of the panel's report.

(m) At the request of either the faculty member or the President, the Regents shall review the case. A request for review by the Regents must be filed with the Secretary of the University within 20 working days after the date that the Committee's decision is sent to the faculty member and the President. The Regents' review will follow the procedures specified in Sec. 6.8 (c).

6.5 CONSIDERATION BY A HEARING PANEL

6.5.1 General Considerations

(a) The purpose of a hearing before the Committee will be to decide a formal, written complaint brought by either a faculty member or the President that was not resolvable by mediation efforts of the Committee. Specific actions for which a hearing by the Committee will be considered are defined (Sec. 6.2).

(b) The Committee shall not be required to follow formal judicial procedures or rules of evidence. Members of the Committee, the complainant, the respondents, and—with the permission of the hearing panel—their advisors or attorneys shall have the right to question all witnesses who testify orally.

(c) In all cases, the burden of proof lies with the complainant.

(d) If appropriate, the hearing panel or the Committee may extend any time limit set forth in Sec. 6.4. For example, the Committee may extend time limits if a dispute is actively being mediated. Notification of a time extension shall be sent in writing to the complainant and respondent along with a new schedule.

6.5.2 Appointment of the Panel

(a) Cases brought before the Committee shall be heard by a panel consisting of no fewer than five (5) members of the Committee (including a panel chair) who are selected by the chair of the Committee, with the approval of the Committee as a whole. If, due to disqualification, there are fewer than five available Committee members, the Committee shall add members drawn from the ranks of former Committee members.

(b) A Committee member shall be disqualified from considering a matter, at any stage, if member:

- is directly involved in the matter being considered;
- has a prior relationship with a party, is a witness, or the situation would interfere with the member's objectivity;
- is otherwise incapable of serving (e.g., sickness or sabbatical leave); or
- if the matter directly involves a departmental colleague.

(c) A Committee member may ask to be recused for these or other conflicts of interest. Alternatively, if any of the principals in a matter to be heard by the Committee believes that one or more members of the Committee should be disqualified, the decision shall be made by the full Committee in the absence of the member whose disqualification is sought.

6.5.3 Schedule for a Hearing

The hearing panel shall schedule a hearing to take place according to the timetables above. This panel in consultation with the complainant and respondent shall set the time and place of the hearing.

6.5.4 Public or Private Hearing

The hearing shall be private, unless both parties agree that it should be public, subject to any requirements of the New Mexico Open Meetings Act. If the hearing is private, the proceeding of the hearing shall be confidential to the extent allowed by law.

6.5.5 Pre-hearing Meetings

At any time prior to the hearing, the chair of the panel may, with fair notice to the parties, hold meetings or discussions with the parties in order to:

- ascertain and simplify the issues that are involved;
- ascertain which facts are disputed and which are not;
- facilitate the exchange of documentary and other information;
- answer procedural questions; and
- achieve such other objectives as will make the hearing fair, effective, and expeditious.

6.5.6 Fair Notice

(a) At least five working days before the hearing, each party shall provide the panel and the other party with the following information:

1. List of intended witnesses, or a statement that no witnesses will be called. The panel may place reasonable limitations on the number of witnesses. No witnesses other than those on the list may testify without the written consent of the panel.
2. Any statement of an absent witness (Sec. 6.5.9 (b)).
3. Copies of documents the party plans to introduce into evidence, unless it has been determined at a pre-hearing conference that such documents are already before the panel for consideration. No other documents may be introduced into evidence without the written consent of the panel.
4. Brief from the parties (not to exceed 10 pp) detailing their position on the written complaint.

(b) Acceptance of late testimony or evidence after the hearing shall depend on the panel's judgment of the importance of the testimony or evidence and must represent information that could not reasonably have been received before or during the hearing. In all cases, copies of any communication between the hearing panel or the Committee and either party shall be immediately transmitted to all other parties.

6.5.7 Order of Proceedings

(a) The panel may determine the order in which the parties present their arguments and evidence. Otherwise, the order used shall be the following:

1. complainant's presentation of case;
2. respondent's presentation of case;
3. rebuttal by complainant, if any;
4. rebuttal by respondent, if any;

5. closing arguments by complainant; and
6. closing arguments by respondent.

(b) With permission of the panel, evidence may be introduced out of order and additional evidence may be introduced.

6.5.8 Evidence

(a) If any material facts are in dispute, the parties may testify, present testimony of witnesses, and introduce documents and other evidence at the hearing. The panel may exclude unfair and irrelevant evidence and will not be bound by judicial rules of evidence.

(b) The panel may independently secure evidence or witnesses for presentation at the hearing, and may postpone the hearing until such evidence is available. The panel may not consider evidence that is not presented at the hearing or otherwise provided to the parties for their response.

(c) All members of the University community shall cooperate with the parties' reasonable requests to provide evidence and to appear at the hearing as witnesses. The parties, when needed, shall have the aid of the University Administration and the Committee in securing the attendance of witnesses and in obtaining necessary evidence.

6.5.9 Witnesses

(a) Parties shall have the right, within reasonable limits set by the panel, to question all witnesses.

(b) When a witness is unable to attend a hearing, arrangements shall be made to have the witness participate by conference telephone. If this is not possible, the Committee upon advance request may permit a signed statement by that witness to be introduced at the hearing, but only if it is provided to the other party in sufficient time to permit the other party to contact and question the witness (at least one week before the hearing.) The other party may then submit an additional statement from that witness. All written statements from the witness shall be excluded if the second party is unable to secure the cooperation of the witness.

6.5.10 Rights of Parties to be Present: Advisors

All parties shall have the right to be present at the hearing and to be accompanied by an advisor, an attorney, or both. No advisor or attorney may question witnesses or address the panel without permission of the panel chairperson.

6.5.11 Briefs

With the permission of the panel, the parties may submit written briefs (not to exceed 10 pp) after the hearing provided that no new factual information is introduced in the brief.

6.5.12 Transcript

A verbatim record of the proceeding shall be kept and made available to the parties concerned. The cost of such record shall be borne by the University.

6.5.13 Deliberation by Panel after Hearing

(a) After the hearing, the panel may decide to postpone deliberations until a transcript of the hearing is produced. The panel shall deliberate in closed session. The panel shall present specific written findings of fact, conclusions, and recommendations to the Committee, in the form of a reasoned opinion based upon the evidence presented at the hearing

(b) The panel's recommendation shall be forwarded to the Committee within 15 calendar days after receipt of the transcript. The transcript and all documentary evidence shall also be forwarded to the Committee.

6.6 CONSIDERATION BY THE COMMITTEE

(a) The Committee, in closed session, shall consider only the panel's findings, conclusions and recommendations as well as the transcript and forwarded evidence. The Committee shall not consider new evidence.

(b) Normally, within 15 calendar days of receipt of the panel's report, the Committee shall issue a written decision to the parties. However, the Committee may refer the matter back to the panel for further examination of specified issues. Any such referral shall be accompanied by written instructions, which shall include deadlines for the further proceedings. No case may be referred back to the panel more than once. The Committee's decision shall include specific written findings of fact, conclusions, and remedies, in the form of a reasoned opinion based upon the evidence at the hearing.

(c) The Committee shall notify, in writing, the parties concerned and the Provost/VPHS, if Provost/VPHS is not a party, of its decision and shall provide each with copies of the findings, conclusions, and opinions.

(d) If the Committee finds academic freedom violations or improper considerations occurred, it shall identify in its decision the violation(s) found and the necessary corrective measures. In a case where the matter concerns a personnel decision resulting from a formal review process, such as a mid-probationary review or tenure review, the corrective measures may require carrying out the review process leading up to the personnel decision a second time, and making a decision based on the second review. If so, only one such repetition of a review shall be permitted, and if appropriate, the faculty member shall be granted an additional contract for one year. In other cases, the Committee may conclude that the appropriate corrective measure is to reverse the original personnel decision; in such a case, the Committee shall enter a reasoned decision to that effect.

(e) Procedural errors alone shall not be the basis for granting tenure, promotion, or other change in a faculty member's employment status. However, if the Committee finds that procedural errors prejudiced a personnel decision regarding a faculty member, this shall normally lead to a Committee decision to require that the review process leading up to the personnel decision be carried out a second time, and a decision be made based on the second review. Only one such repetition of a review shall be permitted. In such a case, the Committee's decision shall identify the procedural error(s) found and the necessary corrective measures. If these corrective measures require, the faculty member shall be granted an additional contract for one year. If the Committee concludes that despite the procedural errors the review process should not be repeated, it shall enter a reasoned decision to that effect.

6.7 APPEAL OF COMMITTEE DECISION TO THE PRESIDENT

Appeals of a decision of the Committee shall be taken to the President, except as noted below in Sec. 6.8 (a). The appeal shall be filed within 20 working days of receipt of the Committee's decision. The appeal shall include a summary of the facts, the process, and the grounds for the appeal. The statement shall be filed with the President whose office shall furnish copies to the parties. Within 20 working days of receiving an appeal, the President will provide, in writing, a reasoned decision to the involved parties and the Committee. The decision by the President is final, subject to discretionary review by the Board of Regents. Requests for such review shall be made within 20 working days of receipt of the President's decision and shall follow the provision set forth in Sec. 6.8 (b)-(d) below.

6.8 REVIEW BY THE BOARD OF REGENTS

(a) In case of a University-initiated dismissal of a tenured faculty member, or in other cases where the Committee has made a finding of violation of academic freedom or improper considerations (in either case, whether or not specific violations of Faculty Handbook procedures were found to have occurred), there shall be no right of appeal to the President, but a request for review by the Board of Regents may be filed. Requests for such review shall be made within 20 working days of receipt of the Committee's decision and shall follow the provisions set forth below. In the case of a University-initiated dismissal of a faculty member as noted in Sec. 6.4.3 (m), the review of the Board of Regents, if requested, is mandatory; in all other cases, the review of the Board is discretionary. In cases where the Committee does not make a finding of violation of academic freedom or improper considerations, either the complainant or respondent shall have the right of appeal to the President, and as noted in Sec. 6.7, the President's decision in turn may be appealed for discretionary review by the Board of Regents. The provisions set forth below shall govern such request for review.

(b) Requests for discretionary review shall include a summary of the facts, the process, and the reasons justifying extraordinary review. The statement shall be filed with the President whose office shall furnish copies to the parties and the Board of Regents. If the Board accepts review of the case, notice shall be provided to the principals, President, and the Committee.

(c) In its review, the Board of Regents may call upon the Chair of the Academic Freedom and Tenure Committee and/or a designee, to discuss the Committee decision and/or to consult in interpreting relevant Faculty Handbook or American Assn. of University Professors (AAUP) policies. Review shall be on the record, with opportunity for the parties to submit additional written and oral arguments, pursuant to procedures established by the Regents for the case. Consistent with the independent nature of the review, the Regents will be represented by non-University counsel. Within 40 working days of receipt of the request for review, the Regents shall issue a decision. The Regents may affirm the case or remand it to the Committee for further proceedings. Any remand shall be accompanied by instructions to the Committee, which shall include a deadline of no more than 20 working days for the further proceedings. The Committee shall reconsider the case taking account of the stated objections and receiving new evidence if necessary.

(d) After reconsideration, the Committee shall frame its decision and communicate it to the parties involved

and to the Board. After study of the Committee's reconsideration, accompanied by the opportunity for final oral and written arguments by the principals or their representatives, the Board of Regents shall make a decision that may not be appealed further within the University.

*Approved by Regents: January 11, 1964; January 18, 1969; March 15, 1969; November 8, 1969; January 9, 1971; April 16, 1971; December 20, 1974; February 1, 1975; September 27, 1975; June 13, 1977; August 29, 1978; June 1, 1979; August 12, 1983, August 6, 1985; December 8, 1998.

**Approved by Faculty: February 11, 1964; December 10, 1968; March 11, 1969; September 23, 1969; December 8, 1970; April 20, 1971; December 10, 1974; September 9, 1975; May 11, 1977; May 11, 1978; May 9, 1979; October 14, 1980; March 8, 1983; January 18, 1985; December 7, 1998.

1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments

(as revised 1990)

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights. [1]

Tenure is a means to certain ends, specifically: (1) freedom of teaching and of extramural activities, and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

Academic Freedom

(a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. [2] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment. [3]

(c) College or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from Institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. [4]

(d) At the University of New Mexico teachers recognize that they are responsible for the maintenance of appropriate standards of scholarship and teaching performance, aimed at the goal of training the students

to think for themselves. While the students have a right to know the teacher's point of view on relevant controversial subjects, the teacher has an obligation to set forth fairly and clearly the divergent opinions of other scholars, so that the students may reach rational and independent conclusions.

(e) The efficient operation of any institution requires cooperation among its personnel. Teachers agree, therefore, to abide by all regulations of the University, consistent with this policy, and to perform to the best of their ability such reasonable duties as are assigned to them by authorized University officials.

Academic Tenure

(a) After the expiration of a probationary period teachers or investigators should have permanent or continuous tenure, and their services should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies. In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.
2. Beginning with appointment to the rank of full-time instructor or a higher rank, [5] the probationary period should not exceed seven years, including within this period full-time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution it may be agreed in writing that his new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years. [6] Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period. [7]
3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have. [8]
4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution. [9]
5. Termination of a continuous appointment because of financial exigency should be demonstrably

bona fide.

1970 Interpretive Comments

Following extensive discussions on the 1940 Statement of Principles on Academic Freedom and Tenure with leading educational associations and with individual faculty members and administrators, a joint committee of the AAUP and the Association of American Colleges met during 1969 to reevaluate this key policy statement. On the basis of the comments received, and the discussions that ensued, the joint committee felt the preferable approach was to formulate interpretations of the Statement in terms of the experience gained in implementing and applying the Statement for over thirty years and of adapting it to current needs.

The committee submitted to the two associations for their consideration the following "Interpretive Comments." These interpretations were adopted by the Council of the American Association of University Professors in April 1970 and endorsed by the fifty-sixth Annual Meeting as Association policy.

In the thirty years since their promulgation, the principles of the 1940 *Statement of Principles on Academic Freedom and Tenure* have undergone a substantial amount of refinement. This has evolved through a variety of processes, including customary acceptance, understandings mutually arrived at between institutions and professors or their representatives, investigations and reports by the American Association of University Professors, and formulations of statements by that association either alone or in conjunction with the Association of American Colleges. These comments represent the attempt of the two associations, as the original sponsors of the 1940 *Statement*, to formulate the most important of these refinements. Their incorporation here as Interpretive Comments is based upon the premise that the 1940 *Statement* is not a static code but a fundamental document designed to set a framework of norms to guide adaptations to changing times and circumstances.

Also, there have been relevant developments in the law itself reflecting a growing insistence by the courts on due process within the academic community which parallels the essential concepts of the 1940 *Statement*; particularly relevant is the identification by the Supreme Court of academic freedom as a right protected by the First Amendment. As the Supreme Court said in *Keyishian v. Board of Regents* 385 U.S. 589 (1967), "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom."

The numbers refer to the designated portion of the 1940 Statement on which interpretive comment is made.

1. The Association of American Colleges and the American Association of University Professors have long recognized that membership in the academic profession carries with it special responsibilities. Both associations either separately or jointly have consistently affirmed these responsibilities in major policy statements, providing guidance to professors in their utterances as citizens, in the exercise of their responsibilities to the institution and to students, and in their conduct when resigning from their institution or

when undertaking government-sponsored research. Of particular relevance is the *Statement on Professional Ethics*, adopted in 1966 as Association policy. (A revision, adopted in 1987, was published in *Academe: Bulletin of the AAUP* 73 [July-August 1987]: 49.)

2. The intent of this statement is not to discourage what is "controversial." Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for teachers to avoid persistently intruding material which has no relation to their subject.

3. Most church-related institutions no longer need or desire the departure from the principle of academic freedom implied in the 1940 *Statement*, and we do not now endorse such a departure.

4. This paragraph is the subject of an interpretation adopted by the sponsors of the 1940 *Statement* immediately following its endorsement which reads as follows:

If the administration of a college or university feels that a teacher has not observed the admonitions of paragraph (c) of the section on Academic Freedom and believes that the extramural utterances of the teacher have been such as to raise grave doubts concerning the teacher's fitness for his or her position, it may proceed to file charges under paragraph (a)(4) of the section on Academic Tenure. In pressing such charges the administration should remember that teachers are citizens and should be accorded the freedom of citizens. In such cases the administration must assume full responsibility, and the American Association of University Professors and the Association of American Colleges are free to make an investigation.

Paragraph (c) of the section on Academic Freedom in the 1940 *Statement* should also be interpreted in keeping with the 1964 "Committee A Statement on Extramural Utterances" (*AAUP Bulletin* 51 [1965]: 29), which states *inter alia*: "The controlling principle is that a faculty member's expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness for his or her position. Extramural utterances rarely bear upon the faculty member's fitness for the position. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar."

Paragraph V of the *Statement on Professional Ethics* also deals with the nature of the "special obligations" of the teacher. The paragraph reads as follows:

As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of other obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Both the protection of academic freedom and the requirements of academic responsibility apply not only to the full-time probationary and the tenured teacher, but also to all others, such as part-time faculty and teaching assistants, who exercise teaching responsibilities.

5. The concept of "rank of full-time instructor or a higher rank" is intended to include any person who teaches a full-time load regardless of the teacher's specific title.⁵

6. In calling for an agreement "in writing" on the amount of credit given for a faculty member's prior service at other institutions, the *Statement* furthers the general policy of full understanding by the professor of the terms and conditions of the appointment. It does not necessarily follow that a professor's tenure rights have been violated because of the absence of a written agreement on this matter. Nonetheless, especially because of the variation in permissible institutional practices, a written understanding concerning these matters at the time of appointment is particularly appropriate and advantageous to both the individual and the institution.⁶

7. The effect of this subparagraph is that a decision on tenure, favorable or unfavorable, must be made at least twelve months prior to the completion of the probationary period. If the decision is negative, the appointment for the following year becomes a terminal one. If the decision is affirmative, the provisions in the 1940 Statement with respect to the termination of service of teachers or investigators after the expiration of a probationary period should apply from the date when the favorable decision is made.

The general principle of notice contained in this paragraph is developed with greater specificity in the *Standards for Notice of Nonreappointment*, endorsed by the Fiftieth Annual Meeting of the American Association of University Professors (1964). These standards are: Notice of nonreappointment, or of intention not to recommend reappointment to the governing board, should be given in writing in accordance with the following standards:

1. *Not later than March 1 of the first academic year of service*, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. *Not later than December 15 of the second academic year of service*, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years in the institution.

Other obligations, both of institutions and of individuals, are described in the *Statement on Recruitment and Resignation of Faculty Members*, as endorsed by the Association of American Colleges and the American Association of University Professors in 1961.

8. The freedom of probationary teachers is enhanced by the establishment of a regular procedure for the periodic evaluation and assessment of the teacher's academic performance during probationary status. Provision should be made for regularized procedures for the consideration of complaints by probationary teachers that their academic freedom has been violated. One suggested procedure to serve these purposes is contained in the *Recommended Institutional Regulations on Academic Freedom and Tenure*,

prepared by the American Association of University Professors.

9. A further specification of the academic due process to which the teacher is entitled under this paragraph is contained in the *Statement on Procedural Standards in Faculty Dismissal Proceedings*, jointly approved by the American Association of University Professors and the Association of American Colleges in 1958. This interpretive document deals with the issue of suspension, about which the 1940 *Statement* is silent.

The 1958 *Statement* provides: "Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay. " A suspension which is not followed by either reinstatement or the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

The concept of "moral turpitude" identifies the exceptional case in which the professor may be denied a year's teaching or pay in whole or in part. The statement applies to that kind of behavior which goes beyond simply warranting discharge and is so utterly blameworthy as to make it inappropriate to require the offering of a year's teaching or pay. The standard is not that the moral sensibilities of persons in the particular community have been affronted. The standard is behavior that would evoke condemnation by the academic community generally.

1958 Statement on Procedural Standards in Faculty Dismissal Proceedings

The following statement was prepared by a joint committee representing the Association of American Colleges and the American Association of University Professors and was approved by these two associations at their annual meetings in 1958. It supplements the 1940 Statement of Principles on Academic Freedom and Tenure by providing a formulation of the "academic due process" that should be observed in dismissal proceedings. The exact procedural standards here set forth, however, "are not intended to establish a norm in the same manner as the 1940 Statement of Principles on Academic Freedom and Tenure, but are presented rather as a guide...."

The governing bodies of the American Association of University Professors and the Association of American Colleges, meeting respectively in November 1989 and January 1990, adopted several changes in language in order to remove gender-specific references from the original text.

Introductory Comments

Any approach toward settling the difficulties which have beset dismissal proceedings on many American campuses must look beyond procedure into setting and cause. A dismissal proceeding is a symptom of failure; no amount of use of removal process will help strengthen higher education as much as will the cultivation of conditions in which dismissals rarely if ever need occur.

Just as the board of control or other governing body is the legal and fiscal corporation of the college, the faculty is the academic entity. Historically, the academic corporation is the older. Faculties were formed in the Middle Ages, with managerial affairs either self-arranged or handled in course by the parent church. Modern college faculties, on the other hand, are part of a complex and extensive structure requiring legal incorporation, with stewards and managers specifically appointed to discharge certain functions.

Nonetheless, the faculty of a modern college constitutes an entity as real as that of the faculties of medieval times, in terms of collective purpose and function. A necessary precondition of a strong faculty is that it have first-hand concern with its own membership. This is properly reflected both in appointments to and in separations from the faculty body.

A well-organized institution will reflect sympathetic understanding by trustees and teachers alike of their respective and complementary roles. These should be spelled out carefully in writing and made available to all. Trustees and faculty should understand and agree on their several functions in determining who shall join and who shall remain on the faculty. One of the prime duties of the administrator is to help preserve understanding of those functions. It seems clear on the American college scene that a close positive relationship exists between the excellence of colleges, the strength of their faculties, and the extent of faculty responsibility in determining faculty membership. Such a condition is in no wise inconsistent with full faculty awareness of institutional factors with which governing boards must be primarily concerned.

In the effective college, a dismissal proceeding involving a faculty member on tenure, or one occurring

during the term of an appointment, will be a rare exception, caused by individual human weakness and not by an unhealthful setting.

When it does come, however, the college should be prepared for it, so that both institutional integrity and individual human rights may be preserved during the process of resolving the trouble. The faculty must be willing to recommend the dismissal of a colleague when necessary. By the same token, presidents and governing boards must be willing to give full weight to a faculty judgment favorable to a colleague.

One persistent source of difficulty is the definition of adequate cause for the dismissal of a faculty member. Despite the 1940 Statement of Principles on Academic Freedom and Tenure and subsequent attempts to build upon it, considerable ambiguity and misunderstanding persist throughout higher education, especially in the respective conceptions of governing boards, administrative officers, and faculties concerning this matter. The present statement assumes that individual institutions will have formulated their own definitions of adequate cause for dismissal, bearing in mind the 1940 Statement and standards which have developed in the experience of academic institutions.

This statement deals with procedural standards. Those recommended are not intended to establish a norm in the same manner as the 1940 Statement of Principles on Academic Freedom and Tenure, but are presented rather as a guide to be used according to the nature and traditions of particular institutions in giving effect to both faculty tenure rights and the obligations of faculty members in the academic community.

Procedural Recommendations

1. Preliminary Proceedings Concerning the Fitness of a Faculty Member

When reasons arise to question the fitness of a college or university faculty member who has tenure or whose term appointment has not expired, the appropriate administrative officers should ordinarily discuss the matter with the faculty member in personal conference. The matter may be terminated by mutual consent at this point; but if an adjustment does not result, a standing or ad hoc committee elected by the faculty and charged with the function of rendering confidential advice in such situations should informally inquire into the situation, to effect an adjustment if possible, and, if none is effected, to determine whether in its view formal proceedings to consider the faculty member's dismissal should be instituted. If the committee recommends that such proceedings should be begun, or if the president of the institution, even after considering a recommendation of the committee favorable to the faculty member, expresses the conviction that a proceeding should be undertaken, action should be commenced under the procedures which follow. Except where there is disagreement, a statement with reasonable particularity of the grounds proposed for the dismissal should then be jointly formulated by the president and the faculty committee; if there is disagreement, the president or the president's representative should formulate the statement.

2. Commencement of Formal Proceedings

The formal proceedings should be commenced by a communication addressed to the faculty member by the president of the institution, informing the faculty member of the statement formulated, and informing the faculty member that, at the faculty member's request, a hearing to determine whether he or she should be removed from the faculty position on the grounds stated will be conducted by a faculty committee at a

specified time and place. In setting the date of the hearing, sufficient time should be allowed the faculty member to prepare a defense. The faculty member should be informed, in detail or by reference to published regulations, of the procedural rights that will be accorded. The faculty member should state in reply whether he or she wishes a hearing, and, if so, should answer in writing, not less than one week before the date set for the hearing, the statements in the president's letter.

3. Suspension of the Faculty Member

Suspension of the faculty member during the proceedings is justified only if immediate harm to the faculty member or others is threatened by the faculty member's continuance. Unless legal considerations forbid, any such suspension should be with pay.

4. Hearing Committee

The committee of faculty members to conduct the hearing and reach a decision should either be an elected standing committee not previously concerned with the case or a committee established as soon as possible after the president's letter to the faculty member has been sent. The choice of members of the hearing committee should be on the basis of their objectivity and competence and of the regard in which they are held in the academic community. The committee should elect its own chair.

5. Committee Proceeding

The committee should proceed by considering the statement of grounds for dismissal already formulated, and the faculty member's response written before the time of the hearing. If the faculty member has not requested a hearing, the committee should consider the case on the basis of the obtainable information and decide whether the faculty member should be removed; otherwise the hearing should go forward. The committee, in consultation with the president and the faculty member, should exercise its judgment as to whether the hearing should be public or private. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter set forth in the president's letter to the faculty member should be received.

The president should have the option of attendance during the hearing. The president may designate an appropriate representative to assist in developing the case; but the committee should determine the order of proof, should normally conduct the questioning of witnesses, and, if necessary, should secure the presentation of evidence important to the case.

The faculty member should have the option of assistance by counsel, whose functions should be similar to those of the representative chosen by the president. The faculty member should have the additional procedural rights set forth in the 1940 Statement of Principles on Academic Freedom and Tenure, and should have the aid of the committee, when needed, in securing the attendance of witnesses. The faculty member or the faculty member's counsel and the representative designated by the president should have the right, within reasonable limits, to question all witnesses who testify orally. The faculty member should have the opportunity to be confronted by all adverse witnesses. Where unusual and urgent reasons move the hearing committee to withhold this right, or where the witness cannot appear, the identity of the witness, as well as the statements of the witness, should nevertheless be disclosed to the faculty member. Subject to these safeguards, statements may when necessary be taken outside the hearing and reported

to it. All of the evidence should be duly recorded. Unless special circumstances warrant, it should not be necessary to follow formal rules of court procedure.

6. Consideration by Hearing Committee

The committee should reach its decision in conference, on the basis of the hearing. Before doing so, it should give opportunity to the faculty member or the faculty member's counsel and the representative designated by the president to argue orally before it. If written briefs would be helpful, the committee may request them. The committee may proceed to decision promptly, without having the record of the hearing transcribed, where it feels that a just decision can be reached by this means; or it may await the availability of a transcript of the hearing if its decision would be aided thereby. It should make explicit findings with respect to each of the grounds of removal presented, and a reasoned opinion may be desirable. Publicity concerning the committee's decision may properly be withheld until consideration has been given to the case by the governing body of the institution. The president and the faculty member should be notified of the decision in writing and should be given a copy of the record of the hearing. Any release to the public should be made through the president's office.

7. Consideration by Governing Body

The president should transmit to the governing body the full report of the hearing committee, stating its action. On the assumption that the governing board has accepted the principle of the faculty hearing committee, acceptance of the committee's decision would normally be expected. If the governing body chooses to review the case, its review should be based on the record of the previous hearing, accompanied by opportunity for argument, oral or written or both, by the principals at the hearing or their representatives. The decision of the hearing committee should either be sustained or the proceeding be returned to the committee with objections specified. In such a case the committee should reconsider, taking account of the stated objections and receiving new evidence if necessary. It should frame its decision and communicate it in the same manner as before. Only after study of the committee's reconsideration should the governing body make a final decision overruling the committee.

8. Publicity

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements about the case by either the faculty member or administrative officers should be avoided so far as possible until the proceedings have been completed. Announcement of the final decision should include a statement of the hearing committee's original action, if this has not previously been made known.

1989 Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments

The statement which follows, a revision of a statement originally adopted in 1971, was approved by the American Association of University Professors' Committee A on Academic Freedom and Tenure, adopted by the Association's Council in November 1989, and endorsed by the Seventy-sixth Annual Meeting.

Except for special appointments clearly designated at the outset as involving only a brief association with the institution, all full-time faculty appointments are either with continuous tenure or probationary for tenure. Procedures bearing on the renewal or nonrenewal of probationary appointments are this statement's concern.

The Probationary Period: Standards and Criteria

The 1940 *Statement of Principles on Academic Freedom and Tenure* prescribes that "during the probationary period a teacher should have the academic freedom that all other members of the faculty have." The Association's *Recommended Institutional Regulations on Academic Freedom and Tenure* prescribe further that all members of the faculty, whether tenured or not, are entitled to protection against illegal or unconstitutional discrimination by the institution, or discrimination on a basis not demonstrably related to the faculty member's professional performance...." A number of the rights of nontenured faculty members provide support for their academic freedom and protection against improper discrimination. They cannot, for example, be dismissed before the end of a term appointment except for adequate cause that has been demonstrated through academic due process—a right they share with tenured members of the faculty. If they assert that they have been given notice of nonreappointment in violation of academic freedom or because of improper discrimination, they are entitled to an opportunity to establish their claim in accordance with Regulation 10 of the Recommended Institutional Regulations. They are entitled to timely notice of nonreappointment in accordance with the schedule prescribed in the statement on *Standards for Notice of Nonreappointment*.⁷

Lacking the reinforcement of tenure, however, academic freedom and protection against improper discrimination for probationary faculty members have depended primarily upon the understanding and support of their tenured colleagues, the administration, and professional organizations, especially the American Association of University Professors. In the *Statement on Government of Colleges and Universities*, the Association and the other sponsoring organizations have asserted that "faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal." Collegial deliberation of the kind envisioned by the *Statement on Government* will minimize the risk of a violation of academic freedom, of improper discrimination, and of a decision that is arbitrary or based on inadequate consideration.

Frequently, young faculty members have had no training or experience in teaching, and their first major research endeavor may still be uncompleted at the time they start their careers as college teachers. Under

these circumstances, it is particularly important that there be a probationary period—a maximum of seven years under the 1940 *Statement of Principles on Academic Freedom and Tenure*—before tenure is granted. Such a period gives probationary faculty members time to prove themselves, and their colleagues' time to observe and evaluate them on the basis of their performance in the position rather than on the basis only of their education, training, and recommendations.

Good practice requires that the institution (department, college, or university) define its criteria for reappointment and tenure and its procedures for reaching decisions on these matters. The 1940 *Statement of Principles* prescribes that "the precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated." Moreover, fairness to probationary faculty members prescribes that they be informed, early in their appointments, of the substantive and procedural standards that will be followed in determining whether or not their appointments will be renewed or tenure will be granted.

The Association accordingly recommends:

1. *Criteria and Notice of Standards.* Probationary faculty members should be advised, early in their appointment, of the substantive and procedural standards generally accepted in decisions affecting renewal and tenure. Any special standards adopted by their particular departments or schools should also be brought to their attention.

The Probationary Period: Evaluation and Decision

The relationship of the senior and junior faculty should be one of collegiality, even though nontenured faculty members know that in time they will be judged by their senior colleagues. Thus the procedures adopted for evaluation and possible notification of nonrenewal should not endanger this relationship where it exists, and should encourage it where it does not. Nontenured faculty members should have available to them the advice and assistance of their senior colleagues; and the ability of senior colleagues to make a sound decision on renewal or tenure will be enhanced if an opportunity is provided for a regular review of the candidate's qualifications. A conjunction of the roles in counseling and evaluation may be productive: for example, an evaluation, whether interim or at the time of final determination of renewal or tenure, should be presented in such a manner as to assist nontenured faculty members as they strive to improve their performance.

Any recommendation regarding renewal or tenure should be reached by an appropriate faculty group in accordance with procedures approved by the faculty. Because it is important to both the faculty member and the decision-making body that all significant information be considered, the candidate should be notified that a decision is to be made regarding renewal of appointment or the granting of tenure and should be afforded an opportunity to submit material that the candidate believes to be relevant to the decision.

The Association accordingly recommends:

2. (a) *Periodic Review.* There should be provision for periodic review of a faculty member's situation during the probationary service.

(b) *Opportunity to Submit Material.* Probationary faculty members should be advised of the time when decisions affecting renewal and tenure are ordinarily made, and they should be given the opportunity to submit material that they believe will be helpful to an adequate consideration of their circumstances. Observance of the practices and procedures outlined above should minimize the likelihood of reasonable complaint if nontenured faculty members are given notice of nonreappointment. They will have been informed of the criteria and procedures for renewal and tenure; they will have been counseled by faculty colleagues; they will have been given an opportunity to have all material relevant to their evaluation considered; and they will have a timely decision representing the views of faculty colleagues.

Notice of Reasons

Since 1971 it has been the Association's position, reached after careful examination of advantages and disadvantages, that nontenured faculty members notified of nonreappointment should, upon request, receive a statement of the reasons for the decision. In reaching this position, the Association considered the needs both of the institution and of the individual faculty member.

A major responsibility of the institution is to recruit and retain the best qualified faculty within its goals and means. In a matter of such fundamental importance, the institution, through the appropriate faculty agencies, must be accorded the widest latitude consistent with academic freedom, equal opportunity, and the standards of fairness. The Association recognized that the requirement of giving reasons could lead, however erroneously, to an expectation that the decision-making body must justify its decision. A notice of nonreappointment could thus become confused with dismissal for cause, and under these circumstances the decision-making body could become reluctant to reach adverse decisions which could culminate in grievance procedures. As a result there was some risk that the important distinction between tenure and probation would be eroded.

Weighed against these important institutional concerns, however, were the interests of the individual faculty members. They could be honestly unaware of the reasons for a negative decision, and the decision could be based on a judgment of shortcomings which they could easily remedy if informed of them. A decision not to renew an appointment could be based on erroneous information which the faculty member could readily correct if informed of the basis for the decision. Again, the decision could be based on considerations of institutional policy or program development which have nothing to do with the faculty member's professional competence, and if not informed of the reasons the faculty member could mistakenly assume that a judgment of inadequate performance has been made. In the face of a persistent refusal to supply the reasons, a faculty member may be more inclined to attribute improper motivations to the decision-making body or to conclude that its evaluation has been based upon inadequate consideration. If the faculty member wished to request a reconsideration of the decision, or a review by another body, ignorance of the reasons for the decision would create difficulties both in reaching a decision whether to initiate such a request and in presenting a case for reconsideration or review.

The Association's extensive experience with specific cases since 1971 has confirmed its conclusion that the reasons in support of the faculty member's right to be informed outweigh the countervailing risks. Every notice of nonreappointment, however, need not be accompanied by a written statement of the reasons for nonreappointment. It may not always be to the advantage of the faculty member to be informed of the

reasons for nonreappointment, particularly in writing. The faculty member may be placed under obligation to divulge them to the appointing body of another institution if it inquired. Similarly, a written record is likely to become the basis for continuing responses by the faculty member's former institution to prospective appointing bodies.

At many institutions, moreover, the procedures of evaluation and decision may make it difficult, if not impossible, to compile a statement of reasons which precisely reflects the basis of the decision. When a number of faculty members participate in the decision, they may oppose a reappointment for a variety of reasons, few or none of which may represent a majority view. To include every reason, no matter how few have held it, in a written statement to the faculty member may misrepresent the general view and damage unnecessarily both the morale and the professional future of the faculty member.

In many situations, of course, a decision not to reappoint will not reflect adversely upon the faculty member. An institution may, for example, find it necessary for financial or other reasons to restrict its offerings in a given department. The acquisition of tenure may depend not only upon satisfactory performance but also upon a long-term opening. Nonrenewal in these cases does not suggest a serious adverse judgment. In these situations, providing a statement of reasons, either written or oral, should pose no difficulty, and such a statement may in fact assist the faculty member in searching for a new position. Should the faculty member, after weighing the considerations cited above, decide to request the reasons for the decision against reappointment, the reasons should be given. The faculty member also should have the opportunity to request a reconsideration by the decision-making body.

The Association accordingly recommends:

3. *Notice of Reasons.* In the event of a decision not to renew an appointment, the faculty member should be informed of the decision in writing, and, upon request, be advised of the reasons which contributed to that decision. The faculty member should also have the opportunity to request a reconsideration by the decision-making body.

Written Reasons

Having been given orally the reasons which contributed to the decision against reappointment, the faculty member, to avoid misunderstanding, may request that they be confirmed in writing. The faculty member may wish to petition the appropriate faculty committee, in accordance with Regulation 10 of the Association's Recommended Institutional Regulations, to consider an allegation that the reasons given, or that other reasons which were not stated, constitute a violation of academic freedom or improper discrimination. The faculty member may wish to petition a committee, in accordance with Regulation 15 of the Recommended Institutional Regulations, to consider a complaint that the decision resulted from inadequate consideration and was therefore unfair. The faculty member may believe that a written statement of reasons may be useful in pursuing a professional career. If the department chair or other appropriate institutional officer to whom the request is made believes that confirming the oral statement in writing may be damaging to the faculty member on grounds such as those cited earlier in this statement, it would be desirable for that officer to explain the possible adverse consequences of confirming the oral statement in writing. If in spite of this explanation the faculty member continues to request a written

statement, the request should be honored.

The Association accordingly recommends:

4. *Written Reasons*. If the faculty member expresses a desire to petition the grievance committee (such as is described in Regulations 10 and 15 of the Association's *Recommended Institutional Regulations*), or any other appropriate committee, to use its good offices of inquiry, recommendation, and report, or if the request is made for any other reason satisfactory to the faculty member alone, the reasons given in explanation of the nonrenewal should be confirmed in writing.

Review Procedures: Allegations of Violation of Academic Freedom or of Discrimination

The best safeguard against a proliferation of grievance petitions on a given campus is the observance of sound principles and procedures of academic freedom and tenure and of institutional government. Observance of the procedures recommended in this statement-procedures which would provide guidance to nontenured faculty members, help assure them of a fair professional evaluation, and enlighten them concerning the reasons contributing to key decisions of their colleagues-should contribute to the achievement of harmonious faculty relationships and the development of well-qualified faculties.

Even with the best practices and procedures, however, faculty members will at times think that they have been improperly or unjustly treated and may wish another faculty group to review a decision of the faculty body immediately involved. The Association believes that fairness to both the individual and the institution requires that the institution provide for such a review when it is requested. The possibility of a violation of academic freedom or of improper discrimination is of vital concern to the institution as a whole, and where either is alleged it is of cardinal importance to the faculty and the administration to determine whether substantial grounds for the allegation exist. The institution should also be concerned to see that decisions respecting reappointment are based upon adequate consideration, and provision should thus be made for a review of allegations by affected faculty members that the consideration has been inadequate.

Because of the broader significance of a violation of academic freedom or of improper discrimination, the Association believes that the procedures to be followed in these two kinds of complaints should be kept separate from a complaint over adequacy of consideration. Regulation 10 of the Recommended Institutional Regulations provides a specific procedure for the review of complaints of academic freedom violation or of discrimination.⁸

If a faculty member on probationary or other nontenured appointment alleges that a decision against reappointment was based significantly on considerations violative of (1) academic freedom or (2) governing policies on making appointments without prejudice with respect to race, sex, religion, national origin, age, disability, marital status, or sexual orientation, the allegation will be given preliminary consideration by the [insert name of committee], which will seek to settle the matter by informal methods. The allegation will be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the faculty committees, of such reasons and evidence as the institution may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee so recommends, the matter will be heard in the manner set forth in Regulations 5 and 6, except that the faculty member making

the complaint is responsible for stating the grounds upon which the allegations are based, and the burden of proof will rest upon the faculty member. If the faculty member succeeds in establishing a *prima facie* case, it is incumbent upon those who made the decision against reappointment to come forward with evidence in support of their decision. Statistical evidence of improper discrimination may be used in establishing a *prima facie* case.

The Association accordingly recommends:

5. *Petition for Review Alleging an Academic Freedom Violation or Improper Discrimination.* Insofar as the petition for review alleges a violation of academic freedom or improper discrimination, the functions of the committee that reviews the faculty member's petition should be the following:

(a) to determine whether or not the notice of nonreappointment constitutes on its face a violation of academic freedom or improper discrimination;

(b) to seek to settle the matter by informal methods;

(c) if the matter remains unresolved, to decide whether or not the evidence submitted in support of the petition warrants a recommendation that a formal proceeding be conducted in accordance with Regulations 5 and 6 of the Recommended Institutional Regulations, with the burden of proof resting upon the complaining faculty member.

Review Procedures: Allegations of Inadequate Consideration

Complaints of inadequate consideration are likely to relate to matters of professional judgment, where the department or departmental agency should have primary authority. For this reason, the basic functions of the review committee should be to determine whether the appropriate faculty body gave adequate consideration to the faculty member's candidacy in reaching its decision and, if the review committee determines otherwise, to request reconsideration by that body.

It is easier to state what the standard "adequate consideration" does not mean than to specify in detail what it does. It does not mean that the review committee should substitute its own judgment for that of members of the department on the merits of whether the candidate should be reappointed or given tenure. The conscientious judgment of the candidate's departmental colleagues must prevail if the invaluable tradition of departmental autonomy in professional judgments is to prevail. The term "adequate consideration" refers essentially to procedural rather than to substantive issues: Was the decision conscientiously arrived at? Was all available evidence bearing on the relevant performance of the candidate sought out and considered? Was there adequate deliberation by the department over the import of the evidence in the light of the relevant standards? Were irrelevant and improper standards excluded from consideration? Was the decision a bona fide exercise of professional academic judgment? These are the kinds of questions suggested by the standard "adequate consideration."

If in applying this standard the review committee concludes that adequate consideration was not given, its appropriate response should be to recommend to the department that it assess the merits once again, this

time remedying the inadequacies of its prior consideration.

An acceptable review procedure, representing one procedural system within which such judgments may be made, is outlined in Regulation 15 of the *Recommended Institutional Regulations*, as follows:

If any faculty member alleges cause for grievance in any matter not covered by the procedures described in the foregoing regulations, the faculty member may petition the elected faculty grievance committee [here name the committee] for redress. The petition will set forth in detail the nature of the grievance and will state against whom the grievance is directed. It will contain any factual or other data which the petitioner deems pertinent to the case. Statistical evidence of improper discrimination, including discrimination in salary, may be used in establishing a prima facie case. The committee will decide whether or not the facts merit a detailed investigation; if the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision to come forward with evidence in support of their decision. Submission of a petition will not automatically entail investigation or detailed consideration thereof. The committee may seek to bring about a settlement of the issue satisfactory to the parties. If in the opinion of the committee such a settlement is not possible or is not appropriate, the committee will report its findings and recommendations to the petitioner and to the appropriate administrative officer and faculty body, and the petitioner will, upon request, be provided an opportunity to present the grievance to them. The grievance committee will consist of three [or some other number] elected members of the faculty. No officer of administration will serve on the committee.

The Association accordingly recommends:

6. *Petition for Review Alleging Inadequate Consideration.* Insofar as the petition for review alleges inadequate consideration, the functions of the committee which reviews the faculty member's petition should be the following:

(a) to determine whether the decision of the appropriate faculty body was the result of adequate consideration, with the understanding that the review committee should not substitute its judgment on the merits for that of the faculty body;

(b) to request reconsideration by the faculty body when the committee believes that adequate consideration was not given to the faculty member's qualifications (in such instances, the committee should indicate the respects in which it believes that consideration may have been inadequate);

(c) to provide copies of its report and recommendation to the faculty member, the faculty body, and the president or other appropriate administrative officer.

1990 Statement on Recruitment and Resignation of Faculty Members

The statement printed below was adopted by the Association of American Colleges in January 1961 with the following reservations as set forth in a preamble prepared by that Association's Commission on Academic Freedom and Tenure:

- 1. No set of principles adopted by the Association can do more than suggest and recommend a course of action. Consequently, the present statement in no way interferes with institutional sovereignty.*
- 2. The commission realizes that the diversity of practice and control that exists among institutions of higher learning precludes any set of standards from being universally applicable to every situation.*
- 3. The statement is concerned only with minimum standards and in no way seeks to create a norm for institutions at which "better" practices already are in force.*
- 4. The commission recognizes the fact that "emergency" situations will arise and will have to be dealt with. However, it urges both administration and faculty to do so in ways that will not go counter to the spirit of cooperation, good faith, and responsibility that the statement is seeking to promote.*
- 5. The commission believes that the spirit embodied in the proposed statement is its most important aspect. In view of these reservations, the Council of the American Association of University Professors in April 1961 voted approval of the statement without adopting it as a binding obligation. Endorsement of the statement in this form was voted by the Forty-seventh Annual Meeting.*

The governing bodies of the Association of American Colleges and the American Association of University Professors, acting respectively in January and April 1990, adopted several changes in language in order to remove gender-specific references from the original text.

Mobility of faculty members among colleges and universities is rightly recognized as desirable in American higher education. Yet the departure of a faculty member always requires changes within the institution and may entail major adjustments on the part of faculty colleagues, the administration, and students in the faculty member's field. Ordinarily a temporary or permanent successor must be found and appointed to either the vacated position or the position of a colleague who is promoted to replace the faculty member. Clear standards of practice in the recruitment and in the resignations of members of existing faculties should contribute to an orderly interchange of personnel that will be in the interest of all.

The standards set forth below are recommended to administrations and faculties, in the belief that they are sound and should be generally followed. They are predicated on the assumption that proper provision has been made by employing institutions for timely notice to probationary faculty members and those on term appointments, with respect to their subsequent status. In addition to observing applicable requirements for notice of termination to probationary faculty members, institutions should make provision for notice to all

faculty members, not later than March 15 of each year, of their status the following fall, including rank and (unless unavoidable budgetary procedures beyond the institution forbid) prospective salary.

1. Negotiations looking to the possible appointment for the following fall of persons who are already faculty members at other institutions, in active service or on leave of absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his or her institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to the faculty member's current institution.

2. A faculty member should not resign, in order to accept other employment as of the end of the academic year, later than May 15 or 30 days after receiving notification of the terms of continued employment the following year, whichever date occurs later. It is recognized, however, that this obligation will be in effect only if institutions generally observe the time factor set forth in the following paragraph for new offers. It is also recognized that emergencies will occur. In such an emergency the faculty member may ask the appropriate officials of the institution to waive this requirement; but the faculty member should conform to their decision.

3. To permit a faculty member to give due consideration and timely notice to his or her institution in the circumstances defined in paragraph 1 of these standards, an offer of appointment for the following fall at another institution should not be made after May 1. The offer should be a "firm" one, not subject to contingencies.

4. Institutions deprived of the services of faculty members too late in the academic year to permit their replacement by securing the members of other faculties in conformity to these standards, and institutions otherwise prevented from taking timely action to recruit from other faculties, should accept the necessity of making temporary arrangements or obtaining personnel from other sources, including new entrants to the academic profession and faculty personnel who have retired.

5. Except by agreement with their institution, faculty members should not leave or be solicited to leave their positions during an academic year for which they hold an appointment.

1987 Statement of Professional Ethics

The statement which follows, a revision of a statement originally adopted in 1966, was approved by the American Association of University Professors' Committee B on Professional Ethics, adopted by the Association's Council in June 1987, and endorsed by the Seventy-third Annual Meeting.

Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The Statement on Professional Ethics that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession. In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice.

In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and Committee B, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 Statement of Principles on Academic Freedom and Tenure, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

The Statement

I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They

acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

1971 Committee "W" Statement on Faculty Appointment and Family Relationship

The following statement, prepared initially by the American Association of University Professors' Committee W on the Status of Women in the Academic Profession, was approved by that committee and by Committee A on Academic Freedom and Tenure. The statement was adopted by the Association's Council in April 1971 and endorsed by the Fifty-seventh Annual Meeting. It was endorsed in June 1971 by the board of directors of the Association of American Colleges.

In recent years, and particularly in relation to efforts to define and safeguard the rights of women in academic life, members of the profession have evidenced increasing concern over policies and practices which prohibit in blanket fashion the appointment, retention, or the holding of tenure of more than one member of the same family on the faculty of an institution of higher education or of a school or department within an institution (so-called "anti-nepotism regulations"). Such policies and practices subject faculty members to an automatic decision on a basis wholly unrelated to academic qualifications and limit them unfairly in their opportunity to practice their profession. In addition, they are contrary to the best interests of the institution, which is deprived of qualified faculty members on the basis of an inappropriate criterion, and of the community, which is denied a sufficient utilization of its resources.

The Association recognizes the propriety of institutional regulations which would set reasonable restrictions on an individual's capacity to function as judge or advocate in specific situations involving members of his or her immediate family. Faculty members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, promotion, salary, leave of absence, etc.) to members of their immediate families.

The Association does not believe, however, that the proscription of the opportunity of members of an immediate family to serve as colleagues is a sound method of avoiding the occasional abuses resulting from nepotism. Inasmuch as they constitute a continuing abuse to a significant number of individual members of the profession and to the profession as a body, the Association urges the discontinuance of these policies and practices, and the rescinding of laws and institutional regulations which perpetuate them.

Committee A Statement on Extramural Utterances

The statement which follows was approved by the American Association of University Professors' Committee A on Academic Freedom and Tenure in October 1964. Its purpose is to clarify those sections of the 1940 Statement of Principles on Academic Freedom and Tenure relating to the faculty member's exercise of freedom of speech as a citizen. In 1989, Committee A approved several changes in language in order to remove gender-specific references from the original text.

The 1940 *Statement of Principles* asserts the right of faculty members to speak or write as citizens, free from institutional censorship or discipline. At the same time it calls attention to the special obligations of faculty members arising from their position in the community: to be accurate, to exercise appropriate restraint, to show respect for the opinions of others, and to make every effort to indicate that they are not speaking for the institution. An interpretation of the 1940 *Statement*, agreed to at a conference of the Association of American Colleges and the AAUP held on November 8, 1940, states that an administration may file charges in accordance with procedures outlined in the Statement if it feels that a faculty member has failed to observe the above admonitions and believes that the professor's extramural utterances raise grave doubts concerning the professor's fitness for continuing service.

In cases involving such charges, it is essential that the hearing should be conducted by an appropriate-preferably elected-faculty committee, as provided in Section 4 of the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*.¹ The controlling principle is that a faculty member's expression of opinion as a citizen cannot constitute grounds for dismissal unless it clearly demonstrates the faculty member's unfitness to serve. Extramural utterances rarely bear upon the faculty member's fitness for continuing service. Moreover, a final decision should take into account the faculty member's entire record as a teacher and scholar. In the absence of weighty evidence of unfitness, the administration should not prefer charges; and if it is not clearly proved in the hearing that the faculty member is unfit to continue, the faculty committee should make a finding in favor of the faculty member concerned. Committee A asserts that it will view with particular gravity an administrative or board reversal of a favorable faculty committee hearing judgment in a case involving extramural utterances. In the words of the 1940 *Statement of Principles*, "the administration should remember that teachers are citizens and should be accorded the freedom of citizens." In a democratic society freedom of speech is an indispensable right of the citizen. Committee A will vigorously uphold that right.

Faculty Ethics and Advisory Committee

The Faculty Ethics and Advisory Committee shall consist of seven faculty members nominated by the Faculty Senate. Members of the committee shall serve for overlapping two-year terms. The chairperson shall be elected each year and shall be a tenured faculty member. In the event that a graduate student is accused of unethical behavior, as defined by the Statement on Professional Ethics, with the concurrence of the accused, a graduate student, appointed by the Graduate Student Association, shall serve on the committee, but only for those meetings or parts of meetings during which a graduate student's behavior is being considered.

(a) The Faculty Ethics and Advisory Committee's (hereinafter referred to as Committee) function is to informally investigate the facts and make recommendations when a faculty member has been accused of conduct inconsistent with the Statement on Professional Ethics (Appendix IV). When a faculty member has been so accused he or she must first seek resolution of the problem from the chairperson, if any, and if still unresolved the dean, and on up through each authority in turn the same as provided for termination cases by Sec. 9 (a) of the Policy on Academic Freedom and Tenure. When the matter is still unresolved, the Committee may be called into action in either of two ways:

- (i) By the President of the University, the Vice President for Academic Affairs of the University, or the Committee on Academic Freedom and Tenure, when the assistance of the Committee's informal investigatory function on issues of professional ethics is desired. When a reference to the Committee has been made under this subsection (i), the Committee shall report its recommendations, and the reasons therefore, to the Administrator or Committee making the reference, and to any other parties deemed appropriate by the Committee.
- (ii) By a faculty member, graduate, teaching, research, or project assistant who believes that she or he has been accused of unethical conduct. The Committee may, at its discretion, refuse to respond to requests for investigation made by individuals under this subsection (ii), and this discretion may be exercised by the chairperson when it is not convenient to call a meeting of the Committee. It is intended that the Committee investigate only serious accusations which have or may have done damage to the accused's reputation. It is not intended that the Committee be used as a weapon in personal conflicts. When a reference to the Committee has been made under this subsection (ii), the Committee may confer with and report to the President of the University, the Vice President for Academic Affairs, the applicable dean or chairperson, or department at the discretion of the investigating panel.

(b) Investigations by the Committee shall be conducted by panels of three members. Panels shall be selected by the chairperson.

(c) The Committee may informally investigate a situation even though it is also being heard by the Committee on Academic Freedom and Tenure. In such a case the Committee should normally confer with the Committee on Academic Freedom and Tenure about the matter.

(d) The Committee's recommendations and reports, if any, may be made in any form the panel chooses. The panel should confer with the person or Committee requesting informal investigation about the appropriate form of report.



Faculty Handbook

Section C: Faculty Rules and Benefits

May 29, 2018

Table of Contents

Section C: Faculty Rules and Benefits

- [Table of Contents \(/policies/section-c/index.html\)](/policies/section-c/index.html)
- **Employment and Appointment Regulations**
 - [C05: Rights and Responsibilities at the University of New Mexico \(/policies/section-c/employment-appointment/c05.html\)](/policies/section-c/employment-appointment/c05.html)
 - [C07: Faculty Disciplinary Policy \(/policies/section-c/employment-appointment/c07.html\)](/policies/section-c/employment-appointment/c07.html)
 - [C09: Respectful Campus \(/policies/section-c/employment-appointment/c09.html\)](/policies/section-c/employment-appointment/c09.html)
 - [C10: Employment and Advanced Degrees \(/policies/section-c/employment-appointment/c10.html\)](/policies/section-c/employment-appointment/c10.html)
 - [C20: Employment of UNM Graduates \(/policies/section-c/employment-appointment/c20.html\)](/policies/section-c/employment-appointment/c20.html)
 - [C30: Employment of Relatives \(/policies/section-c/employment-appointment/c30.html\)](/policies/section-c/employment-appointment/c30.html)
 - [C35: Appointment and Continuation of Deans \(/policies/section-c/employment-appointment/c35.html\)](/policies/section-c/employment-appointment/c35.html)
 - [C40: Appointment and Continuation in Office of Department Chairpersons \(/policies/section-c/employment-appointment/c40.html\)](/policies/section-c/employment-appointment/c40.html)
 - [C50: Faculty Contracts \(/policies/section-c/employment-appointment/c50.html\)](/policies/section-c/employment-appointment/c50.html)
 - [C60: Visiting Scholars \(/policies/section-c/employment-appointment/c60.html\)](/policies/section-c/employment-appointment/c60.html)
 - [C70: Confidentiality of Faculty Records \(/policies/section-c/employment-appointment/c70.html\)](/policies/section-c/employment-appointment/c70.html)
 - [C80: Faculty Office Hours \(/policies/section-c/employment-appointment/c80.html\)](/policies/section-c/employment-appointment/c80.html)
 - [C90: Dates of Campus Duty \(/policies/section-c/employment-appointment/c90.html\)](/policies/section-c/employment-appointment/c90.html)
 - [C100: Academic Load \(/policies/section-c/employment-appointment/c100.html\)](/policies/section-c/employment-appointment/c100.html)
 - [C110: Teaching Assignments \(/policies/section-c/employment-appointment/c110.html\)](/policies/section-c/employment-appointment/c110.html)
 - [C120: Summer Session Teaching \(/policies/section-c/employment-appointment/c120.html\)](/policies/section-c/employment-appointment/c120.html)
 - [C130: Outside Employment and Conflicts of Commitment \(/policies/section-c/employment-appointment/c130.html\)](/policies/section-c/employment-appointment/c130.html)
 - [C140: Extra Compensation Paid by the University \(/policies/section-c/employment-appointment/c140.html\)](/policies/section-c/employment-appointment/c140.html)
 - [C150: Political Activities of UNM Faculty \(/policies/section-c/employment-appointment/c150.html\)](/policies/section-c/employment-appointment/c150.html)
 - [C170: Endowed Chairs and Named Professorships \(/policies/section-c/employment-appointment/c170.html\)](/policies/section-c/employment-appointment/c170.html)
 - [C180: Special Administrative Component \(/policies/section-c/employment-appointment/c180.html\)](/policies/section-c/employment-appointment/c180.html)
 - [C190: Lecturer Annual and Promotion Reviews \(/policies/section-c/employment-appointment/c190.html\)](/policies/section-c/employment-appointment/c190.html)
- **Leave Policies and Faculty Absence from Assigned Duties**
 - [C200: Sabbatical Leave \(/policies/section-c/leave-absence/c200.html\)](/policies/section-c/leave-absence/c200.html)
 - [C205: Annual Leave \(/policies/section-c/leave-absence/c205.html\)](/policies/section-c/leave-absence/c205.html)
 - [C210: Sick Leave \(/policies/section-c/leave-absence/c210.html\)](/policies/section-c/leave-absence/c210.html)
 - [C215: Parental Leave \(/policies/section-c/leave-absence/c215.html\)](/policies/section-c/leave-absence/c215.html)
 - [C220: Holidays \(/policies/section-c/leave-absence/c220.html\)](/policies/section-c/leave-absence/c220.html)
 - [C225: Professional Leave \(/policies/section-c/leave-absence/c225.html\)](/policies/section-c/leave-absence/c225.html)
 - [C230: Military Leave of Absence \(/policies/section-c/leave-absence/c230.html\)](/policies/section-c/leave-absence/c230.html)

- [C235: Leave for Service Abroad](/policies/section-c/leave-absence/c235.html)
- [C240: Leave of Absence Incident to Political Activity](/policies/section-c/leave-absence/c240.html)
- [C245: Faculty Absence from Assigned Duties](/policies/section-c/leave-absence/c245.html)
- [C250: Academic Leave For Principal Lecturers](/policies/section-c/leave-absence/c250.html)
- [C255: Jury/Court Duty](/policies/section-c/leave-absence/c255.html)
- [C260: Religious Accommodations](/policies/section-c/leave-absence/c260.html)
- [C280: Leave Without Pay](/policies/section-c/leave-absence/c280.html)
- **Benefits**
 - [C305: Emeriti Status](/policies/section-c/benefits/c305.html)
 - [C320: Enrollment of Faculty in University Courses](/policies/section-c/benefits/c320.html)
 - [C335: Faculty Exchanges](/policies/section-c/benefits/c335.html)

C05: Rights and Responsibilities at the University of New Mexico

Policy

(Adopted by the Regents, October 1965; revised August 1970, September 1975, November 1981, and July 1982)

Section 6 as follows is added to the Statement as an interim measure pending further study and the adoption of a permanent policy:

6. One of the important aspects of academic due process is a clear statement of the kinds of conduct that will lead to University disciplinary action. It is deemed important, therefore, to clarify the type of conduct which shall be considered to affect adversely the University's educational function, to disrupt community living on campus, or to interfere with the right of others to the pursuit of their education or to conduct their University duties and responsibilities. In an effort to accomplish this, but without intending the statement to be all-inclusive, the following is hereby set forth:

(a) Any member of the University community—student or member of the faculty or staff—who commits or attempts to commit any of the following acts of misconduct shall be subject to appropriate disciplinary procedures and sanctions:

(i) Obstruction or disruption, by any means, of teaching, research, administration, disciplinary procedures, or other University or University-authorized functions, events, or activities.

(ii) Unauthorized or prohibited entry into or onto, or unauthorized or prohibited occupation or use of, any University facility, building, vehicle, or other University property.

(iii) Physical abuse, the threat of physical abuse, or intimidation of any person on campus or at any University-authorized function or event, or other conduct which threatens or endangers the health, freedom of action, or safety of any such person.

(iv) Theft of, damage to, or defacement of property of the University or the property of any person on campus. (Any student or member of the faculty or staff who steals, damages, or defaces University property shall reimburse the University to the full extent of the University's loss.)

(v) Denial of, or interference with, any person's lawful right of, access to, use of, or exit from any University facility or with any other lawful right of any person on the campus.

(vi) The destruction of, or damage to, property of the University or of others on campus by setting a fire without proper authority.

(vii) Use or possession on the campus of firearms, ammunition, or other dangerous weapons, substances, or materials, or of bombs, explosives, or incendiary devices, except as authorized.

(viii) Aid to others in committing or inciting others to commit any act of misconduct set forth in 6(a)(i) through 6(a)(vii).

(ix) Any act that demonstrates the probability that the person constitutes a physical danger to himself or others on campus.

(x) Willfully refusing or failing to leave the property of, or any building or other facility owned, operated, or

controlled by the Board of Regents upon being requested to do so by the President, if the person is committing, threatening to commit, or inciting others to commit, any act which would disrupt, impair, interfere with or obstruct the lawful mission, processes, procedures or functions of the University. As used herein, "President" means the President (or acting President) of the University or any person or persons designated by him to act on his behalf.

(xi) Any other acts or omissions which affect adversely the University's educational function, disrupt community living on campus, interfere with the rights of others to the pursuit of their education, or affect adversely the processes of the University.

(b) Sanctions:

(i) Any student who violates any of the rules set forth in 6(a)(i) through 6(a)(xi) shall be subject to censure, warning, disciplinary probation, suspension, or expulsion.

(ii) Any member of the faculty or staff who violates any of the rules set forth in 6(a)(i) through 6(a)(xi) shall be subject to censure, warning, disciplinary probation, or dismissal.

(iii) As used in 6(b)(i) and (ii),

a) "Censure" means a written reprimand or expression of disapproval.

b) "Warning" means an oral censure.

c) "Disciplinary probation" means the establishment of a time period during which further acts of misconduct may or will result in more severe disciplinary sanctions depending on the conditions of the probation.

d) "Suspension" means losing student status for a period of time specified in the terms of the suspension. A suspension may commence immediately upon a finding of a violation or it may be deferred to a later time.

e) "Expulsion" means losing student status for an indefinite period of time. Readmission may not be sought before the expiration of two years from the date of expulsion.

f) "Dismissal" means a termination of employment, either for a stated time period or indefinitely.

(c) If any of the acts of misconduct set forth in 6(a)(i) through 6(a)(xi) are committed by a person who is not a student or member of the faculty or staff, such person may be denied admission, readmission, or employment by the University.

As noted above, the Regents and the vast majority of students, faculty, staff, alumni, and citizens share the same goal for the University—that it be a stable and peaceful center of teaching, research, discussion, learning, and service, free from coercion and unlawful use of force. In situations where the stability and peace of the institution are threatened, extraordinary measures are required. The Regents are determined to use all lawful means to assure the continuity and the integrity of the educational process at the University. As part of this effort, we adopt the following as an interim measure pending further study and adoption of permanent policy:

State of Emergency

1. As used in this Policy:

- a) "President" means the President (or acting President) of the University or any person or persons designated to act in his behalf for purposes of these rules.
- b) "Official" means any person authorized by the President to act on behalf of the University.
- c) "Student" means a person who is a student at the University in an undergraduate, graduate, or professional program on campus, whether for credit or no credit, full- or part-time.
- d) "Visitor" means any person on campus who is not a student or member of the faculty or staff.
- e) "Person" means any student, member of the faculty or staff, or visitor.

2. The President is authorized to declare a State of Emergency at the University upon finding by him that the orderly processes of the University are seriously threatened. In making such a finding the President shall consider whether disruptive activities are such as to require immediate, extraordinary measures to safeguard persons or property or to maintain the University's educational function. As soon as reasonably possible after the Declaration of Emergency, the President shall inform available Regents of his action. When the President determines that the serious threat has passed, he shall, after consultation with available Regents, declare the State of Emergency to be at an end.

3. a) During a State of Emergency, the President, in the exercise of reasonable judgment in the circumstances, is authorized to take whatever actions he finds necessary in order to safeguard persons or property or to maintain the University's educational function. Such actions shall remain in effect during the State of Emergency unless sooner canceled by the President. During a State of Emergency, the President may, if in his judgment the circumstances warrant it, suspend University activities for a day or a portion thereof.

b) During a State of Emergency, the violation by any person of a presidential order or ruling under 3(a) of this Policy, or the commission during such State of Emergency of any act or acts of misconduct of the kind set forth in Section 6(a)(i) through 6(a)(xi) of the Regents' Statement on Rights and Responsibilities will be considered an offense of the graves nature, and sanctions (as listed in Section 6 of the Statement on Rights and Responsibilities) appropriate to the gravity of such offense or offenses shall be imposed.

c) A visitor who, after appropriate hearing, is found to have violated a presidential order authorized by Section 3 of this Policy may be denied admission to and employment by the University.

4. During a State of Emergency, any person who, after being requested to do so by a properly identified official and after being advised by such official of the sanction for failure to identify oneself, fails to identify himself by name and status as a student, member of the faculty or staff, or visitor to such official shall have imposed upon him, after appropriate hearing, the sanctions set forth in Section 6 of the Statement on Rights and Responsibilities.

State law establishes the second Monday in March for the Regents' annual organization meeting, at which time officers are elected for the ensuing year. Quarterly meetings are required by law, but in actual practice the Regents convene on an average of ten times annually.

The University, largest of the seven state institutions of higher learning, is supported chiefly by appropriations made by the State Legislature, by income from the rental of lands granted to it by the Federal Government, by the income from royalties on the oil taken from these lands, and by student fees.

C07: Faculty Disciplinary Policy

Policy

(Approved by the Faculty Senate March 22, 2011; Approved by Board of Regents December 13, 2011)

1. The University encourages a supportive problem-solving approach to workplace problems, but the University recognizes that misconduct may require disciplinary action. The University normally uses progressive discipline to address possible misconduct. Progressive discipline is intended to be corrective, not punitive in nature. It is designed to provide faculty with notice of deficiencies and an opportunity to improve. However, some violations of policies and procedures, or continued negative behavior, may be of such serious nature that suspension without pay or discharge pursuant to Faculty Handbook policies may be appropriate.

2. Any member of the faculty, including any serving as an academic administrator, who violates a published University policy may be subject to warning, censure, suspension without pay, or dismissal. Teaching or research assistants in their faculty capacity are considered faculty members for purposes of this Policy.

a) "Warning" means an oral reprimand or expression of disapproval.

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

c) "Suspension without pay" means disciplinary suspension without regular salary for a stated period of time.

d) "Dismissal" means termination of employment (see Faculty Handbook sections B.5.3, B.6.4.3, and B.5.4).

3. The procedures specified in this Policy provide for the consideration and determination of proposed disciplinary actions against faculty members short of dismissal. Consideration and determination of disciplinary actions that may result in a proposed dismissal of a tenured faculty member, or dismissal of an untenured faculty member prior to expiration of his or her contract term, are governed by sections B.5.3, B.6.4.3, or B.5.4, respectively, of the Faculty Handbook and are not covered by these procedures. However, cases in which faculty dismissal has been considered pursuant to sections B.5.3, B.6.4.3, or B.5.4, and a lesser sanction is ultimately proposed instead by the administration, shall be handled under this policy, without duplicating steps that have already taken place. In particular, if the chair and dean conclude that suspension without pay is appropriate in a case in which dismissal was considered but rejected, the faculty member is entitled to request a peer hearing as provided below in sections 10 and 11.

4. In the case of allegations against a faculty member that appear to be within the scope of another specific

University policy that has its own procedures for investigation and resolution (including but not limited to allegations of research misconduct, discrimination, or sexual harassment), the chair or dean shall forward such allegations to the appropriate person or department for handling pursuant to the applicable policy. If such a process requires the chair to make a disciplinary determination after an investigation and recommendation from another University body, this policy will be followed in determining the appropriate discipline. If the other procedure involved a hearing before a faculty committee, any factual determinations will not be subject to reconsideration by faculty peer review under this policy.

5. References to the department chair in this policy also include the program director or associate or vice dean in a non-departmentalized school or college. If allegations are made against a department chair or other administrator, the next higher academic authority shall perform the functions assigned in this Policy to the chair, and the provisions shall be modified as appropriate. Any individual(s) bringing an allegation of faculty misconduct to the chair's attention is protected by, and subject to, the University's policy on reporting misconduct (UBPPM section 2200, Whistleblower Protection and Reporting Suspected Misconduct and Retaliation).

6. In all cases other than those set forth in paragraphs 3 and 4 above, if a member of the faculty is alleged to have violated a policy of the University, the department chair shall provide the faculty member a written notice explaining the nature and specific content of the alleged violation, together with a copy of this policy, and shall discuss the alleged violation with the faculty member. The written notice shall be given to the faculty member within ninety (90) days of the chair learning of the apparent violation of policy. The faculty member may be accompanied by one person in meeting with the chair. The faculty member and the chair shall notify each other at least two working days prior to the scheduled meeting who, if anyone, will be accompanying them at the meeting. The chair should issue a written report within five (5) working days after the meeting summarizing the discussion with the faculty member, keep a copy in the faculty member's file, and send a signed copy to the faculty member. Before, during or after the meeting, the chair may ask the faculty member to respond in writing to the notice and present any relevant written material within a reasonable time specified by the chair. Likewise the faculty member shall be free to submit any materials reasonably desired on his/her own volition, no later than five (5) working days after meeting with the chair unless the chair grants additional time in writing. The matter may be concluded at this point by the mutual consent of all parties.

7. The department chair or the faculty member may initiate conciliation proceedings at any time prior to the chair's decision by contacting the Ombuds Dispute Resolution Services for Faculty program as provided in Section C345 with notice to the other parties. Conciliation may be undertaken if both parties agree.

8. If a mutually agreeable resolution (with or without conciliation) is not achieved, the department chair shall make a decision in the matter and communicate it to the faculty member in writing within ten (10) working days after meeting with the faculty member or the termination of conciliation efforts if they are unsuccessful, whichever is later. The faculty member shall have ten (10) working days from receipt of the written decision to submit a written request for review by the appropriate dean, who will issue a written decision concerning whether the chair's decision is upheld, modified or reversed. Prior to making a decision, the dean shall meet with the department chair and the faculty member, and their representatives

if desired, together or separately, and shall receive and consider any documents the parties wish to submit. Documents shall be submitted within five (5) working days of the faculty member's request for review. If formal conciliation has not been attempted previously, the dean may refer the matter to Ombuds Dispute Resolution Services for Faculty. The dean will communicate his/her decision to the parties in writing within ten (10) working days after meeting with the faculty member or the termination of conciliation efforts if they are unsuccessful, whichever is later.

9. If the faculty member does not agree with the dean's action, he/she may submit a written request for review by the Provost or Chancellor within five (5) working days of receipt of the dean's decision. The Provost/Chancellor will decide the matter on the record unless he/she determines that it would be helpful to meet with the parties, together or separately. Within ten (10) working days after receipt of the complete record or after meeting with the parties, whichever is later, the Provost/Chancellor shall uphold, modify or reverse the dean's decision by written notice to the parties. The Provost/Chancellor may seek an advisory investigation and opinion from the Faculty Ethics Committee. The decision of the Provost/Chancellor is subject to discretionary review by the President or Board of Regents if requested by the faculty member.

10. If the chair, after meeting with the faculty member and considering all materials submitted pursuant to section 6, proposes to suspend the faculty member without pay, the chair shall meet with the dean to review the matter. If the proposal is supported by the dean after meeting with the chair and the faculty member, the faculty member is entitled to a faculty peer hearing. The faculty member shall send such a request to the Provost/Chancellor within five (5) working days of receipt of the dean's determination.

11. If a faculty peer hearing is requested as provided in this Policy, the chair of the Faculty Ethics Committee will arrange for a hearing before two members of that Committee from outside the faculty member's department, chosen by the Ethics Committee, and one uninvolved department chair from a different school or college chosen by the Provost/Chancellor. The hearing will be held as soon as reasonably possible and shall be conducted according to the University's Dispute Resolution Hearing Procedures. The University Secretary's office shall make arrangements for the hearing. Hearings shall be recorded and shall be private unless both parties agree that the hearing be open. The hearing panel may uphold or reverse the proposal to suspend the faculty member without pay. If the panel's decision is to reverse the proposal, the panel may direct the chair and dean to impose a lesser disciplinary measure. The panel's decision may be reviewed on the record by the Provost/Chancellor, but the panel's decision shall not be reversed or modified except in the case of clear error, which shall be detailed in writing by the Provost/Chancellor. The decision of the Provost/Chancellor is subject to discretionary review by the President or Board of Regents if requested by the faculty member.

12. The faculty member may bring a complaint before the Committee on Academic Freedom and Tenure (AF&T) if he/she believes the matter or its handling is within the jurisdiction of the Committee. The Committee will determine whether the matter is within its jurisdiction and, if so, shall handle the matter under the Policy on Academic Freedom and Tenure. Normally, review by the AF&T Committee should be sought after the determination by the Provost/Chancellor. If the faculty member pursues the matter before the AF&T Committee, AF&T shall accept the facts as determined by the faculty peer hearing, if one was held.

13. If the final determination is that no misconduct occurred, efforts shall be undertaken to the extent possible and appropriate to fully protect, restore, or maintain the reputation of the faculty member.

14. These procedures do not supersede Appendix VIII to Part B of the Faculty Handbook, concerning the Faculty Ethics Committee, and a faculty member who believes that he/she has been improperly accused of unethical behavior may bring the matter to the attention of the Ethics Committee under Appendix VIII after determination by the Provost/Chancellor.

C09: Respectful Campus

Approved by: Faculty Senate

Effective: April 25, 2017

Responsible FS 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 (UNM) is committed to freedom of academic inquiry and encourages an environment of spirited and open debate. UNM does not attempt to shield people from ideas they may find unwelcome, disagreeable, or even offensive. At the same time, UNM is committed to providing a respectful campus that includes a working, learning, and social environment where all members of the UNM community including, but not limited to, regents, administrators, faculty, staff, students, and volunteers work together in a mutually respectful, psychologically-healthy manner. UNM strives to foster such an environment because a respectful campus 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 UNM's mission and values.

Policy Statement

Everyone at UNM has a right to be treated with respect and a responsibility to treat others with respect.

When these rights and responsibilities are honored and practiced, the UNM campus is a respectful one.

This Policy describes the actions and cornerstones, that characterize a respectful campus and to which all members of the UNM community should aspire. Actions that are destructive to a respectful campus will not be tolerated. All members of the UNM community who have witnessed or been a target of destructive actions are encouraged to raise concerns in accordance with this Policy.

1. Constructive Actions

A respectful campus exhibits and promotes the following constructive actions:

1.1. Displaying personal integrity and professional ethics (Faculty Handbook, Section B, Appendix V

(<http://handbook.unm.edu/policies/section-b/appendices/appendix-v.html>)).

1.2. Practicing fairness.

1.3. Exhibiting respect for individual rights and differences.

1.4. Demonstrating respect for diversity and difference.

1.5. Being responsible and accountable for one's actions.

1.6. Emphasizing communication and collaborative resolution of problems and conflicts.

1.7. Developing and maintaining confidentiality and trust.

2. Cornerstones of a Respectful Campus

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

2.1. UNM strives for an atmosphere where individuals at all levels and in all units value each other's contributions and treat each other with respect.

2.2. 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.

2.3. Individuals at all levels are allowed to discuss issues of concern in an open and honest manner, without fear of reprisal or retaliation.

2.4. 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 UNM policy.

3. Destructive Actions

Actions that are destructive to a respectful campus will not be tolerated.

3.1. Destructive Actions Covered by This Policy

This Policy covers the destructive actions described in sections 3.1.1 through 3.1.1.4. Credible reports of such actions will be addressed in accordance with the Procedures Section of this Policy.

3.1.1. Bullying

Bullying is defined by UNM as repeated mistreatment of one or more individuals or a pattern of mistreatment of more than one individual. This mistreatment can include, but is not limited to the following actions:

3.1.1.1. Verbal Bullying

Verbal bullying, which can be oral, written, or electronic, includes 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; shouting at others in public and/or in private where such conduct is so severe or pervasive as to cause or create a hostile educational or working environment or unreasonably interferes with a person's work or school performance or participation.

3.1.1.2. Nonverbal Bullying

Nonverbal bullying includes, but is not limited to, directing threatening gestures toward a person or persons or invading personal space after being asked to move or step away.

3.1.1.3. Threatening Action 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 for a supervisor to address an employee's poor job performance and discuss potential consequences within the framework of UNM 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.

3.1.1.4. Anonymous Bullying

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

Differences of opinion, conflicts, or problems in workplace relationships may occasionally occur as a normal part of working life and should not be considered bullying.

3.1.2. Single Incident of Destructive Action

Bullying is defined in sections 3.1.1 through 3.1.1.4 herein as repeated mistreatment. A single incident should be handled by a supervisor using informal processes.

3.2. Destructive Actions Covered by Other UNM Policies

Credible reports of the destructive actions described below will be addressed in accordance with the applicable policy listed.

3.2.1. Violent Action—refer to UAP 2210 (<http://policy.unm.edu/university-policies/2000/2210.html>) "Campus Violence."

3.2.2. Sexual harassment--refer to **UAP 2730** (<http://policy.unm.edu/university-policies/2000/2730.html>) "Sexual Harassment."

3.2.3. Other forms of harassment—refer to UAP 2720 (<http://policy.unm.edu/university-policies/2000/2720.html>) "Equal Opportunity, Non-Discrimination, and Affirmative Action."

3.2.4. Retaliation-- refer to UAP 2200 (<http://policy.unm.edu/university-policies/2000/2200.html>) "Whistleblower Protection and Reporting Suspected Misconduct and Retaliation."

3.2.5. Conduct which can adversely affect UNM's educational function, disrupt community living on campus, or interfere with the right of others to pursue their education or to conduct their UNM duties and responsibilities--refer to UNM Faculty Handbook, Section C05 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c05.html>), "Rights and Responsibilities at the University of New Mexico." **Visitor Code of Conduct** (<https://pathfinder.unm.edu/visitor-code-of-conduct.html>), **Student Code of Conduct** (<https://pathfinder.unm.edu/code-of-conduct.html>), "and UAP 2220 (<http://policy.unm.edu/university-policies/2000/2220.html>) "Freedom of Expression and Dissent."

3.2.6. Unethical conduct--refer to UNM Faculty Handbook, **Section B** (<http://handbook.unm.edu/policies/section-b/appendices/appendix-v.html>), Appendix V, "Statement of Professional Ethics."

4. Supervisor Responsibilities

Supervisors, at all levels, are responsible for addressing indications of destructive actions and resolving them in an appropriate, fair, and prompt manner in accordance with applicable UNM policy.

Applicability

This Policy is applicable to all UNM faculty and academic administrators, including the Health Sciences Center and Branch Campuses. The reporting and investigatory procedures listed in this Policy document are applicable whenever a UNM faculty member or academic administrator is accused of actions destructive to a respectful campus. However, when a resident, fellow, or faculty member in the School of Medicine is accused by a student of violations of this Policy, the reporting and investigatory procedures described in the UNM School of Medicine “Teacher Conduct and Learner Complaints” should be followed.

Whenever other members of the UNM Community are accused of actions destructive to a respectful campus, refer to the following policies for reporting and investigatory procedures:

- Staff member accused: Report the destructive action in accordance with UAP 2200 (<http://policy.unm.edu/university-policies/2000/2200.html>) “Whistleblower Protection and Reporting Suspected Misconduct and Retaliation” and UAP 2240 (<http://policy.unm.edu/university-policies/2000/2240.html>) “Respectful Campus.”
- Student accused: Report the destructive action to the Dean of Students Office.
- Unknown Identity of Alleged Wrongdoer: In incidents of anonymous destructive behavior when the wrongdoer is unknown, a staff or faculty member should report the destructive behavior to his or her supervisor, and a student should report the destructive behavior to Dean of Students Office or any of the resources listed in UAP 2200 (<http://policy.unm.edu/university-policies/2000/2200.html>) “Whistleblower Protection and Reporting Suspected Misconduct and Retaliation.”

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 sections 3.1.1 through 3.1.1.4 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 (<http://policy.unm.edu/university-policies/2000/2200.html>) "Whistleblower Protection and Reporting Suspected Misconduct and Retaliation"

Policy 2210 (<http://policy.unm.edu/university-policies/2000/2210.html>) "Campus Violence"

Policy 2220 (<http://policy.unm.edu/university-policies/2000/2220.html>) "Freedom of Expression and Dissent"

Policy 2240 (<http://policy.unm.edu/university-policies/2000/2240.html>) "Respectful Campus"

Policy 2720 (<http://policy.unm.edu/university-policies/2000/2720.html>) "Equal Opportunity, Non-Discrimination, and Affirmative Action"

Policy 2730 (<http://policy.unm.edu/university-policies/2000/2730.html>) "Sexual Harassment"

Policy 3220 (<https://policy.unm.edu/university-policies/3000/3220.html>) "Ombuds Services and Dispute Resolution for Staff"

Policy 3750 (<https://policy.unm.edu/university-policies/3000/3750.html>) "Counseling, Assistance, and Referral Services"

Faculty Handbook:

Policy C05 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c05.html>) "Rights and Responsibility at the University of New Mexico"

Policy C07 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c07.html>) "Faculty Disciplinary Policy"

Policy C70 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c70.html>) "Confidentiality of Faculty Records"

Section B, Section 5.5. (<http://handbook.unm.edu/policies/section-b/b5.html>) "Suspension" and "Appendix V (<http://handbook.unm.edu/policies/section-b/appendices/appendix-v.html>)"

UNM Pathfinder:

Student Code of Conduct (<https://pathfinder.unm.edu/code-of-conduct.html>)

Visitor Code of Conduct (<https://pathfinder.unm.edu/visitor-code-of-conduct.html>)

UNM School of Medicine "Teacher Conduct and Learner Complaints."

(<http://som.unm.edu/education/gme/resources/complaints.pdf>)

Contacts

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

Procedures

Actions reasonably believed to constitute actions destructive to a respectful campus as described in this Policy should be reported in accordance with the procedures listed herein. These procedures are designed to encourage use of informal and/or formal processes for reporting and resolving destructive action. Individuals impacted by the negative action may use any of the procedures listed below. Taking informal action does not preclude individuals from taking formal action.

Extreme incidents that result in a fear for one's safety should be reported directly to UNM Police in accordance with UAP 2210 (<http://policy.unm.edu/university-policies/2000/2210.html>) "Campus Violence."

1. Informal Processes

When the destructive actions described in this Policy occur, it is in the best interest of UNM and all parties involved that the actions be stopped as soon as reasonably possible. When possible and practical under the circumstances, all efforts should be made to address and resolve complaints informally.

In many cases resolution can be achieved by bringing the negative action to the attention of the impacted individual's supervisor or the alleged wrongdoer's supervisor. If the impacted individual is not comfortable reporting the destructive actions to a supervisor, the individual may report the actions in accordance with the provisions described in this document.

UNM processes and resources can help individuals with informal resolution. These resources which include Counseling, Assistance, and Referral Services (CARS) for faculty and staff, HSC Office of Professionalism, Ombuds Dispute Resolution Services for Faculty, Ombuds Dispute Resolution Services for Staff, Ombuds Dispute Resolution Services for Graduate Students, and the Dean of Students office for undergraduate students, and are described in Section 8 below.

2. Formal Processes and Written Complaints

2.1. A formal 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), or who is the supervisor of the unit in which the alleged destructive action occurred. A formal complaint may also be made by using the procedures specified in UAP 2200 (<http://policy.unm.edu/university-policies/2000/2200.html>) "Whistle Blower Protection and Reporting Suspected Misconduct and Retaliation," which includes a UNM Hotline phone number.

2.2. A complainant should report suspected destructive action as soon as reasonably possible, preferably within 60 calendar days from the time the complainant becomes aware of the suspected destructive action. 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:

2.2.1. Clear specific allegations against the named person or persons.

2.2.2. Dates, times, locations, and witnesses to incidents, when possible.

2.2.3. Factual description of events with direct quotes where possible.

2.2.4. Indication of how each incident made the complainant feel.

2.2.5. Documentary evidence.

2.2.6. Description of any action the complainant or others have already taken.

2.3. A report of destructive action that is made under this Policy may or may not identify a specific individual as the alleged wrongdoer. A report of anonymous destructive action can be made under this Policy, even though the alleged wrongdoer is unknown. Regardless of the identification of an alleged wrongdoer, the procedures delineated below will be followed, including an investigation if warranted.

2.4. Regardless of the mechanism chosen for the formal 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 cognizant supervisor. If an alleged wrongdoer is

named in the report, the report will be shared with the person accused of the action so that he or she is made aware that the action described may have been perceived as destructive to a respectful campus. The alleged wrongdoer may provide a written response within 14 calendar days from receipt of the written complaint. The written response from the alleged wrongdoer will be provided to the complainant.

2.5. Upon receipt of a formal written complaint, the responsible supervisor should interview the complainant, unless the complaint has been anonymous. If an alleged wrongdoer is named, the supervisor should interview both the complainant and the alleged wrongdoer. Based on the written complaint, the interview(s), and written responses, the responsible supervisor may make an initial effort to effect an informal resolution of the matter, but only if an informal approach has not already been tried prior to the receipt of the formal complaint. The supervisor may suggest any of the processes specified in this document or other informal processes as appropriate. In most cases, the alleged wrongdoer may be given a reasonable opportunity to correct or otherwise cease the action before any formal action is taken.

If informal processes are not pursued or are not successful in resolving the matter, the supervisor will make a determination whether the allegation, if substantiated, would constitute a violation of this Policy. If so, the supervisor will initiate an investigation as specified below. If the supervisor determines that the alleged destructive action would not be a violation of this Policy C09, but might be a violation of another UNM policy, the supervisor will refer the matter for review and action as appropriate. If the supervisor determines that the alleged destructive action would not be a violation of UNM policy, but that the situation would benefit from some positive intervention, the supervisor should intervene as appropriate. If the supervisor determines that no further action is needed, the supervisor will submit a written report that includes a copy of the initial complaint, a description of the findings, and the reasons for not conducting an investigation in accordance with Section 3 of these Procedures. The report will be submitted to the supervisor's supervisor with a copy to the complainant and the alleged wrongdoer. If the complainant is not satisfied with the determination, he or she may appeal the decision in accordance with Section 4 of these Procedures.

2.6. Faculty may also consult with the Academic Freedom and Tenure Committee (AF&T) if there are allegations of possible violations that are within the jurisdiction of the AF&T Committee. If the AF&T Committee decides that the complaint is within their jurisdiction, they will follow the procedures in Section B (<http://handbook.unm.edu/policies/section-b/>) of the Faculty Handbook.

3. Investigation

The procedures specified below apply to cases in which both the complainant and the alleged wrongdoer are named. In cases in which the complaint is anonymous or the alleged wrongdoer is not named, or both, the Office of University Counsel (OUC) will advise the responsible supervisor on how to modify the specified procedures.

The responsible supervisor is charged with initiating the investigation by appointing an unbiased investigator within 14 calendar days of receiving the written complaint, or following the conclusion of informal processes if they have been unsuccessful. It is of paramount importance that the investigation be conducted by an unbiased investigator. Prior to appointing an unbiased investigator, the responsible supervisor must confer with the 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 responsible supervisor that it has counseled the responsible supervisor on the specific matter. Following the advice of OUC, the supervisor who receives the complaint will appoint an independent investigator with no connection to either the complainant or the alleged wrongdoer; the investigator must confer with OUC for guidance.

As soon as it has been determined who will conduct the investigation and how it will be conducted, the investigator will notify the complainant, the alleged wrongdoer, and the supervisor of the alleged wrongdoer, that an investigation has been initiated. If either the complainant or the alleged wrongdoer wishes to request that a different investigator be appointed, a written request, including a detailed justification, must be provided to the supervisor of the alleged wrongdoer within seven (7) calendar 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 seven (7) calendar days after receipt of the request. If the investigator decides to appoint an ad hoc committee to assist with the investigation, the alleged wrongdoer and the complainant will be notified in writing and given 14 calendar 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 28 calendar days after the alleged wrongdoer 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 alleged wrongdoer believes will be able to provide material information relevant to the complaint. Additional information may be provided by any of the parties at any point during the investigation. The investigation should normally be completed no later than 42 calendar days after the formal written complaint has been brought to the supervisor of the alleged wrongdoer, 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 alleged wrongdoer, and the supervisor of the alleged wrongdoer. When the investigation has been completed, a confidential report of the investigation will be sent for appropriate action to the supervisor of the alleged wrongdoer, with a written copy provided to the alleged wrongdoer 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 and responses
- 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 alleged wrongdoer 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 alleged wrongdoer's personnel file. The file is confidential and shall be secured in accordance with Policy C70

(<http://handbook.unm.edu/policies/section-c/employment-appointment/c70.html>) "Confidentiality of Faculty Records."

The file should include the following:

- Formal written complaint and responses
- 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 alleged wrongdoer and complainant
- If applicable, signed confidentiality agreements
- If applicable, ad hoc committee meeting minutes
- Copy of investigation report

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 14 calendar 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 alleged wrongdoer and the initial investigator; a summary statement will be provided to the alleged wrongdoer and the complainant. If the reviewing official's determination is not satisfactory to the complainant or the alleged wrongdoer, 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 an individual has violated this Policy, UNM shall take appropriate action, which may include disciplinary sanctions up to and including dismissal from UNM in accordance with Policy C07 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c07.html>) "Faculty Disciplinary Policy."

Whether or not an individual is found to have violated this Policy, reasonable efforts will be undertaken to ensure that complainants who make allegations of destructive actions 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. Refer to UAP 2200 (<http://policy.unm.edu/university-policies/2000/2200.html>) for information on retaliation.

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 UNM.

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 (6) years after the date the file is sealed, after which time it may be destroyed.

8. UNM Processes and Resources that can Assist Individuals Impacted by Destructive Actions

The following UNM processes and resources are available to assist individuals impacted by destruction actions. Participation is voluntary. With the agreement of the individuals involved, these services may be utilized in a stand-alone fashion or before, during, or after the investigatory procedure.

8.1. The UNM Counseling, Assistance, and Referral Services (CARS) is an important resource available to all benefits-eligible UNM faculty and staff. CARS can help faculty or staff members to better understand their experience, facilitate resilience, identify options and take action in a constructive manner. Refer to UAP 3750 (<http://policy.unm.edu/university-policies/3000/3750.html>) "Counseling, Assistance, and Referral Services."

8.2. The HSC Office of Professionalism provides services to the members of the HSC, including faculty, learners, and staff. Services include advice regarding UNM policies and available resources, remedial and growth-oriented coaching, and group/team-based interventions.

8.3. Ombuds Dispute Resolution Services for Faculty is a confidential, impartial, informal and independent resource for addressing concerns about respectful campus interactions and for exploring the possibility of resolving difficulties at the least adversarial level. Services include confidential respectful consultations about experiences and concerns, discussion of options, information about policies and relevant UNM resources, collaborative problem-solving, and mediation. In the mediation process, the individuals decide if and how they will resolve their difficulties and they can write agreements for moving forward. These services are voluntary and are available to faculty at all levels and to faculty administrators. This office coordinates services with Ombuds Dispute Resolution for Staff, Ombuds Dispute Resolution for Graduate Students, and with the Dean of Students office as needs arise.

8.4. Ombuds Dispute Resolution Services for Staff provides constructive conflict management support for staff and faculty who supervise staff as described in UAP 3220 (<http://policy.unm.edu/university-policies/3000/3220.html>) "Ombuds Services and Dispute Resolution for Staff." This is an informal, confidential, impartial, and independent resource.

8.5. Ombuds dispute resolution services are available for graduate students at the Office of Graduate Studies. With the graduate student's permission, the Ombuds for Graduate Students coordinates with the Ombuds for Faculty or the Ombuds for Staff for any continued services.

8.6. The Dean of Students Office is available to undergraduate students for addressing concerns about respectful campus interactions.

History

April 25, 2017 – Amended policy approved by Faculty Senate

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

C10: Employment and Advanced Degrees

Policy

Approved by Faculty on March 9, 1976, by Regents on March 19, 1976. Amended in 1979.

1. Faculty Members

- a. No member of the faculty may be awarded an advanced degree by the University in the same department or degree program in which he or she is employed.
- b. Faculty members are encouraged to take courses outside their own departments, whether or not toward a degree. A master's degree may be sought in such a department by following all of the normal procedures applying to such a pursuit, with the provision that a full-time faculty member may not enroll for more than six hours per semester.
- c. Similarly, a Ph.D. degree in a clearly separate program in a different unit of the University may be sought, with the following additional provisions;
 1. advance written approval of the faculty member's department chairperson and college dean, with information copies filed with the Office of Graduate Studies and the Office of the Provost/Vice President for Academic Affairs;
 2. except during the Ph.D. residence semesters, maximum enrollment in any semester may not exceed six hours;
 3. during the two semesters of residence requirement the faculty member may:
 - a. take a leave of absence without pay, or
 - b. become part time, with an academic workload not to exceed half time;
1. during the residence semesters the faculty member must complete at least nine credit hours each semester or an equivalent program of study and research.

2. Graduate Students

- a. A qualified graduate student may, in accordance with the graduate policies of the University, be appointed as a teaching assistant or teaching associate, neither of which is a faculty rank, in the major department or, with the approval of both chairpersons involved, in a department other than the major.
- b.
 1. A graduate student, i.e., a student who is formally pursuing a graduate degree at this University and

who does not hold a faculty appointment, may not be given a concurrent faculty appointment in the same department or degree program. Where the student's degree program is not clearly departmentalized, faculty appointment is prohibited within the college or school awarding the degree.

2. A graduate student may be offered a faculty appointment outside his or her department and degree program only with the approvals of the Graduate Studies Dean and the Provost/Vice President for Academic Affairs, in addition to the normal department and college or school approvals. In such a case, the individual becomes a faculty member governed by section 1 above.

3. Paragraphs 2.b.(1) and (2) above also apply to graduate students during summer sessions, whether or not they are enrolled at the time.

C20: Employment of UNM Graduates

Approved by: Faculty Senate

Effective: November 28, 2017

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of Faculty Affairs and Services or Vice Chancellor for Academic Affairs

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) recognizes that it is important that UNM's faculty composition reflect wide-ranging viewpoints relevant to the missions of creation and dissemination of knowledge. Therefore, it is UNM's general policy that an individual who has received a terminal degree from UNM will not be hired as a member of the faculty in a position which may lead to permanent tenure, except if the hiring would greatly enhance UNM's academic, research, and public service mission. This Policy provides examples of instances that may qualify for this exception and the procedures for approval.

Policy Statement

At the discretion of the Provost or the Chancellor, an exception may be made to the general policy when the hiring would enhance UNM's mission. All hiring for positions which may lead to permanent tenure based on one of these exceptions must be approved in advance, in writing by the Provost or the Chancellor. Below are examples of instances when an exception might be granted.

Post Terminal Degree Experience:

Subsequent to the last degree at UNM, the individual has taken at least one academic year of advanced work at another reputable institution or has established himself or herself professionally elsewhere. Such work or professional experience must be in his or her teaching field.

Pre Terminal Degree Experience

A person who has taken a master's degree, its equivalent, or pursued other substantial graduate work at another reputable institution before receiving a more advanced degree at UNM.

Shortage of Qualified Individuals

A highly qualified UNM graduate in a field where there is an acute shortage of qualified individuals.

New Mexico Minority Doctoral Assistance Loan for Service Program

UNM has a commitment to hire participants in the New Mexico Minority Doctoral Assistance Loan for Service Program who complete their doctoral degree at UNM for positions which may lead to permanent tenure.

Applicability

All UNM faculty including the Health Sciences 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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Faculty
- Department Chairs, academic deans and other academic administrators and executives.

Related Documents

UNM Regents Policy Manual Policy 5.3 “Employment of UNM Graduates” (<http://policy.unm.edu/regents-policies/section-5/5-3.html>)

Faculty Handbook (<http://policy.unm.edu/regents-policies/section-5/5-3.html>)

Policy A53.1 “Policies Applicable to Faculty” (<http://handbook.unm.edu/policies/section-a/faculty/a53.1.html>)

Section B “Academic Freedom and Tenure” (<http://handbook.unm.edu/policies/section-b/>)

Contacts

Direct any questions about this policy to the Office of Faculty Affairs and Services or Vice Chancellor for Academic Affairs.

Procedures

The request for approval for hiring an individual who has received a terminal degree from UNM as a member of the faculty for a position which may lead to permanent tenure must be submitted to the Provost or Chancellor. The request must include an explanation of how the individual qualifies for the exception and how the hiring is in UNM's best interest.

History

Approved by Faculty on March 12, 1951

C30: Employment of Relatives

Policy

(Adopted by the Regents on 11/1/91; 10/15/95, 2/5/96, 5/15/03, 1/08/08)

Hiring officers may not hire or supervise a family member or a family member of a line supervisor without the advance approval of the President. For the purposes of this policy, family members are defined as any individuals related by blood, adoption, marriage, or living in the same household. This applies to all categories of employees, including regular, temporary, and on-call employees. If a change in an employee's family relationship results in a violation of this policy, the situation must be corrected within six (6) months through the transfer, resignation, or discharge of one (1) or more of the related employees. Any exceptions must be approved in writing by the President and the approval must be placed in the employee's official personnel file. (See [University Business Policies and Procedures Manual, Section 3210](http://policy.unm.edu/university-policies/3000/3210.html) for entire policy on Recruitment and Hiring. (<http://policy.unm.edu/university-policies/3000/3210.html>))

C35: Appointment and Continuation of Deans

Policy

(Adopted by the Faculty Senate, April 14, 1992;

Amended and reaffirmed by the Faculty Senate, February 25, 1997;

Amended and reaffirmed by the Faculty Senate, October 7, 1997;

Rewording to Section #3 was recommended by the Regents, November 13, 1997;

Amended and reaffirmed by the Faculty Senate, December 9, 1997;

Amended and reaffirmed by the Faculty Senate, March 22, 2011)

The following policy procedures will be utilized for the appointment, periodic review, and terms of office of deans and their administrative equivalents at the University of New Mexico. All appointment policies will be in accordance with affirmative action guidelines.

1. Deans will normally serve terms of five years. Administrative equivalents at branch campuses will also serve terms of five years.
2. Annual evaluations of the dean by faculty and chairs in the college shall be required and will be administered by the Faculty Senate. These evaluations shall be used by the Provost or Chancellor for Health Sciences for performance improvement and salary increment determinations for the dean. The results of the evaluations shall be made available to the Faculty Senate President by the end of the semester in which the evaluation is completed. The Faculty Senate President will review the evaluations of the appropriate Deans or equivalent persons with the Provost or with the Chancellor for Health Sciences.
3. Terms of office may be renewable. Appointments and reappointments to terms of office are to be made by the Provost or Chancellor for Health Sciences after consultation with departmental college faculty and chairs, University officers, and other such persons as they shall see fit. The consultation with college faculty and chairs shall include the taking of a vote by secret ballot on any potential appointment or reappointment. The vote shall be administered by the Faculty Committee on Governance. The results of the vote shall be transmitted to the Provost or Chancellor of Health Sciences and be made available to the faculty and department chairs of the respective college. Reappointment must also be guided by the stated willingness of the deans to continue in that position, the results of the evaluation in the fourth year, and the willingness of the faculty and chairs, evidenced by secret ballot, to have the deans continue in office. The appointment or reappointment of the Dean of Graduate Studies shall be made by the Provost after appropriate consultation with the Senate Graduate Committee, University officers, the graduate faculty, and other interested persons.
4. It shall be understood that a policy of terms of office for deans does not abrogate the long-standing policy of the University that deans serve in any college at the pleasure of the Provost or Chancellor for Health Sciences and that a dean's appointment and continuing appointment occurs with the advice of and in consultation with the faculty and chairs of the college. This means, simply, that deans may be replaced

during a term of office; also, they may resign.

Resolution of a disagreement: In the case of a disagreement between the administration and the faculty and chairs of a college, an amicable resolution will be found. A dean serves at the pleasure of the Provost or the Chancellor for Health Sciences, but a dean's appointment and continuing appointment occurs with the advice of and in consultation with the faculty and chairs of the college. A dean who has lost the confidence and support of his or her faculty and chairs cannot provide the positive leadership needed by the college.

C40: Appointment and Continuation in Office of Department Chairpersons

Policy

Adopted by the Faculty Senate on April 14, 1992; Amended and reaffirmed by the Faculty Senate on February 25, 1997; Amended and reaffirmed by the Faculty Senate on October 7, 1997; Rewording to Section #3 was recommended by the Regents on November 13, 1997; Amended and reaffirmed by the Faculty Senate on December 9, 1997

Preamble:

The following policy guidelines will be utilized for the appointment, periodic review, and terms of office of departmental chairs at the University of New Mexico unless a college faculty adopts a modified policy that would decrease the term by no more than one year. All appointment policies will be in accordance with affirmative action guidelines.

1. Departmental chairs will normally serve terms of four years. Administrative equivalents at branch campuses will also serve terms of four years.
2. Annual evaluations of the chair by faculty shall be required. These evaluations shall be forwarded to the dean, and shall be used in salary increment determinations for the chair.
3. Terms of office may be renewable. The initial appointments and reappointments to terms of office are to be made by the dean after consultation with departmental faculty, University officers and other such persons as he/she shall see fit. In the case of appointments to departments conducting graduate programs, consultation with the Dean of Graduate Studies will also be included. The consultation with departmental faculty shall include the taking of a vote by secret ballot on any potential appointment. Reappointment must also be guided by the stated willingness of the chairperson to continue in that position, the results of the evaluation in the third or penultimate year, and the willingness of the majority of the faculty, evidenced by secret ballot, to have the chair continue in office.
4. It shall be understood that a policy of terms of office for chairpersons does not abrogate the long-standing policy of the University that chairpersons serve in any college or school at the pleasure of the dean of that college or school. Additionally, a chair's appointment and continuing appointment occurs with the advice of and in consultation with the faculty. This means, simply, that the chairpersons may be replaced during a term of office; also, they resign.

Explanation:

As indicated in the preamble, any college or school may decide to decrease its term of office for chairpersons to three years.

Resolution of a disagreement:

In the case of a disagreement between the administration and the faculty in a department, an amicable resolution will be found. A chair serves at the pleasure of the dean, but a chair's appointment and continuing appointment occurs with the advice of and in consultation with the faculty. A chair who has lost the confidence and support of his or her faculty cannot provide the positive leadership needed by the department and college or school.

C50: Faculty Contracts

Policy

Contracts are usually issued during May or June for the following year. For most faculty members, contracts call for nine months of service (see Dates of Campus Duty).

Payments in every case are made in monthly installments, on the last working day of each month. Faculty members who are employed on a nine-month basis have the option of choosing payment of their salaries in ten or twelve installments. For example: for a given year, the first check is paid at the end of August; faculty members may decide whether they wish to receive their contracted salaries in twelve equal installments ending on July 31 or in ten equal installments ending on May 31.

The following procedure has been established for computing the salary of a faculty member whose period of employment (1) does not begin with the start of the academic year, or (2) ends before Commencement. Count the number of weeks of service and relate that number to 39 weeks in the nine-month academic year. Example A: A faculty member starts work in February on a date which is 14 weeks before Commencement; salary amount will be 14/39 of a nine-month base salary. Example B: A faculty member who starts work one week before classes begin, as is customary, finishes work at the end of the first semester; salary amount will be 50% of a nine-month base salary, and contract dates for one semester will include 19.5 weeks.

The contract of a person employed for the fiscal year administrators and certain faculty is written to indicate a 12-month period of employment, it being understood that a one-month vacation, i.e., annual leave on an accrual basis, is implicit in the agreement. One month here is construed as 21 working days, and a paid holiday in a vacation period is counted as a holiday and not as a day of vacation. While vacations will be granted whenever possible to satisfy individual requests, continuity of operations must be maintained. Consequently, vacation must be scheduled with the approval of the dean or director concerned.

For full-time faculty members on 12-month contracts: vacation is accrued at a rate of 1.75 days per month for a total of 21 days per year; to earn vacation during a given month, faculty must receive pay for at least twelve days during that month; faculty may accrue up to a total of 31.5 days.*

For part-time faculty members on 12-month contracts for at least 1/2-time but less than 3/4-time work, vacation is accrued at a rate of 7 hours per month for a total of 84 hours per year with maximum allowable accrual of 126 hours. For such persons working at least 3/4-time but less than full-time, the accrual rate is 11 hours per month, or 132 hours per year with a maximum allowable accrual of 189 hours. To earn vacation for a given month, 1/2-time employees must work a minimum of 48 hours in that month, and 3/4-time employees must work a minimum of 64 hours in that month.

Employees on 12-month contracts with the University who are terminating their employment are expected to take all accrued annual leave within the contract period. If, however, accrued annual leave extends

beyond the contract period, and if the employee has given adequate notice of termination, the employee's supervisor may request that an additional contract be issued to include payment of accrued annual leave (not to exceed 21 days for full-time faculty, 15.75 days for 3/4 time faculty, and 10.5 days for 1/2 time faculty.) Employees terminating employment for retirement purposes (under The New Mexico Educational Retirement Act) would be paid for the full unused annual leave credits not to exceed the maximum allowed accrual.

When a nine-month faculty salary is converted to a twelve-month salary, the nine-month salary is multiplied by 11/9. A twelve-month salary figure is converted to a nine-month salary by multiplying the twelve-month figure by 9/11. This procedure recognizes the different leave policies required by the contracts and compares nine months' work with eleven months' work, with no annual leave accruals for those on nine-month contracts and one month's annual leave within the twelve month contract.

For a person on a 12-month contract whose period of employment does not coincide with the start and end of the fiscal year (July 1-June 30), salary is computed as follows:

*Faculty members on 12-month contracts may not accrue annual leave while on sabbatical leave.

Divide the annual base salary by 12 and multiply the quotient by the remaining number of months in the budget year; i.e., a person employed on December 1 on an annual base salary of \$36,000 would receive a contract for \$21,000-\$3,000 per month for the 7 months remaining in the fiscal year.

C60: Visiting Scholars

Approved by: Faculty Senate

Effective: April 26, 2016

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of the Provost or 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

As a matter of academic tradition and courtesy, the University of New Mexico (UNM) welcomes on its campus scholars from other universities who, because of sabbatical or research opportunities, wish to spend a period of time on campus and to have an official affiliation with UNM during that period.

Policy Statement

When such affiliation takes the form of lectureships or visiting professorships, appointment procedures follow regular administrative channels. When a visitor wishes not to teach, but to conduct independent research, another form of appointment becomes appropriate. It is important to establish a clear understanding of the prerogatives and obligations of such visitors; therefore, this Policy Document provides procedures and guidance for the appointment process.

Applicability

Visiting Scholars to UNM.

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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Faculty
- Department Chairs, academic deans and other academic administrators and executives

Related Documents

None at this time.

Contacts

Direct any questions about this policy to the Office of Faculty Affairs and Services or the HSC Faculty Contracts Office.

Procedures

For the benefit of visiting scholars and faculty members who are asked or wish to promote such visits, the following procedures apply.

1. Appointments. Suggested titles are Visiting Scholar, Visiting Research Scholar in . . . (department or field). The visitor or the department should initiate the negotiations and work out the specific arrangement, subject to approval by the dean and Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences and the issuance of a letter of appointment by the latter.

2. Auditing of Courses. With the consent of the classroom teacher, Visiting Scholars should be allowed freely to audit UNM courses. At the discretion of the teacher or the department, such scholars may be invited to participate in fields of their competency, but no formal teaching or lecturing arrangements should be entered into without consideration having been given to the question of adequate compensation.

3. Departmental Affiliation. Traditionally, visiting appointments are made in academic departments. While other forms of affiliation are feasible (for instance with a college, the School of Law, or the School of Medicine), the chairpersons or deans most closely interested in such an arrangement should always have the opportunity of weighing the merits of the appointments. Therefore, they should be consulted, and if they concur, should have the privilege of writing the official letters of invitation. Depending on the inviting department's inclinations, such a visitor may be included in departmental activities, consistent with established UNM policies and regulations.

4. Financial Arrangements. It is important to specify in writing what the financial arrangements under a visiting appointment are to be, if any. Typically, if a scholar comes to UNM on his sabbatical with his own university's normal support, or with partial support from a foundation (such as a Guggenheim Fellowship), UNM should absorb the costs of making library resources or desk space available. If on the other hand the visitor is in a scientific or engineering field and expects to use UNM equipment for his research, other equitable arrangements should be mutually agreed to. If the visitor is officially sponsored by a government agency or foundation such as the National Science Foundation, the Conference Board of Associated Research Councils, or the Commonwealth Fund (the latter two bring foreign scholars to U.S. universities), then UNM should attempt to recover some of the administrative and other costs it incurs in having the scholar on campus. A contribution of perhaps \$500 might be solicited from the sponsor, to become available principally to the department of affiliation. Agencies and foundations are increasingly aware of the fact that such arrangements are equitable in the case of visiting scholars sponsored by them. The Provost/Executive Vice President for Academic Affairs or the Chancellor for Health Sciences should be responsible for negotiating such financial arrangements.

5. Foreign Visitors. The UNM Global Education Office should be involved from the very start in any plans for appointments of foreign scholars so that misunderstandings and embarrassments arising out of visa and immigration status can be avoided.

6. Housing. It is presumed that UNM will bear no responsibility for housing arrangements, and that dormitory space will not be made available to visitors.

7. Insurance. Prospective visitors should understand the importance of having health and accident insurance coverage in force while visiting UNM. Presumably their own home-campus coverage would extend to a stay here, but the appointing person at UNM should assure himself or herself that reasonable arrangements exist. This is particularly critical in the case of foreign visitors.

8. Records. It is beneficial that simple records of such appointments be centrally kept by the Office of Faculty Affairs and Services or the HSC Faculty Contracts Office. Where this is neglected, embarrassment may ensue. Visitors have been known to have stated, in good faith, that they spent Semester I of academic year "X" at University "Y," but when a prospective employer or a federal agency checks, no record of affiliation emerges.

9. Time. Typically, such appointments should only be considered where the stay is planned for a period longer than one month. It might be for one semester, but should not exceed one academic year.

History

April 26, 2016—Revised policy approved by the Faculty Senate.

C70: Confidentiality of Faculty Records

Policy

(adopted by the Faculty Senate 4/15/80 and the Regents 7/28/81) Revisions approved by the Faculty Senate 3/25/03 as recommended by the Academic Freedom and Tenure Committee; approved by the Faculty Senate 4/22/03; approved by the Regents 5/16/003; Revisions approved by the Faculty Senate October 27, 2009; approved by the Regents December 15, 2009.

Personnel files concerning faculty of the University of New Mexico, shall be gathered, retained, disclosed, and used by academic or administrative units of the University subject to the following rules:

1. Collection and Retention of Information

1.1 No more than one personnel file shall be maintained in each of the following locations:

- (1) the faculty member's department (or other primary academic unit),
- (2) the faculty member's college,
- (3) and/or in the office of the Provost or Vice President for Health Sciences.

Collectively, these documents are referred to in this Policy as "faculty personnel files." Designated faculty personnel files must include any written information used to any degree in making a decision concerning the employment, rank or status of a faculty member.

Faculty personnel files shall be compiled or retained by an academic or administrative units of the University solely for the purposes of administering the University personnel system, including the consideration of promotion, tenure and separation from employment.

1.2 An item of information may be introduced into a faculty personnel file only if accompanied by written identification of the source of the information subject to the right of peer or student evaluators to keep their identities confidential from the faculty member evaluated as provided in section 2.2.

1.3 Administrators with responsibility for the creation of faculty-personnel identified in 1.1 above are responsible to maintain the file and its security during the faculty member's employment at the University and at least five years thereafter (files of emeritus faculty shall be maintained during the faculty member's lifetime and at least two years thereafter).

1.4 The administrative officer responsible for maintaining faculty personnel files shall notify faculty in writing of any material deleted from their faculty personnel files, the nature of the material and the reason for the action. In a similar manner, faculty shall be notified in writing of any material added to their file(s) with respect to which they have not been copied. Faculty members have the right to know and the responsibility to examine their personnel files. However, as defined in sections 2.2 and 2.3, faculty cannot have access to confidential information.

2. Access to Information by the Faculty Member

2.1 Each faculty member has the right to inspect and review without unreasonable delay by the university (normally within two weeks) any record or file maintained on him or her by the University subject to the provisions of this Policy and any limitations imposed by law. If additional time is needed to produce a record for inspection, the faculty member shall be informed in writing of the reason for the delay and the date such record will be available. Each faculty member has the right to challenge the accuracy of any item of information in her or his faculty personnel file, including the right to introduce rebuttal statements or evidence into the files. The faculty member may request the administrative officer of the unit maintaining the file to amend or delete any item of information contained in the file. The administrative officer shall respond to a faculty member's request within two weeks, and if the request is denied, shall state in writing the reasons for the denial. The decision of the administrative officer must be approved by the Dean and the Provost's Office/Vice President for Health Sciences.

2.2 The University respects the desire of many authors of faculty evaluations to keep their identities confidential, including from the faculty member being evaluated. Such matters of opinion include letters of reference for employment, internal peer evaluations of a faculty member, student evaluations, letters received from peer reviewers outside the University, as well as those portions of the recommendations of the faculty member's chair or dean or the Associate Provost that may reveal the identities of peer or student evaluations.

a. If a faculty member makes a request to review and/or copy such evaluations, an academic administrator, prior to permitting such review or copying, shall redact material that may reveal the identity of the author. If it does not appear feasible to protect the identity of the author through redaction, the document may be accurately summarized in writing for the faculty member instead. If the author of an evaluation submits a written waiver of confidentiality, the evaluation may be reviewed or copied by the faculty member without redaction. If requested by the faculty member, a member of the Provost/VPHS office and a member of the Committee on Academic Freedom and Tenure designated by the Chair of the Committee shall verify the accuracy of the redacted or summarized documents.

b. If such information is requested by a third party, the faculty member shall be advised of the request prior to the release of the information.

2.3 To the extent information is confidential under this Policy, or privileged under law (for example, materials subject to attorney-client privilege), it shall not be available for inspection by the faculty member. Such information shall be retained separately and shall be available for inspection only by University officials

whose duties make it necessary for them to know the particular information. In the case of privileged information, the administrative officer of the academic or administrative unit maintaining the files shall introduce a memorandum that states the nature of the privileged information, its date and source and the type of privilege asserted.

3. Public Access to Information about Faculty Members

3.1 Any person is entitled to the following public information maintained by the University concerning a faculty member: present position, department, salary, dates of employment, and curriculum vitae, including educational qualifications, past employment, progress at the University (initial employment, promotions, attainment of tenure, sabbaticals), publications, news items, awards and achievements. A faculty member may give written authority for the release of other information, said letter to be maintained in the faculty member's faculty personnel file.

3.2 Other than as provided in Section 3.1, records or information concerning a faculty member shall be made available by the custodian of a file of record only to those members of the University who have an official role in the evaluation of that faculty member for purposes of employment, rank, status, salary, or other such decisions and whose role makes it necessary for them to know the contents of that faculty member's file.

3.3 All requests for information from persons who are not members of the University shall be referred to the University Custodian of Public Records, which will coordinate a proper response with the appropriate Faculty Contracts Office. The Custodian shall attempt to advise the faculty member by email and his or her telephone number of the request for the release prior to the release of any records. In coordination with the Custodian, the appropriate Faculty Contracts Office shall make available for inspection upon request the releasable information concerning a faculty member. A record of the name and address of any member of the public making such request shall be kept in the faculty member's faculty personnel file at the Provost/VPHS office and be available for inspection by the faculty member.

C80: Faculty Office Hours

Policy

It is expected that each faculty member will be available for student consultation at regular hours. These hours are to be posted on the faculty member's door. Although the situation will vary among departments and individuals, a total of from three to five hours per week is recommended. If only a single hour is to be set aside for a given day, it should be chosen to cover parts of two class periods to accommodate more students.

C90: Dates of Campus Duty

Policy

Except for authorized holidays, vacations, or other recesses listed in the academic calendar or otherwise announced, it is the obligation of each faculty member to perform all assigned duties and commitments within the period designated by the beginning and ending dates of service in a particular contract period. Standard faculty appointments are for the academic or fiscal year. For academic appointments, faculty members will be notified of the date they are expected to be available for duty. (Normally, one week before the start of Monday classes at the beginning of each regular semester.) The period of duty for department chairpersons, if different from that of other faculty members will be as determined by the several colleges and schools.

C100: Academic Load

Policy

(Amended and reaffirmed by the Faculty Senate, October 23, 2012)

The term “academic load” includes all the officially recognized University duties carried out by members of the tenured and probationary faculty, including branch faculty, and excluding Health Sciences Center faculty, at any given time. It is the sum of teaching, scholarly work, and service, as described and defined in Section B 1.2.1-1.2.3 of this Faculty Handbook. Academic programs, units, departments, centers, etc. shall all hereinafter be referred to as “departments”.

The typical teaching load each semester is evaluated by department chairs annually on a scale of 0 to 18 load units according to standards set by the faculty of the department and approved by the cognizant Dean. Policy C110 of the Faculty Handbook, “Teaching Assignments”, indicates that the “typical” teaching load will be 9 load units per semester as defined by the formula available in the Office of the Provost/Vice President for Academic Affairs.

The normal scholarly work load each semester is to be evaluated by department chairs annually and will be measured on a scale of 0 (no scholarly work) to 18 load units (outstanding performance) according to standards set by the departmental faculty and approved by the cognizant Dean. A “typical” scholarly work load will be 9 load units per semester.

The typical service load each semester is also evaluated by department chairs annually, but on a scale of 0 (no service) to 10 (outstanding service) according to standards set by the departmental faculty and approved by the cognizant Dean. A “typical” performance of service will be 5 load units per semester.

The “typical” academic load as defined herein and referenced in policy C110 will be 23 load units, which is the sum of 9 teaching load units, 9 scholarly work load units, and 5 service load units. For any given faculty member, the typical academic load of 23 load units each semester can be achieved by different mixes of load units from the three work categories, above. For department and school/college administrators, such as department chairs, the academic load will be determined by the Deans using units which are suitable substitutes for those provided here for teaching and research, in order to recognize the efforts of these faculty in academic administration. (See also "Teaching Assignments" [C110 \(/policies/section-c/employment-appointment/c110.html\)](#), *Faculty Handbook*).

C110: Teaching Assignments

Policy

(Approved by Faculty Senate 12/6/77; by the Regents 1/24/78)

1. This policy has been developed pursuant to the resolution of the Regents at their meeting 13 June 1977.
2. Faculty "teaching" assignments are measured in "load units" as defined and calculated in accordance with the University's load formula. The term "load unit" as used in this policy is defined by that formula as currently revised (now the Ninth Revision, 8 September 1975).
3. "Instructional faculty FTE" measures the percentage of time charged to an instructional budget. A portion of the time of faculty-administrators and of faculty engaged in contract research or projects is charged to other budgets. The guidelines in paragraph 5 relate to the teaching assignments of full time faculty members (1.00 FTE), i.e., those whose salaries are charged entirely to instructional budgets. The teaching assignments of faculty members charged in part to instructional budgets (less than 1.00 FTE) would be modified proportionately.
4. The guidelines established in paragraph 5 do not apply to the School of Medicine or to library faculty members. Separate policies will be developed for these groups.
5. The following guidelines are established with respect to minimum* teaching assignments (Section I of the load formula):
 - 5.1 A full-time faculty member normally shall be assigned a minimum teaching load of nine load units each semester.
 - 5.2 In all cases in which it is proposed that a full-time faculty member be assigned a semester teaching load of less than nine load units (but at least six load units), advance approval by the dean of the faculty member's college shall be required. For the 1978-79 school year, advance approval of Office of the Provost/Vice President for Academic Affairs shall also be required. (On 1/19/79 the Regents extended this requirement to include the 1979-80 school year.
 - 5.3 Any reduction in teaching load below six load units shall be granted only with the advance approval of the Office of the Provost/Vice President for Academic Affairs.
 - 5.4 It is recognized that in rare cases, a teaching load of nine or more load units may be planned for a faculty member, but that the required minimal teaching load of nine load units may in fact not materialize because of a shortfall in student enrollment. This should be the only circumstance in which the teaching load of a full-time faculty member will be less than nine load units, except with the advance approval of the appropriate dean's office. Departments, schools and colleges should be prepared to explain load reductions of this kind and present plans to minimize their repetition.
 - 5.5 At the end of each semester each dean shall report to the Provost/Vice President for Academic Affairs a list of the names of all persons to whom reduced teaching loads have been assigned with the justification for each.

5.6 Justification for reduced teaching loads may include (but not be limited to) the following:

5.61 exceptional current productivity in scholarship, research, and/or creative work;

5.62 released time for development of contract research proposals;

5.63 released time for course or curriculum development;

5.64 special administrative assignments or exceptionally heavy committee assignments; and/or

5.65 load reduction in compensation for a teaching overload in an alternate semester.

5.7 The Office of the Provost/Vice President for Academic Affairs shall review all decisions by deans to allow reduced teaching loads to assure that the justifications used were adequate and that approval of such assignments in the future will not have the effect of creating or continuing unjustifiable inequities in faculty teaching loads among the departments, schools, and colleges. It is an expected result of this policy and the required review that a faculty member will not regularly be released from the obligation of carrying nine teaching load units.

C120: Summer Session Teaching

Policy

The Summer Session offers a wide range of course selections in most of the academic divisions of the University. Regular Summer Session courses last for eight weeks and run from early June to late July, leaving roughly a two-week break after commencement and another two-week interval before the beginning of the first semester. Faculty members are generally limited in teaching during the summer to two out of three consecutive years or according to a department plan.

Regular contract faculty will be remunerated for teaching an eight-week summer course based on a set amount per three credit hours, which will be adjusted for more or less credit hours or based on a maximum specified each summer for a full load of six semester hours.

Generally, adjunct, visiting faculty and emeriti faculty are paid within the salary guidelines established in each college used for Temporary, Part-time Faculty during the academic year.

The total FTE, which includes any teaching, summer research and outside consulting, of a faculty member during any given week of the Summer Session cannot exceed 125% from all sources.

C130: Outside Employment and Conflicts of Commitment

Policy

Approved by the Regents, 4/30/08

Employment as a full time, tenured, probationary, or clinician educator faculty member at the University of New Mexico requires an individual's full time professional commitment and expertise. Notwithstanding this, and subject to certain restrictions, full time faculty members of all types are subject to this policy and are encouraged to engage in appropriate outside professional activities that will enhance their professional growth and reputation. Outside activities such as writing, consulting, lecturing, and similar outside endeavors contribute to the quality of both instruction and the scholarly or creative work of the faculty, bring great credit to the University and may contribute to the economic development of the state.

Conflict of Commitment

The University of New Mexico has adopted in the Faculty Handbook (Section B, Appendix V) the *Statement on Professional Ethics* of the American Association of University Professors, which includes the statement "Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it." In particular, a "conflict of commitment" exists when the external professional activities of the faculty member are so extensive and demanding of time and attention as to interfere with the individual's responsibilities to the unit to which the faculty member is assigned by contract, to students, or to the University. In particular, the total time spent in outside employment may not exceed the equivalent of one workday per seven day week during the contract period. For faculty members with nine-month contracts this is the equivalent of 39 work days, and for faculty members with twelve-month contracts this is the equivalent of 52 work days per contract period.

Outside Consulting

In outside employment faculty members are paid directly by the outside entity and the University is not concerned with the amount of earnings. However, a faculty member should charge fees similar to those charged by firms or individuals doing comparable work, except when advice or services are given free in the public interest.

Prohibited Activities

Faculty members should not provide consulting or other services to an outside entity when those services would conflict or be in competition with services offered by the University itself. In undertaking outside employment the faculty member may not make use of University facilities, equipment, or personnel without prior written approval from the head of the unit responsible for the facilities or personnel. When necessary the Associate Vice President of Business/Comptroller shall determine to what extent the University shall be reimbursed for such use. Work of a routine or repetitive nature such as tests, assays, chemical analyses,

bacteriological examinations, etc. which involve use of University property is prohibited except where it is considered in the public interest and where facilities or personnel for doing such work exist only at the University.

University titles, offices, addresses, and telephone numbers may not be used in city directories or similar publications for the purpose of publicizing non-University interests. Consultants must make it clear to outside employers that the work to be undertaken has no official connection with the University. The University cannot assume any responsibility for private consulting activities provided by members of the faculty.

Exceptions for Remunerated Scholarship

It is not the intent of the University to restrict expected scholarly activities of faculty members. In some disciplines, such as the performing arts, professional activity may be remunerated. In many disciplines scholarly service activities such as reviewing, colloquia presentations, etc., are compensated by small honoraria beyond expenses. Such activities, referred to as "remunerated scholarship" generally relate to research or creative work that is expected in a faculty member's discipline. Teaching outside the contracted department for compensation [see Policy C140] (</policies/section-c/employment-appointment/c140.html>) is not considered to be remunerated scholarship. Such activities would normally be added to a c.v. and be considered in promotion, tenure, merit pay, etc. Activities of remunerated scholarship need not be reported and the hours so spent do not count against the 39 or 52 workday limit unless the Chair or Director finds the extent of such activities threatens a faculty member's ability to carry out his/her regular University duties. In this case approval to continue this activity should be sought.

Reference: See also [Regents Policy Manual 5.5](http://policy.unm.edu/regents-policies/section-5/5-5.html) (<http://policy.unm.edu/regents-policies/section-5/5-5.html>)

COMPLIANCE

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

PROCEDURES REGARDING OUTSIDE EMPLOYMENT

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

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

C140: Extra Compensation Paid by the University

Policy

Approved by the Regents, 12/13/73; 10/14/03; 4/30/08

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

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

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

b) Advance approval in writing is given by the Chair of the faculty member's contract department and the Dean or Director of the College or School that houses that department;

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

i) Conflict in time with regular University duties and assignments;

ii) Constitute a "conflict of interest" situation for the faculty member;

iii) Come within the scope of the faculty member's regular responsibilities for which compensation is already being paid.

2. The work for extra compensation does not count against the workdays allowed for outside employment. (See Policy C130) (</policies/section-c/employment-appointment/c130.html>).

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

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

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

Reference: See also [Regents Policy Manual 5.6](http://policy.unm.edu/regents-policies/section-5/5-6.html) (<http://policy.unm.edu/regents-policies/section-5/5-6.html>)

COMPLIANCE

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

PROCEDURES REGARDING EXTRACOMPENSATION

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

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

C150: Political Activities of UNM Faculty

Policy

(Approved by Faculty April, 1970: approved by Regents September, 1970)

1. The college or university faculty members are citizens and, like other citizens, should be free to engage in political activities so far as they are able to do so consistent with their obligations as teachers and scholars.
2. Many kinds of political activity (e.g., holding part-time office in a political party, seeking election to any office under circumstances that do not require extensive campaigning, or serving by appointment or election in a part-time political office) are consistent with effective service as members of a faculty. Other kinds of political activity (e. g., intensive campaigning for elective office, serving in a state legislature, or serving a limited term in a full-time position) may require that the professor seek a leave of absence from the University.
3. In recognition of the legitimacy and social importance of political activity by faculty members, the University should provide institutional arrangements to permit it, similar to those applicable to other public or private extramural service. Such arrangements may include the reduction of the faculty member's workload or a leave of absence for the duration of an election campaign or a term of office, accompanied by equitable adjustment of compensation when necessary.
4. Faculty members seeking leave should recognize that they have a primary obligation to the University and to growth as educators and scholars, and they should be mindful of the problem which leaves of absence can create for administration, colleagues, and students. If adjustments in their favor are made, such as a reduction of workload, they should expect them to be limited to a reasonable period. A leave of absence should be sought by anyone who becomes or anticipates becoming overly committed to either a major political campaign, an appointive post in an agency of government, an elective position in public office, or to any political activity which results in interference with University function. Such leave should not be automatic and should be governed by the priority needs and considerations of the department, school, college, or division concerned.
5. A leave of absence incident to political activity should come under the University's normal rules and regulations for leaves of absence. Such a leave should not affect unfavorably the tenure status of a faculty member, except that time spent on such leave from academic duties need not count as probationary service. The terms of a leave and its effect on the professor's status should be set forth in writing.
6. All such activity, except that clearly of a consultative nature or under contract through the University and which is directly in the field or fields of one's professional competencies, should be entirely disassociated from one's University relationship. By this is meant that the faculty member should not create the impression that he/she is acting either for, in behalf of, or with the approval of the University rather than as an individual citizen. Also, care should be taken not to use University supplies, postage, or clerical time for such activities.

7. An advisory opinion may be requested from the Academic Freedom and Tenure Committee about the meaning or application of this policy.

Political Activity Guidelines

The following guidelines apply to all UNM employees who are candidates or who campaign for candidates for political office:

1. Campaigning during work hours at the University is prohibited.
2. University supplies or equipment for campaign purposes may not be used.
3. Personal political views or views of any candidate may not be represented as being those of the University.
4. Employee mailing labels (either home or office addresses) will not be produced by the University for distributing campaign materials. (A candidate may obtain addresses from the UNM student, faculty, staff directory or other published address lists.)
5. Campaign material will not be distributed through Campus Mail unless it has been received from a federal post office and is properly postmarked. Campus Mail may not be used internally to distribute campaign literature.

See also "Political Activity" Policy **3735** (<http://policy.unm.edu/university-policies/3000/3735.html>), *University Business Policies and Procedures Manual* and "Political Activity of Employees," Section **6.5** (<http://policy.unm.edu/regents-policies/section-6/6-5.html>), *Regents' Policy Manual*

C170: Endowed Chairs and Named Professorships

Approved by: Faculty Senate

Effective Date: October 15, 2013

Responsible FS Committee: Operations

Office Responsible for Administration: Office of Faculty Contracts

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

Policy Rationale

Because the strength of a great university resides in its faculty, the identification, recruitment, appointment, and support of faculty members is a major priority of the University of New Mexico (UNM). Endowed chairs and named professorships enable UNM to attract and retain faculty members who have outstanding records of scholarly work and/or teaching. These positions, secured at least in part by an endowment, are recognized as the most prestigious honor UNM can award its best accomplished faculty.

Policy Statement

Endowed positions are established and named by the UNM Board of Regents after recommendations by the President, who will consult with the Faculty Senate and the Provost/Executive Vice President for Academic Affairs or the Chancellor for the Health Sciences Center (HSC), as appropriate. These officers, in turn, will consult with the appropriate dean, department chair, and the faculty in the disciplinary area of the contemplated position. The parameters of the positions will be governed by standard UNM faculty personnel regulations as set forth in the *Faculty Handbook*, together with a donor agreement negotiated by the UNM Foundation and the donor or donor's estate. Before accepting an endowment the Board of Regents, President, the Provost or HSC Chancellor, and the relevant department chair or program director will carefully consider the appropriateness of the proposed position. Not all proposed gifts or names may be appropriate to accept.

The selection of external candidates for endowed chairs or named professorships will occur through nationally competitive searches or alternative procedures as allowed by the normal faculty appointment processes, overseen by the UNM Office of Equal Opportunity (see Section III, OEO Faculty Hiring Guidelines). The search committees will be constituted in the usual way, except that the Faculty Senate, Provost or HSC Chancellor, and the donor may suggest one or more additional members. A majority of the members of the search committee must be full-time UNM faculty, and departments or units in which the appointment is made may vote to limit the number of non-faculty members. While a donor may suggest potential candidates, UNM retains the responsibility and authority to name the successful candidate and confer the rank and/or tenured status according to its existing standards and by its existing procedures.

For internal appointments, each college or school shall establish and utilize its own procedures for awarding endowed chairs and named professorships.

Applicability

All UNM academic faculty and administrators, 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 or reduce the leave time taken by one-half 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 Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Who should read this policy

- Board of Regents
- UNM Foundation officers
- Academic deans and other executives, department chairs, directors, and managers

Related Documents

UNM Regents' Policy Manual:

Policy 2.11 (<http://policy.unm.edu/regents-policies/section-2/2-11.html>) "Naming University Facilities, Spaces, Endowments, and Programs"

Policy 5.18 (<http://policy.unm.edu/regents-policies/section-5/5-18.html>) "Endowed Faculty Chairs"

Policy 7.13 (<http://policy.unm.edu/regents-policies/section-7/7-13.html>) "Receipt and Investment of Gifts to the University"

Faculty Handbook:

Section B ([/policies/section-b/index.html](http://policies/section-b/index.html)) "Policy on Academic Freedom and Tenure"

University Business Policies and Procedures Manual:

Policy 1020 (<http://policy.unm.edu/university-policies/1000/1020.html>) "Naming Facilities, Spaces, Endowments, and Programs"

Policy 1030 (<http://policy.unm.edu/university-policies/1000/1030.html>) "Gifts Made to the University"

Policy 7500 (<http://policy.unm.edu/university-policies/7000/7500.html>) "Endowments"

Office of Equal Opportunity:

“Faculty Hiring Guidelines” (http://www.unm.edu/~oeounm/_hiring/FacHireGuidelines07252011V3.pdf)

Contacts

Direct any questions about this policy to your chair and/or dean or the [Office of Faculty Contracts](#)

(<http://ofas.unm.edu/>).

Procedures

Holding an endowed chair or named professorship does not affect the faculty member’s existing UNM appointment, which may therefore be permanent or visiting, probationary or tenured, at an appropriate rank. It is envisioned that most of these honorific appointments will accrue to tenured full professors, although certain temporary or rotating positions are also possible.

Unless the donor agreement specifies otherwise the initial appointment period for endowed chairs and named professorships will be for a specific term, not to exceed five years. Faculty members holding these positions are subject to the normal faculty review procedures as described in the Faculty Handbook . If the cumulative reviews on multi-year accomplishments are satisfactory, the appointment may be continued for another agreed-upon term, which is eligible for further renewal. Otherwise the appointment may be transferred to a new occupant, with the previous occupant, assuming he or she is tenured, retaining his or her normal UNM appointment.

The holder of an endowed chair or named professorship is responsible for fulfilling the duties set forth in the donor agreement at the initiation of the appointment. This will in all cases at least include an annual report of scholarly and/or teaching activities which will be made available to the appropriate chair, dean, Provost or HSC Chancellor, the UNM Foundation, and the Regents upon request.

History

October 7, 2013—Approved by the UNM Faculty Senate in an online ballot.

C180: Special Administrative Component

Approved by: Faculty Senate

Effective Date: August 27, 2013

Responsible FS Committee: Policy and Operations

Office Responsible for Administration: Office of the Provost and HSC VC Academic Affairs

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

Policy Rationale

This policy is designed to ensure appropriate oversight, fairness, and transparency in the establishment and allocation of Special Administrative Components. A Special Administrative Component (SAC) is a salary amount, in addition to base salary, which is designed to provide incentive to and compensation for a faculty member who is willing to take on extra administrative duties. This policy is applicable to SACs and other similar salary components that are paid to faculty members for carrying out certain specified administrative duties.

Policy Statement

SACs cannot be paid for work that is considered a normal part of faculty service workload, for example, serving on search committees or other assignments that are limited in scope and time, and for which special qualifications are not required. All SACs are incorporated into faculty contracts, and thus are ultimately approved by the Office of the Provost or the Chancellor for Health Sciences as a part of the faculty contract approval process.

Colleges and other administrative units which award SACs must have written policies that specify the type of administrative work for which a SAC may be awarded; how the compensation is determined, including a standardized payment scale to ensure equity; and established SAC terms and criteria for renewals. These policies must be approved by the Office of the Provost or the Office of the Chancellor for Health Sciences, and be available for review in the offices awarding the SACs (e.g. offices of the chair, dean, director or other administrator).

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 the Policy Heading.

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

Special Administrative Component (SAC). A SAC is a component of a faculty member's salary that is paid to the faculty member for carrying out certain specified administrative duties that are in addition to the faculty member's non-administrative duties.

Who should read this policy

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

Related Documents

Faculty Handbook:

Policy C50 (</policies/section-c/employment-appointment/c50.html>) "Faculty Contracts"

Policy C140 (</policies/section-c/employment-appointment/c140.html>) "Extra Compensation"

Related HSC Procedures

Contacts

Direct any questions about this policy to the Office of the Provost or the Office of the Chancellor for Health Sciences, as appropriate.

Procedures

1. SACs are generally built into departmental budgets and based on historical labor-cost calculations. In some cases they are set by negotiation to persuade a faculty member to assume a particular responsibility. For administrative efforts within an academic department, the chair normally sets the value of each SAC, and the college or school deans review and approve the departmental SACs; for deans and directors the Provost or the Chancellor for Health Sciences sets the value of the SAC. For SACs awarded in independent centers and institutes, and for cross-college activities, SAC recommendations may be made collaboratively by appropriate administrative officers; these recommendations require approval by the Provost or the Chancellor for Health Sciences. The Chancellor for Health Sciences may define different procedures and guidelines for HSC SACs provided they are consistent with items 2, 3, 4, and 5 below.
2. The Office of the Provost or the Chancellor for Health Sciences has the responsibility to approve all SACs. Therefore, guidelines governing the creation and administration of SACs are set by those offices. The following guidelines set the appropriate values, eligibility requirements, and processes

for initiating and terminating SACs. Equity considerations and the tracking and reporting of SACs are functions of those offices as well. The Associate Provost for Academic Personnel or the HSC Vice Chancellor for Academic Affairs is charged with implementing and monitoring these guidelines.

3. Colleges and other administrative unit policies should include the following:
 - a. The work and title for which the SAC is awarded should be specified (this should make clear the duties and responsibilities connected with this work).
 - b. A compensation amount should be assigned to the SAC; this amount could be based on the following factors: the numbers of people being managed (faculty, staff, graduate/undergraduate students); budget; grants administered by the unit; and special programs or projects which have impact and contribute to the larger University mission. If other factors are used, these should be clearly identified.
 - c. The compensation amount referred to in 3.b. should derive from a general standardized payment scale; the amount of the SAC should reflect the factors identified in 3.b., and in the interests of equity should be awarded consistently. (The amounts could be a set dollar amount or a range, or the SAC could be a set percentage of base pay.)
 - d. The term of the SAC should be defined, and criteria for renewals should be clear. Once the term of service is complete, the SAC will also end.
4. In practice, when a SAC is awarded, the request to create the appropriate faculty contract should include a brief description of the specific qualifications of the individual for the carrying out the duties and responsibilities as described above. That request should also include the term of the SAC.
5. At the end of each fiscal year the Office of the Provost or the Office of the Chancellor for Health Sciences will submit a report to the Faculty Senate Operations Committee that lists all SACs. This report will be posted on the Provost's and Chancellor's websites. The report will include each faculty member's name, college or school, amount of SAC, and purpose of the SAC.

History

August 27, 2013 – Approved by the Faculty Senate.

C190: Lecturer Annual and Promotion Reviews

Approved by: Faculty Senate

Effective Date: February 19, 2015

Responsible FS 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

This document provides policies and procedures for annual reviews of lecturers and for promotion requirements for Senior and Principal Lecturers in accordance with **Section B: Academic Freedom and Tenure** (</policies/section-b/index.html>), 2.3.2, 3.4.2, and 4.10.

Policy Statement

A. Lecturers, Senior Lecturers, and Principal Lecturers

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

1. Lecturer

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

2. Senior Lecturer

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

(b) Appointment at, or promotion to, the rank of Senior Lecturer represents a judgment on the part of the department, School or College, and University that the individual has made and will continue to make sound contributions in their professional areas. The appointment should be made only after careful investigation of the candidate's professional and leadership accomplishments and promise.

3. Principal Lecturer

(a) Senior Lecturers with at least eleven years of continuous service to the University at 0.5 FTE or greater who have sustained consistently high standards in their professional contributions, consistently demonstrated their wider service to the University community and its mission, and shown a conscientious

interest in improving their professional skills. It is expected that Principal Lecturers will continue to develop and mature with regard to their professional activities and leadership within the University.

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

B. Term Appointments and Performance Reviews

1. Annual Performance Reviews of Lecturers. All Lecturers will have annual performance reviews, which should be conducted according to **Section B: Academic Freedom and Tenure** (<http://handbook.unm.edu/section-b/b4.html>), **4.0** of the *UNM Faculty Handbook* and as specified in this document, as appropriately modified by each School, College, Department or equivalent to conform with each unit's standard faculty review processes and to reflect each unit's specific requirements for continuation and promotion of Lecturers. The annual review in the first year must be conducted in the spring, in time for the Chair to provide written notice to the Lecturer no later than March 31 whether the Lecturer's contract will be renewed. In the second and subsequent years, the review must be conducted in the fall, in time for the Chair to provide written notice to the Lecturer no later than December 15. The Department Chair's written notice to the Lecturer will be copied to the Dean for inclusion in the Lecturer's personnel file.

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

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

Lecturers on two- or three-year term appointments will have annual performance reviews every fall. A negative review in the first year of a two- or three-year term appointment – or in the second year of a three-year term appointment - will result in a written remedial plan with specific requirements. A negative review

in the second year of the two-year term appointment - or in the third year of a three-year term appointment - may result in a decision not to renew the appointment. Written notice of this decision must be given to the Lecturer no later than December 15.

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

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

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

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

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

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

- Promotion to Principal Lecturer.
- A renewable three-year term appointment.
- A salary increase that is consistent with the policies and practices of the HSC, the College or School, and the Department.
- The opportunity to apply for a one-semester of academic leave(See **Policy C250** (<http://handbook.unm.edu/section-c/c250.html>))with pay to pursue other academic and/or professional opportunity activities. A Principal Lecturer will subsequently be eligible to apply for such leave every six years.

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

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

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

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

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

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

A Lecturer may appeal an unfavorable promotion decision by the Provost or Chancellor for Health Sciences, as delineated in **Section B: Academic Freedom and Tenure** (</policies/section-b/index.html>), **6.2** the *Faculty Handbook*.

Applicability

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

Definitions

No specific definitions are required for this Policy.

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

Who should read this policy

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

Related Documents

UNM Faculty Handbook

Section B: Academic Freedom and Tenure (</policies/section-b/index.html>), 2.3.2, 3.4.2, and 4.10.

Policy C250 (<http://handbook.unm.edu/section-c/c250.html>), “Academic Leave”

Contacts

Direct any questions about this policy to the Office of the Provost or the Office of the Chancellor for Health Sciences, as appropriate.

Procedures

Each college or school is responsible for developing detailed procedures for implementation of this policy. These procedures require approval by the college/school faculty members and dean, with final approval by the Provost or Chancellor for Health Sciences.

History

November 26, 2013—Approved by Faculty Senate

C200: Sabbatical Leave

Policy

(Approved by Faculty on 3/12/74, 4/8/75 and 5/10/78; approved by Regents on 3/14/74, 2/1/75, 5/18/75, 8/29/78 and 5/14/04; approved by Faculty on 4/3/04 and 5/14/04)

1. The principle of sabbatical leave has been approved by the Faculty and the Regents of the University as a basic policy. Faculty who qualify have the right to apply for sabbatical leave. Its main purpose is to encourage professional growth and increased competence among faculty members by subsidizing significant research, creative work, or some other program of study that is judged to be of equivalent value.
2. The plan provides several options of sabbatical leave for service in the University under certain conditions enumerated below. It is understood, however, that such leave will not be granted automatically upon the expiration of the necessary period of service. Rather, the faculty member shall present, as part of the application, evidence of recent sound research, creative activity, or other academic achievement, including publications, to support the program of work which is planned for the sabbatical period. Also, this program shall give reasonable promise of accomplishing the major purpose of the leave, cited in item (1) above. Sabbatical leave will not be granted to subsidize graduate work or work on advanced degrees.
3. Sabbatical leaves will be approved only with the clear understanding that the faculty member will at the completion of the sabbatical return to the University for a period of service at least as long as the duration of the leave.
4. One-semester leaves ordinarily shall be taken in Semester II when loads and enrollments are lighter.
5. As a general rule, the regular faculty members of the department concerned will be expected to absorb the teaching load of the individual on leave, and the departmental chairperson (or the dean in non-departmentalized colleges) shall present with each recommendation for sabbatical a statement of the planning in this regard. A department may, for example, decide to alternate courses or to cancel certain offerings. Further, it is expected that the department shall prepare its program over a period of years so that essential courses need not be neglected because of the temporary absence of a member of the staff.
6. To avoid adverse effects on the educational objectives of individual departments, the administration finds it necessary to place a practicable limit on the number of sabbatical leaves granted in any one department for any one semester or academic year (see footnote #1 below). Sabbatical leaves will be granted according to the following criteria:
 - (a) Normally the number of concurrent sabbatical leaves in any one department* shall not exceed one-seventh (1/7) of the tenured members of the department (rounded to the next higher whole number) or one-tenth (1/10) of the budgeted FTE faculty members (rounded to the next higher whole number), whichever is larger.
 - (b) The number of concurrent sabbatical leaves in any department* may be held below the maximum permitted in paragraph 6(a) if in the judgment of the chairperson, dean, and Deputy Provost such restriction is necessary in order that the program of the department* not be adversely affected. The sabbatical leave request for any qualified faculty member may not be denied more than twice for this

reason.

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

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

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

8. Approval of Application: Primary responsibility for determining the merit of a proposed program from the point of view of the validity of the program and the probable value of the program to the faculty member and to the University lies in the department and should be accomplished by a departmental committee. The departmental chairperson shall forward to the dean the departmental evaluation together with the chair's recommendation and a statement as to how the teaching obligations of the department will be achieved in the event the proposal is approved. The dean with the advice of a college-wide faculty committee, shall then evaluate the proposal both on its merits and on its effect on the operation of the college. The dean shall then send the departmental and college recommendations to the Deputy Provost so that the original and one copy of the proposal together with all recommendations shall reach that office by February 1 for a leave commencing in Semester I of that year and by October 1 for a leave commencing in Semester II of the following year. The Provost/VPHS shall verify that the applicant is eligible for the proposed leave and that provisions of this Policy have been properly followed.

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

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

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

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

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

2. One semester at no reduction in annual salary.

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

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

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

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

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

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

See the **Faculty Contracts Sabbatical Leave Form** (<http://ofas.unm.edu/faculty/compensation/documents/sabbatical-v3.pdf>).

*programs, colleges or non-departmentalized schools.

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

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

C205: Annual Leave

Policy

This policy is under revision or is being developed. Current provisions for annual leave are located in **Faculty Contracts, Section C50** (</policies/section-c/employment-appointment/c50.html>).

C210: Sick Leave

Policy

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

In cases of illness or injury requiring an extended absence—defined here as a period exceeding ten (10) working days—upon recommendation by the department chairperson, the dean and the Vice President for Academic Affairs, the President may approve an extended sick leave with pay up to a maximum of six (6) months for those full-time faculty members who have had six (6) or more years of continuous service at the University and who have not had an extended sick leave during their last six (6) years of service. For those who have been at the University less than six (6) years or who have been granted extended sick leave during their last six (6) years of service, the length of the requested sick leave will be reduced accordingly.

Permanent part-time faculty, who work at least one-half (1/2) time are eligible for sick leave proportionally.

In cases where the duties missed due to illness or injury cannot be assumed by others without the expenditure of funds not budgeted to the department or college, the department chairperson or director of an academic division or dean in colleges without departments will report the matter to the college dean who in turn will consult with the Associate Vice President for Academic Affairs for resolution.

In cases of illness or injury requiring absences shorter than ten working days, deans and directors are required to keep records as necessary of any series of such instances and to report to the Associate Vice President for Academic Affairs

C215: Parental Leave

Policy

(Approved by the Faculty Senate November 23, 2010; Approved by President David Schmidly November 29, 2011)

SECTION 1: GENERAL PRINCIPLES

The University of New Mexico supports faculty in balancing their academic and personal lives. The University strives to help faculty coordinate the needs and timing of an academic career and balancing the sometimes competing priorities of their academic and personal lives. The University is committed to creating an environment that supports faculty when the responsibilities of family life are particularly demanding by allowing faculty to take time away from work for caring for and bonding with children. This policy provides one semester of parental leave with full pay for a primary or coequal care-giving faculty parent as defined within this policy.

1.1 Role of Academic Leadership

Academic leaders and supervisors will attempt to foster an environment in which every eligible faculty member will be encouraged to consider freely the parental leave opportunity offered through this policy. Deans, department chairs, and program directors should make every effort to promote use of this policy. Individuals participating in reappointment, tenure, and promotion reviews shall not allow use of parental leave or family-related tenure-clock extensions to have a negative influence in the evaluation of any candidate.

1.2 Ethical Use

This policy shall be promulgated, used, and applied within the intent and principles of the policy and with the high ethical standards expected in all areas of academic endeavors and leadership.

The parent/s taking leave must also realize this is a revocable benefit under certain circumstances. The leave may not be used for outside work, whether part-time or full-time, for pay. The parent taking leave must also agree that he or she will return to work at The University of New Mexico after leave has been taken for a minimum of time equal to leave time taken.

1.3. Relationship to Medical Leave

Parental leave is not intended to take the place of medical leave for a birth mother, but is granted in addition to any medically required leave.

SECTION 2: ELIGIBILITY, REQUIREMENTS, AND LIMITATIONS

2.1 Eligibility

All regular contract faculty at .50 FTE or higher who have been employed at UNM at least one semester are eligible for parental leave. In taking parental leave, the expectation is that the faculty member will spend this time caring for *and bonding with a child who has recently joined the household. If both parents are faculty members, each is eligible for parental leave. If both faculty members are in the same department,

the faculty members and the chair will discuss how best to meet the needs of the department and the family including whether to take the leave concurrently or consecutively (preferable). If only one parent takes leave, that parent will be reimbursed at full pay during the leave. If both parents wish to take leave, whether consecutively or concurrently, they will each be reimbursed at one-half of their usual salary. Mothers giving birth, spouses or domestic partners of mothers giving birth, parents adopting, and parents accepting a long-term foster placement or fostering toward adoption, are all eligible for equal amounts of parental leave under this policy.

2.2 Eligible Events

Parental leave should normally begin within one calendar year after a child is born or an adopted or foster child joins the household. Exceptions to the one-year time frame will be reviewed on a case-by-case basis in accordance with Section 3.1. herein.

2.3. Relief

This policy provides full relief from teaching duties and similar responsibilities. When research and advising are part of the duties, it is normally expected that these activities will continue during parental leave, but not during any period of medically required leave. Given the varied nature of academic responsibilities across the University it is the prerogative of each dean to establish guidelines for relief under this policy. Due to the unique nature of faculty responsibilities that include providing patient care, the Health Sciences Center will define the extent of relief provided to HSC faculty requesting parental leave.

The faculty member should discuss the need for parental leave with the dean or department chair well in advance of the leave and when possible, in time for any alternative teaching, patient care, and other academic arrangements to be made. The faculty member and the dean or department chair will work together to develop a plan for parental leave that meets both the needs of the faculty member and the needs of the University. They shall work together to minimize the impact of leave on students, grantors, patients, and other beneficiaries of the academic program.

2.4 Family and Medical Leave (FMLA)

Faculty members may also take unpaid FMLA to arrange additional relief. For more information on FMLA refer to Policy 3440 "Family and Medical Leave," UBP, which can be viewed at <http://policy.unm.edu/university-policies/3000/3440.html> (<http://policy.unm.edu/university-policies/3000/3440.html>)

2.5 Tenure Clock

The running of the probationary period will be suspended, unless otherwise requested in writing, when a faculty member is on parental leave. Subsequent mid-probationary and tenure reviews will be one full year later. Deans, department chairs, and program directors should help faculty members to make informed decisions about suspending the probationary period.

2.6 Sabbatical

Parental leave time will count towards time worked to earn a sabbatical.

SECTION 3: EXTRAORDINARY CIRCUMSTANCES AND APPEALS

3.1 Extraordinary Circumstances

Extraordinary circumstances such as multiple births/adoptions or events involving special-needs children may necessitate additional parental leave and/or flexibility, and shall be referred to the appropriate executive vice president for a determination. These situations will be reviewed on a case-by-case basis to determine how best to meet the additional needs of the faculty member and the University. These decisions will be applied consistently across the University to ensure equitable treatment.

3.2 Appeals

If a faculty member and the dean or department chair cannot reach agreement on a parental leave plan for relief, the faculty member may appeal the dean's decision to the applicable executive vice president for a final decision.

SECTION 4: PROGRAM REVIEW AND EVALUATION

The Provost's Office will review this parental leave program biennially to ensure that it is applied equitably and consistently across the University within the intent of the policy. This review will also analyze the program's impact on the University's mission and faculty recruitment, retention, and satisfaction in relation to associated costs.

C220: Holidays

Approved by: Faculty Senate

Effective: April 26, 2016

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of the Provost or 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

Holidays play an integral part in faculty and student lives. This Policy Document identifies the specific holidays observed by the University of New Mexico (UNM).

Policy Statement

UNM observes the following specific holidays each year and most offices are closed during these holidays:

- Martin Luther King Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Day after Thanksgiving
- Winter break. The specific days observed as the holiday period are announced each year by the UNM Division of Human Resources.

UNM respects the right of all students and faculty to observe religious holidays and will make reasonable accommodation, upon request, for such observances in accordance with Faculty Handbook Policy **C260** "[Religious Accommodations.](#)" ([policies/section-c/leave-absence/c260.html](#))

Applicability

All UNM academic faculty and administrators.

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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Faculty
- Department Chairs, academic deans and other academic administrators and executives

Related Documents

UNM Regents' Policy Manual **Policy 2.4** “Diversity and Campus Climate” (<http://policy.unm.edu/regents-policies/section-2/2-4.html>)

Faculty Handbook **Policy C260** “Religious Accommodations” (</policies/section-c/leave-absence/c260.html>)

University Administrative Policies and Procedures Manual, **Policy 3405** “Holidays” (<http://policy.unm.edu/university-policies/3000/3405.html>)

Contacts

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

Procedures

No specific procedures at this time.

History

April 26, 2016—Revised policy approved by the Faculty Senate.

C225: Professional Leave

Policy

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

It is also recognized that a faculty member's absence for attendance at professional meetings or to fulfill other professional obligations may be considered by the department chairperson or director of an academic division or dean in colleges without departments to be of sufficient importance to justify absence from assigned duties. In any such instance, the request must be made well in advance and must have the approval of the department chairperson or director of an academic division or dean in colleges without departments; here again it is the faculty member's obligation to make suitable arrangements for covering the absence. In order to assure compliance with Laws of 1971, ch. 228 (introduced as House Bill 327), it is the responsibility of each department chairperson to be prepared to report on any faculty absence from regularly assigned classes, scheduled examinations, posted office hours, or other assigned duties or commitments.

C230: Military Leave of Absence

Policy

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

- 1 . Any full-time member of the faculty on regular (i.e., not temporary) appointment as instructor or above is eligible for Military Leave of Absence upon presentation of official military orders indicating that he/she is entering active military duty.
2. When a Military Leave of Absence is granted for active duty for training or local emergency during the period of a regular contract (whether nine-, ten-, or twelve-month), the University will continue to pay the faculty member's salary, uninterrupted, up to a maximum of 15 working days per calendar year (see 20-4-7 New Mexico Statutes Annotated, 1978 Compilation). When a Military Leave of Absence is granted for active duty other than annual duty for training or local emergency, such leave is without pay. Unless called to active duty for a "local emergency," faculty may not receive Military Leave of Absence with pay during the period of a summer session supplemental contract.

C235: Leave for Service Abroad

Policy

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

1. General Statement. Since the end of World War II, colleges and universities have recognized their responsibility for providing educational leadership to the developing countries of the world. They have particularly met their responsibility by releasing competent faculty members for a term of service on education projects abroad. Such leaves for service abroad are sufficiently different from sabbatical leaves and other leaves of absence to merit a different set of policies.

2. Eligibility. After two years of service at the University, any full-time member of the faculty on regular appointment (i.e., not temporary) as a lecturer or above is eligible for a leave without pay for such service abroad.

3. Length of Leave. The leave for service abroad is usually longer than the sabbatical in that at least two years of service are normally required. The longer period is necessary since the first year abroad is primarily one of learning and cultural adjustment. A second year is usually required for productive work. Therefore, leaves of up to two years may be granted. Requests for leaves and third-year extensions must be judged on their individual merits. Applications shall be submitted pursuant to the procedures set out in paragraph 8 under Sabbatical Leave.

4. Assignment of Duties upon Return. Upon her/his scheduled return to the University, the faculty member shall be assigned to the same position that was left, or one that is comparable, bearing in mind the member's seniority and special competencies.

5. Determination of Salary and Rank upon Return. Work done while on leave for service abroad shall be considered in determining the rank and salary that the faculty member shall receive upon returning. The normal advancement of the faculty member will not be interrupted by reason of the leave for service abroad. However, it is understood that if a faculty member has not attained permanent tenure, the leave for service abroad automatically extends the probationary period by the length of time consumed by the leave.

C240: Leave of Absence Incident to Political Activity

Policy

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

(The following is excerpted from the Faculty Handbook section entitled, "Political Activities of UNM Faculty")

A leave of absence incident to political activity should come under the University's normal rules and regulations for leaves of absence. Such a leave should not affect unfavorably the tenure status of a faculty member, except that time spent on such leave from academic duties need not count as probationary service. The terms of a leave and its effect on the professor's status should be set forth in writing.

C245: Faculty Absence from Assigned Duties

Policy

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

It is expected that each faculty member will meet regularly assigned classes, scheduled examinations, posted office hours, and other assigned duties and commitments. It is recognized, however, that occasional brief absence because of illness, accident, or family crisis may be necessary, and each faculty member shall make suitable arrangements in the event of such absence, including the notification of the students, and shall inform the department chairperson or director of an academic division or dean in colleges without departments to assist in making such arrangements. Since only the individual faculty member can provide the essential continuity and in many cases the expertise in a given course, the use of substitutes for brief absences should generally be avoided.

C250: Academic Leave For Principal Lecturers

Approved by: Faculty Senate, Board of Regents

Effective Date: October 8, 2013

Responsible FS Committee: Operations

Office Responsible for Administration: Office of Faculty Contracts

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

Policy Rationale

The main purpose of academic leave is to encourage professional growth and increased competence among lecturers by subsidizing significant research, creative work, or some other program of study that is judged to be of equivalent value.

Policy Statement

1. Any Principal Lecturer is eligible to apply for Academic leave, which is the opportunity to apply for a professional development teaching release with pay to pursue other academic and/or professional opportunity activities. A Principal Lecturer is eligible to apply for such releases every six years of full-time service. Lecturers who qualify have the right to apply for academic leave; however, academic leave is not granted automatically upon the expiration of the necessary period of service. Rather, the lecturer shall present, as part of the application, evidence of recent sound teaching or other activities that materially support UNM's academic mission. Also, this program shall give reasonable promise of accomplishing the major purpose of the leave, cited in the Policy Rationale section above. Academic leave will not be granted to subsidize graduate work or work on advanced degrees.

1(a). For lecturers whose faculty appointments are not in the Health Sciences Center (HSC), academic leave may be approved for up to one semester at full salary.

1(b). For lecturers whose faculty appointments are in the HSC, academic leave may be approved for up to six months at full salary.

2. Academic leaves will be approved only with the clear understanding that the lecturer will at the completion of the academic leave return to the UNM for a period of service at least as long as the duration of the leave.

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

4. Lecturers on 12-month contracts may not accrue annual leave while on academic leave.

5. 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.

Applicability

This Policy applies to all academic UNM units, including the Health Sciences Center (HSC) 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 or reduce the leave time taken by one-half 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 Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Who should read this policy

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

Related Documents

Faculty Handbook:

Section B: (</policies/section-b/index.html>) “Policy on Academic Freedom and Tenure.”

Policy C280 (</policies/section-c/leave-absence/c280.html>) “Leave Without Pay.”

Contacts

Direct any questions about this policy to your chair and/or dean or the Office of Faculty Contracts.

Procedures

1. As a general rule, the 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 academic leave 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 are 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 academic leaves granted in any one department for any one semester. 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 a departmental committee. The departmental chairperson shall forward to the dean the departmental evaluation together with the chair's recommendation 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.

3(a). For non-HSC faculty, the dean shall then send the departmental and college recommendations to the Provost/Executive Vice President for Academic Affairs 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 Office of the Provost 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.

3(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.

4. Upon returning to UNM, every lecturer granted an academic leave shall submit promptly to the Provost/Executive Vice President for Academic Affairs Policy C250 "Academic Leave For Principal Lecturers" Page 3 of 4 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 lecturer's personnel file.

5. See item 2 under **Policy C280 "Leave Without Pay"** (</policies/section-c/leave-absence/c280.html>).

6. Those lecturers who receive all or part of their salaries directly from agencies outside of UNM will be granted academic leave with salary guaranteed only to the extent of UNM funding of the previous year; full funding is possible only when funds are available within the UNM budget.

7. Time toward each new academic leave begins immediately after return to full-time service regardless of the semester of return.

History

October 8, 2013—Approved by the UNM Board of Regents

February 26, 2013—Approved by the UNM Faculty Senate

C255: Jury/Court Duty

Policy

An employee summoned for jury duty or for duty as a witness (other than as plaintiff or defendant in a non-University related matter) is granted time off with pay for the time spent on these types of duty if the employee presents documentary evidence of the summons to his supervisor. An employee summoned as specified above is required to reimburse the Payroll Office for any compensation received (i.e., juror's check or witness fee) for time spent in court, but will be permitted to retain payments for mileage.

In cases of extreme hardship or other good cause, New Mexico law provides that "Any person may be excused from jury service at the discretion of the judge upon satisfactory evidence presented to the judge with or without the person's personal attendance upon the court." Section 38-5-2, NMSA 1978.

C260: Religious Accommodations

Approved by: Faculty Senate

Effective: April 26, 2016

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of the Provost or 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) community is sensitive to the religious practices of the various faiths represented in its student body and employees. This Policy Document provides guidance to faculty, supervisors, and students pertaining to requests for religious accommodations.

Policy Statement

Every reasonable effort should be made to help students avoid negative academic consequences when their religious obligations conflict with academic requirements. UNM respects the right of all students and faculty to observe religious holidays and will make reasonable accommodation, upon request, for such observances. If a request for accommodation is denied, the student or faculty member may appeal to the Provost or the Chancellor for Health Sciences.

Applicability

All UNM students, academic faculty and administrators.

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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Students
- Faculty
- Department Chairs, academic deans and other academic administrators and executives

Related Documents

UNM Regents' Policy Manual **Policy 2.4**“Diversity and Campus Climate” (<http://policy.unm.edu/regents-policies/section-2/2-4.html>)

Contacts

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

Procedures

Students must submit written requests for accommodation to their course instructor. If possible, the student should submit the request by the end of the second week of the semester. The request should include the date, times, and specific event for which accommodation is being requested. Faculty are expected to give students the opportunity to do appropriate make-up work that is intrinsically no more difficult than the original exam or assignment. A refusal to accommodate is justified only when it would interfere unreasonably with the delivery of the course.

Faculty should work with their department chair to coordinate their schedules with their religious observances.

History

April 26, 2016—Revised policy approved by the Faculty Senate.

C280: Leave Without Pay

Approved by Faculty Senate and Board of Regents

Effective Date: May 9, 2014

Responsible Faculty Committee: Policy Committee

Office Responsible for Administration: Provost and the 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

A University of New Mexico (UNM) faculty member may encounter a situation that is not covered by other faculty leave policies and may need to request leave without pay. This document describes which faculty members are eligible for leave without pay and the procedures for requesting and granting leave without pay.

Policy Statement

Any faculty member, except for adjunct appointments, is eligible for a leave of absence without pay after two years of service at UNM subject to the following stipulations: 1. Leaves without pay will be granted only when in the opinion of appropriate UNM officials such a leave will be of distinct benefit to this institution as well as to the individual concerned. 2. Leaves without pay will not normally be granted to persons wishing to accept a regular faculty appointment at another institution. Such an arrangement usually puts UNM at a considerable disadvantage, since it would be required to keep the position here open on a temporary basis until the person on leave returns or decides not to return to UNM. 3. Before the leave without pay is approved, the department chairperson and/or the dean concerned must have agreed that the assignments usually carried out by the person requesting the leave may and will be carried out satisfactorily by others—normally including one or more temporary employees from the outside—without any extra cost to UNM. 4. It is to be understood that if a faculty member has not attained tenure, a leave of absence without pay will normally extend the probationary period. 5. Leave of absence without pay is not counted toward retirement or toward years of service when figuring seniority for promotion. 6. While a faculty member is on leave without pay, UNM will not continue to pay its share toward retirement or Social Security benefits. 7. The faculty member's insurance benefits will continue while the faculty member is on leave without pay, unless the faculty member actively cancels his or her insurance through UNM Human Resources. The faculty member will be responsible for paying his or her portion of the benefit premiums. UNM will continue its contribution to premiums. The faculty member should refer to UAP Policy 3600 "Eligibility for Benefit Plans" for requirements pertaining to continuation, cancellation, and reinstatement of benefit plans.

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 Committees in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

Definitions

No specific definitions are required for this Policy

Who should read this policy

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

Related Documents

Faculty Handbook

Section B: “[Academic Freedom and Tenure \(/policies/section-b/index.html\)](/policies/section-b/index.html),” 2.3.2, 3.4.2, and 4.10.

C200: “[Sabbatical Leave \(/policies/section-c/leave-absence/c200.html\)](/policies/section-c/leave-absence/c200.html)”

C205: “[Annual Leave \(/policies/section-c/leave-absence/c205.html\)](/policies/section-c/leave-absence/c205.html)”

C210: “[Sick Leave \(/policies/section-c/leave-absence/c210.html\)](/policies/section-c/leave-absence/c210.html)”

C215: “[Parental Leave \(/policies/section-c/leave-absence/c215.html\)](/policies/section-c/leave-absence/c215.html)”

C220: “[Holidays \(/policies/section-c/leave-absence/c220.html\)](/policies/section-c/leave-absence/c220.html)”

C225: “[Professional Leave \(/policies/section-c/leave-absence/c225.html\)](/policies/section-c/leave-absence/c225.html)”

C230: “[Military Leave of Absence \(/policies/section-c/leave-absence/c230.html\)](/policies/section-c/leave-absence/c230.html)”

C235: “[Leave for Service Abroad \(/policies/section-c/leave-absence/c235.html\)](/policies/section-c/leave-absence/c235.html)”

C240: “[Leave of Absence Incident to Political Activity \(/policies/section-c/leave-absence/c240.html\)](/policies/section-c/leave-absence/c240.html)”

C245: “[Faculty Absence from Assigned Duties \(/policies/section-c/leave-absence/c245.html\)](/policies/section-c/leave-absence/c245.html)”

University Administrative Policies and Procedures Manual:

Policy 3440 (<http://policy.unm.edu/university-policies/3000/3440.html>) “Family and Medical Leave”

Policy 3600 (<https://policy.unm.edu/university-policies/3000/3600.html>) “Eligibility for Employee Benefit Plans”

“Request for Leave Without Pay” form available from the Faculty Contracts and Services Office or the HSC Faculty Contracts Office.

Contacts

Direct any questions about this Policy to the Faculty Contracts and Services Office or the HSC Faculty Contracts Office.

Procedures

1. A leave without pay or any combination of a sabbatical leave and a leave without pay will not generally exceed one year in duration, although when the best interests of UNM would be so served and with the concurrence of the department chairperson, the dean, and the Provost or the Chancellor for Health Sciences, the President may approve a two-year absence. However, except in rare cases, as approved by the President, a faculty member shall not be absent from UNM for more than two of any five consecutive years, and it is not contemplated that even such a proportion of absence shall be the norm.

2. Requests for leaves of absence without pay or any combination of a leave without pay and a sabbatical leave, as described in item 1, should be submitted through the applicant's department chairperson to the dean as early as possible, but no later than four months in advance of the date the proposed leave will begin. The dean forwards the request with his/her recommendation to the Provost or the Chancellor for Health Sciences, who in turn submits all pertinent material to the President with his/her recommendations. The President makes the final decision.

History

May 9, 2014—Approved by Regents

April 22, 2014—Approved by the Faculty Senate

August 29, 1978—Approved by Regents

May 10, 1978—Approved by Faculty

May 18, 1975—Approved by Regents

April 8, 1975—Approved by Faculty

February 1, 1975—Approved by Regents

March 14, 1974—Approved by Regents

March 12, 1974—Approved by Faculty

C305: Emeriti Status

Policy

(Established as informational item entitled Emeritus/a Status in 10/1/90 version of Faculty Handbook; adopted by Regents as part of Benefits and Privileges 9/12/96; revised as "Emeriti Policy" approved by the Academic Freedom & Tenure Committee, 5/3/00; approved by the Faculty Senate, 4/22/03; approved by the Provost, 5/2/03. Revised by the Academic Freedom and Tenure Committee, 4/9/10; approved by the Faculty Senate, 4/27/10; approved by the Provost, 7/13/10.)

The status and title of Emerita/Emeritus are conferred upon faculty described below who retire after having served the University in good standing. Emerita/Emeritus status is considered for voting faculty (including members ex-officio) of the University. Eligible faculty seeking Emerita/Emeritus status must receive a majority recommendation of their department through a vote of the senior faculty. The conferred title will be their rank at separation with Emerita/Emeritus added. The title of Emerita/Emeritus is honorary and without obligation to the recipient. In addition to the right to use the title, the recipient is encouraged to continue to participate in the academic activities of the University. The recipient also receives a standing invitation to participate in formal academic processions including Convocations.

The University of New Mexico recognizes the loyalty and the continuing scholarly contributions of its Emerita/Emeritus faculty. In order to continue and facilitate these contributions, departmental chairs and deans should endeavor to provide office, laboratory or studio space for Emerita/Emeritus faculty. This should be decided on a space-available basis, with priority given to non-retired faculty. Emerita/Emeritus faculty shall also be entitled to full computer privileges, letters of introduction, institutional identification and other non-financial privileges enjoyed by non-retired faculty.

Emerita/Emeritus faculty may be invited to serve as:

- a guest lecturer in areas of scholarly expertise
- a member of a Doctoral or Masters committee
- an academic advisor to undergraduate honors program
- a member of University or College/School advisory committee, unless prohibited by the Faculty Handbook
- a participant in academic department meetings to the extent permitted by College/School/Department policies

in addition to other responsibilities as deemed appropriate.

Eligible faculty seeking Emerita/Emeritus status who have been denied may seek recourse through the AF&T committee as in cases of tenure and promotion (section B.6).

Emerita/Emeritus faculty may have their title terminated for reasons outlined in the Faculty Handbook for the University-initiated termination of services of faculty members with tenure following procedures specified in section B.6.

C320: Enrollment of Faculty in University Courses

Policy

The continued professional growth of the individual faculty member is of active concern to the University administration. Subject to the restrictions of space and class enrollment and the approval of the instructor, faculty members should feel free to attend on an informal basis any course in which they have an interest. Such attendance does not require any formal registration procedure, and no record will be kept. In the case that a faculty member wants a formal record of enrollment, the regulations in the "Tuition Remission Program" Policy 3700 (<http://policy.unm.edu/university-policies/3000/3700.html>), *University Business Policies and Procedures Manual* apply.

Any regular (i.e., not temporary) faculty member, full-time or employed part-time on at least a half-time basis, may enroll for courses, through the tuition remission program. Emeritus faculty members have the same privileges but may take more than one course. Refer to "Tuition Remission Program" Policy 3700 (<http://policy.unm.edu/university-policies/3000/3700.html>) for full policy and procedures.

As a general rule, full-time faculty members may not enroll for more than two courses (6 credit hours) per semester nor one course (3 credit hours) in summer session, including hours for which waiver of tuition is granted. An exception may be made in rare instances if the faculty member and the department chairperson specifically agree in advance, with approval by the dean and the Associate Vice President for Academic Affairs, that enrollment in more than two courses will not adversely affect the faculty member's performance in regularly assigned duties.

Emeritus faculty members may obtain the necessary forms and approval from the Faculty Contracts/Services Office.

C335: Faculty Exchanges

Policy

The University of New Mexico has a well established precedent of paying the salary of a faculty member who exchanges positions with a faculty member in another institution for a semester or academic year, provided the other professor comes to UNM with his salary paid by his own institution and the exchange is approved by the UNM dean and department chairperson concerned.



Faculty Handbook

Section D: Teaching and Student Related Policies

May 29, 2018

Table of Contents

Section D: Teaching and Student Related Policies

- [Table of Contents \(/policies/section-d/index.html\)](/policies/section-d/index.html)
- [D90: Posthumous Degrees \(/policies/section-d/d90.html\)](/policies/section-d/d90.html)
- [D100: Dishonesty in Academic Matters \(/policies/section-d/d100.html\)](/policies/section-d/d100.html)
- [D175: Student Conduct and Grievance Procedures \(/policies/section-d/d175.html\)](/policies/section-d/d175.html)
- [D176: Graduate Student Grievance Procedures \(/policies/section-d/d176.html\)](/policies/section-d/d176.html)
- [Information: D75: Classroom Conduct \(/policies/section-d/d75.html\)](/policies/section-d/d75.html)
- [Information: D25: Academic Renewal Policy \(/policies/section-d/d25.html\)](/policies/section-d/d25.html)
- [Information: D30: Allowable Maximum Semester Load \(/policies/section-d/d30.html\)](/policies/section-d/d30.html)
- [Information: D40: Audited Courses \(/policies/section-d/d40.html\)](/policies/section-d/d40.html)
- [Information: D60: Class Lists \(/policies/section-d/d60.html\)](/policies/section-d/d60.html)
- [Information: D105: Examination to Establish or Validate Credit \(/policies/section-d/d105.html\)](/policies/section-d/d105.html)
- [Information: D120: Resolving Grade Grievance Involving Failure to Accommodate \(/policies/section-d/d120.html\)](/policies/section-d/d120.html)
- [Information: D145: Instructor Drops \(/policies/section-d/d145.html\)](/policies/section-d/d145.html)
- [Information: D170: Student Attendance \(/policies/section-d/d170.html\)](/policies/section-d/d170.html)

D90: Posthumous Degrees

Approved by: Faculty Senate

Effective: November 28, 2017

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of the Provost

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) recognizes that an academic degree is a matter of legitimate pride in achievement not only for students themselves but also for the family members and friends who provide students with vitally important support and encouragement during the course of their studies. UNM also recognizes that not only the degree, but also significant progress in an academic program is, under certain circumstances, an achievement which warrants special recognition. Accordingly, UNM may grant degrees posthumously, in memoriam, or in extraordinary circumstances. A degree of the appropriate type and level may to be bestowed upon a student who meets required criteria with appropriate approvals.

Policy Statement

Requests for granting degrees posthumously, in memoriam, or due to an extraordinary circumstance may be initiated by the student, student's family, the faculty of the department and/or college/school, or a UNM administrator. The request should be submitted to the Office of University Secretary who will facilitate review and approval by the appropriate faculty, college/school official(s), Faculty Senate (FS) Committees, and the Faculty Senate. Awarding of graduate and professional degrees requires approval of the Departmental faculty and the Faculty Senate Graduate and Professional Committee. Approved degree requests may be awarded under the following circumstances:

1. Posthumous

If approved by all levels as specified herein, UNM may grant posthumous degrees to a student who dies before he or she is able to complete his/her program. The student must be in degree status and either currently enrolled or enrolled in the academic year previous to his/her death. Normally, the student should have completed half of the credits required for the degree. The degree will be noted as "posthumous" on both the diploma and the transcript.

2. In Memoriam

If approved by all levels as specified herein, UNM may award a degree in memoriam to a student who was in good standing at UNM at the time of his or her death and who does not meet the requirements necessary to be awarded a posthumous degree. The degree will be noted as "in memoriam" on both the diploma and the transcript.

3. Extraordinary Circumstances

If approved by all levels as specified herein, UNM may grant a degree when extraordinary circumstances beyond the student's control prevent the student from completion of his or her academic program.

Normally, the student should have completed half of the credits required for the degree. If departmental faculty vote to waive remaining degree requirements, the student will be awarded a degree without special notation on the diploma and transcript. If degree requirements are not waived, a special notation will be added to the diploma and transcript.

a. Terminally Ill

If approved by all levels as specified herein, special consideration may be given for a terminally ill student as determined by a qualified healthcare provider. Before the student dies, the student and family may be informed of the college's/school's and UNM's decision to award the degree. The dean, department chair, or other appropriate representatives may present the degree in a private gathering as a special gesture to the family and student. The family will receive the diploma as soon as it is produced.

b. Rare and Unusual Situations

If approved by all levels as specified herein, degrees may be awarded to a student or former student due to extraordinary circumstances. These situations are extremely rare and unusual, and the required criteria will be determined on a case-by-case basis by UNM. A request for consideration of granting a degree for an extraordinary circumstance, must describe the exceptional situation(s) that impacted the student's ability to complete the academic program.

Applicability

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

Definitions

No specific definitions are required for the Policy.

Who should read this policy

- Students
- Faculty members
- Staff in Office of the Dean of Students
- Academic administrators

Related Documents

Regents Policy Manual RPM 1.1 (<http://policy.unm.edu/regents-policies/section-1/1-1.html>) “Responsibilities of the Board of Regents”

Contacts

Direct any questions about this policy to Office of the University Secretary.

Procedures

Approval of these degrees by the Board of Regents will follow established degree approval processes.

History

February 27, 2007--Approved by the Faculty Senate

D100: Dishonesty in Academic Matters

Policy

Dishonesty on the part of a student in connection with either course material or student records is a serious matter involving the possibility of disciplinary action. Since the members of the faculty have a direct responsibility in the enforcement of the standards involved, the following formal statement was prepared, incorporating the current regulation and the procedures for implementing it.

1. The following statement appears among the scholastic regulations listed in the **UNM Catalog** (<http://catalog.unm.edu/>) and **Pathfinder** (<http://pathfinder.unm.edu/>):

"Each student is expected to maintain the highest standards of honesty and integrity in academic and professional matters. The University reserves the right to take disciplinary action, up to and including dismissal, against any student who is found guilty of academic dishonesty or otherwise fails to meet these standards.

Academic dishonesty includes, but is not limited to, dishonesty in quizzes, tests, or assignments; claiming credit for work not done or done by others; and nondisclosure or misrepresentation in filling out applications or other university records."

2. When a violation of the regulation occurs in connection with a course, seminar, or any other academic activity under the direction of a faculty member, that faculty member is authorized to take whatever action is deemed appropriate, but no penalty in excess of an "F" in the course and the involuntary withdrawal of the student from the class may be imposed. Whenever this penalty is imposed; the instructor may report the case in full detail in writing to the Dean of Students, who may impose additional sanctions or refer the matter to the Student Conduct Committee for a determination of whether additional sanctions are warranted.

It is also important to point out that before a faculty member takes action on any alleged violation of this rule, the instructor should be certain that there is substantial evidence to support the charge.

3. When academic dishonesty occurs in connection with any test or examination not connected with a course, but administered by an officer of the University or in connection with any non-disclosure or misrepresentation in filling out applications or other University records, the person who observes or discovers the violation shall transmit in writing to the Dean of Students a statement describing the occurrence. A copy shall be sent to the student. The Dean of Students shall determine the sanction following procedures set forth in section 3.4 of the Student Grievance Procedure.

4. Action taken by the Student Conduct Committee shall be completed within the time limits and extension provisions outlined in section 9.1 of the Student Grievance Procedure. Copies of the final decision will be sent to the faculty member's chairperson, dean and to the dean of the student's college if different.

The procedure described above with reference to the Student Conduct Committee removes none of the instructor's authority heretofore practiced in such matters, but rather strengthens and gives uniformity to action taken by making use of an appropriate committee upon which both faculty and students serve.

On the whole, experience shows that student committee members deal as rigorously with dishonesty as do administrative officials, individual faculty members, or faculty committees. More important than consistency or rigorousness of punishment, however, is the simple consideration that student government, student self-reliance, and student responsibility develop further and more firmly when student representatives actually take a role in dealing with student behavior.

In order to be as fair as possible to students, it is recommended that faculty members teaching lower division courses inform the class, at the beginning of each course, as to their policy and the University policy with reference to dishonest academic practices. Students thus informed will thereafter have no basis for pleading ignorance of regulations.

Refer also to "Academic Integrity" **D10** (<http://handbook.unm.edu/section-d/d10.html>) and "Student Conduct and Grievance Procedures" **D175** (<http://handbook.unm.edu/section-d/d175.html>), *Faculty Handbook*.

D175: Student Conduct and Grievance Procedures

Policy

This policy has been approved by the Faculty Senate 3/10/87, ASUNM Senate 4/1/87, GSA Senate 5/2/87 and by the Board of Regents 8/11/87.

Revisions approved by the Faculty Senate in May 1994 and by the President in May 1995. Revisions approved by the President: March 5, 1999; June 19, 2001; July 2, 2013 and May 13, 2014.

Subject to Change Without Notice

ARTICLE 1. INTRODUCTION

1.1. General

The UNM Student Grievance Procedure is intended to provide procedures for the resolution of disputes of an academic nature between students and University faculty, as well as procedures for handling student disciplinary matters. The following categories of disputes or disciplinary matters are provided for in the articles indicated. Any question about these procedures should be directed to the Office of the Dean of Students.

1.2. Academic Disputes

Disputes arising within the academic process shall follow the procedures set forth in Article 2, unless they involve allegations of academic dishonesty which are handled under Article 3.

1.3. Disciplinary Matters

Disciplinary proceedings brought against students, other than allegations of academic dishonesty, shall be handled under the procedures set forth in Articles 4, 5, 6 and 7.

1.4. Academic Record Disputes

Students seeking retroactive withdrawal, enrollment, or disenrollment or for other academic record changes, shall follow the procedures set forth in Article 8.

1.5. Law School and Health Science Center.

Disputes involving students of the School of Law or any of the academic programs in the Health Sciences Center shall be handled as described in Article 9.

1.6. Branch Colleges

Student grievances or disciplinary matters arising on the branch campuses shall be handled under the Student Grievance Procedures and Student Disciplinary Procedures in effect on those campuses. Branch campuses may elect to follow this Student Grievance Procedure, as modified to identify the decision-makers at the branch campus.

1.7. Chartered Student Organizations

As provided for in UNM's Chartered Student Organization Policy, allegations that a Chartered Student Organization has, through its members and/or officers, violated the Student Code of Conduct or otherwise failed to meet its responsibilities as a Chartered Student Organization will be addressed by the Dean of Students Office under this Student Grievance Procedure.

1.8. Discrimination Allegations

Grievances alleging discrimination based on age (40 and over), ancestry/national origin, color/race, gender identity, medical condition, mental/physical disability, religion, sex/sexual harassment, sexual orientation, spousal affiliation, veteran status and any other protected class should be directed to the UNM Office of Equal Opportunity.

1.9. Other Matters Not Included Under These Procedures

A. Disputes involving access to or information in a student's educational records shall follow procedures set forth in the UNM Student Records Policy, published in the student handbook, **The Pathfinder** (<http://pathfinder.unm.edu/>).

B. Grievances arising out of a student's status as a University employee hired through the Student Employment Office shall follow procedures set forth in the UNM Student Employee Grievance Procedure, published in the student handbook, **The Pathfinder** (<http://pathfinder.unm.edu/>).

C. Disputes involving matters occurring in the Residence Halls shall follow the procedures set forth in the Residence Hall Handbook in addition to this procedure.

D. Any student grievances concerning decisions made by University personnel, outside the academic process, for which specific procedures are not established, shall be resolved between the student and the office or department involved. If no resolution is reached, the parties may appeal to the appropriate Dean or Director and then to the appropriate Vice President. Appeals should be filed in writing within one week of the decision.

E. Resolution of disputes of an academic nature initiated by graduate students shall follow the Graduate Student Grievance Procedures. Disputes arising from a graduate student's status as a graduate assistant shall follow procedures in the Faculty Handbook.

F. Disputes transferred, referred, or appealed to the Student Conduct Committee pursuant to other official UNM procedures shall be heard by the Committee under the applicable articles of this procedure.

1.10. Reasonable deviations from these procedures by UNM will not invalidate a decision or proceeding unless significant prejudice results.

1.11. Visitors to the UNM campus are subject to the Visitor Code of Conduct. Visitors may be banned from the entire campus, or a portion of the campus, on an emergency basis under Article 4.3 herein. Visitors will normally be given the opportunity to meet with the Dean of Students to discuss alleged violations of the

Visitor Code of Conduct prior to a decision concerning the visitor's final status on campus. Decisions of the Dean of Students regarding visitors to campus are final for the University.

ARTICLE 2. ACADEMIC DISPUTES

2.1. Scope

This article sets forth the procedures which should be followed by a student who believes that he or she has been unfairly or improperly treated by a faculty member or academic program/department in connection with the academic process. For example, it applies to disputes over assignment of grades, decisions about program or degree requirements or eligibility, or claims that course requirements are unfair.

2.2. Informal Resolution

A. The student should first try to resolve the grievance informally by discussing the grievance with the faculty member as soon as reasonably possible after the student becomes or should become aware of the matter. If the student and faculty member cannot reach agreement, the student should discuss the grievance with the chairperson or supervisor of the department or division. If the grievance is still not resolved, the student should discuss the grievance with the appropriate Dean. When the dispute arises from a particular course, the appropriate Dean is the Dean of the college offering the course.

B. In these informal discussions, the chairperson, supervisor, or Dean is encouraged to mediate the dispute actively. In particular, he or she should talk to both the student and the faculty member, separately or together, and should examine any relevant evidence, including any written statements the parties wish to submit.

C. These informal discussions shall be completed within four weeks after the student becomes or should become aware of the matter.

2.3. Formal Appeals of Academic Matters

If the informal discussions do not resolve the grievance, the student may bring a formal appeal using the procedures set forth in the following articles. This appeal process shall begin within two weeks following the informal discussions.

A. The student shall make a written complaint to the appropriate Dean, as defined in Article 2.2.A.

B. The complaint shall describe the grievance, including a statement of what happened, and the student's reasons for challenging the action or decision. The complaint shall also describe the student's attempts to resolve the grievance informally. The student may attach copies of any relevant documents. The student shall send a copy of the complaint to the faculty member and his or her chairperson. The faculty member shall have two weeks from the receipt of the complaint to respond in writing to the Dean. A copy of the faculty member's response shall be provided to the student, consistent with the federal Family Educational Rights and Privacy Act (FERPA).

C. In deciding the appeal, the Dean shall receive and review any written evidence or statements submitted by the parties, and shall provide both parties the opportunity to review and respond to all evidence. The Dean shall interview each party and may interview other persons with relevant information. At his or her discretion, the Dean may decide to hold an informal hearing involving both parties and any witnesses. Where the dispute primarily concerns factual questions, rather than matters of academic judgment, the Dean should normally hold such a hearing. If a hearing is to be held, the Dean will give the parties no less than five days notice. The student and/or faculty member shall be allowed to bring an advisor to the hearing, but legal counsel shall not be permitted. Cross-examination of witnesses shall be permitted, but the Dean may require that questions be directed through the Dean.

D. The Dean at his or her discretion may convene an advisory committee to hold a hearing or otherwise help him or her evaluate the dispute. For this purpose the Dean may utilize a standing committee appointed within the Dean's college.

E. The Dean shall issue a written decision explaining his or her findings, conclusions, and reasons for the decision. The decision shall be sent to each party, and to the faculty member's chair. The decision shall be made within three weeks after the complaint is filed, unless an informal hearing is held, in which case the decision shall be made within four weeks.

F. Either party may appeal the Dean's decision within two weeks of receipt of the decision to the Provost. The Provost or his or her designee shall resolve the grievance utilizing any procedures available to the Dean set out above.

G. The Chairperson, Dean, and/or Provost shall not overrule a faculty member's academic judgment.

H. The Provost at his or her discretion may refer the matter to the Faculty Ethics and Advisory Committee for consideration of disciplinary action against the faculty member involved, if such action appears warranted.

ARTICLE 3. ACADEMIC DISHONESTY

3.1. Scope

This article sets forth procedures which shall be followed in cases of suspected academic dishonesty. These procedures are not exclusive; various University departments and programs may have additional policies and procedures on academic dishonesty. Academic dishonesty is defined in the Policy on Academic Dishonesty, as published in the student handbook, *The Pathfinder* (<http://pathfinder.unm.edu/>).

3.2. Academic Dishonesty within Courses: Faculty-Imposed Sanctions

A. When a violation of the academic dishonesty rules appears to have occurred within the academic process, the faculty member shall discuss the apparent violation with the student as soon as possible and give the student an opportunity to explain. After this discussion, the faculty member may impose an appropriate sanction within the scope of the academic activity, such as grade reduction and/or involuntary withdrawal from the course. The faculty member shall notify the student of the academic sanction. The

faculty member should contact the Dean of Students Office to see if there are any prior incidents of academic dishonesty on file for that student.

B. The faculty member should report the matter in writing to the Dean of Students Office, by using the faculty adjudication form provided by that office or submitting written documentation describing the events and indicate if he/she wishes the Dean of Students Office to pursue any additional disciplinary action against the student. A copy of such report shall be sent by the Dean of Students Office to the student.

C. The student may challenge a faculty-imposed sanction through the formal academic appeals process, set forth in Article 2. The student may appeal the decision of the Dean of the College to the Provost, as provided in Article 2.3.F.

3.3. Academic Dishonesty in Other Settings

When academic dishonesty occurs other than in connection with a course, the person who observes or discovers the apparent violation shall transmit in writing to the Dean of Students a statement describing the occurrence. A copy shall be sent to the student. The Dean of Students shall determine the sanction following the procedures set forth in Article 3.4.

3.4. Sanctions Imposed by the Dean of Students

Upon receiving a report of academic dishonesty from a faculty member pursuant to Article 3.2.B, or from other University staff pursuant to Article 3.3, the Dean of Students may, after considering the recommendation of the faculty member, if any, initiate additional disciplinary action in accordance with this Student Grievance Procedure. A decision of either the Student Conduct Committee or the Student Conduct Officer shall, however, be appealable to the Provost, rather than to the Dean of Students or the Vice President for Student Affairs.

ARTICLE 4. DISCIPLINARY PROCESS

4.1. Prohibited Conduct

The University may take disciplinary action against a student for a violation of the Student Code of Conduct when the offense occurs on University premises or at a University-sponsored event, or when the violation occurs off campus and failure to take disciplinary action is likely to interfere with the educational process or the orderly operation of the University, or endanger the health, safety or welfare of the University community or any individual student or employee. The term "student" includes both full-time and part-time students pursuing undergraduate, graduate or professional studies. Student status continues for the entire period of enrollment, including University holidays, class breaks and summer session, if the student is enrolled for the preceding spring and following fall academic terms. The University may take disciplinary action for a violation of the Visitor Code of Conduct when the offense occurs on University premises, as part of a University-sponsored event or in connection with University activities. "Visitor" means a person who is not a student, a University employee or a member of the Board of Regents.

4.2. Referral of Misconduct to Dean of Students Office

A. Allegations of misconduct in violation of the Student Code of Conduct must be in writing and submitted to the Dean of Students Office which has primary authority to deal with disciplinary matters. Allegations of sexual violence and sexual harassment are addressed under Article 4.4. Complaints of alleged misconduct should be submitted as soon as possible after the event takes place, preferably within sixty (60) days. Absent just cause, complaints must be submitted within one year following discovery of the suspected misconduct.

B. Upon referral, or upon his or her own initiative, the Student Conduct Officer may review relevant evidence and consult with the person referring the allegation, the student accused, and any witnesses. The Student Conduct Officer will send written notification to the accused student indicating the nature of the activity in which the student was allegedly involved, and what University rules were allegedly violated. The student will be given the opportunity to meet with the Student Conduct Officer to review the options for resolving the charges. If the student fails to attend the meeting, the Student Conduct Officer may decide the charges based upon the information available and/or place a hold on the student's registration. The accused student will also be offered one or more of the following options to resolve the charges; however, the Student Conduct Officer is authorized to refer the charges for a formal hearing before the Student Conduct Committee even if the student does not elect a formal hearing. If a student fails to select a hearing process, the Student Conduct Officer will decide which hearing process will be followed. The options for resolving the charges are:

i. Mediation: This option is reserved for situations where all relevant parties in an incident agree to have a conflict resolved through mediation and sign an agreement to mediate. If all parties agree to this process and mediation is successful, a formal finding will not be issued with regard to the Student Code of Conduct charges. However, failure to fulfill the terms of a final mediation agreement could lead to reactivation of these charges and additional disciplinary action. Mediation will not be used to resolve complaints alleging sexual violence. (http://handbook.unm.edu/section-d/d175.html#_ftn1)

ii. Informal Disposition Conference: The accused student and Student Conduct Officer will meet informally to discuss the alleged violation(s). If the substantive facts and sanction can be agreed upon, a disciplinary action agreement will be prepared by the Student Conduct Officer and signed by the accused student. A signed disciplinary action agreement will constitute a waiver by the student of the right to an administrative hearing or formal hearing as well as any appeal, and an acceptance of the findings and sanction.

iii. Administrative Hearing with the Student Conduct Officer: This option allows the accused student to present evidence to the Student Conduct Officer for consideration and suggest witnesses that the Student Conduct Officer may consider interviewing before a decision is rendered. The Student Conduct Officer may contact other individuals who have knowledge about the incident giving rise to the charges. The party waives the right to question such individuals or otherwise participate in an evidentiary hearing. Administrative Hearings are not tape recorded. Within three weeks of the completion of all witness interviews, the Student Conduct Officer will send the party charged a letter which indicates the finding in the case and any disciplinary sanction imposed. The Student Conduct Officer may find the party charged not responsible for violating the Student Code of Conduct, or may find the party responsible and impose a disciplinary sanction in accordance with Article 4 of the Student Code of Conduct.

iv. Formal Hearing with the Student Conduct Committee: This option allows the accused student to respond to the charges, present witnesses on his or her own behalf and question witnesses. Formal hearings are tape-recorded. Within three weeks of the conclusion of the hearing, the Student Conduct Committee will send the party charged a letter which indicates the finding in the case and any disciplinary sanction imposed. The Student Conduct Committee may find the party charged not responsible for violating the Student Code of Conduct, or may find the party responsible and impose a disciplinary sanction in accordance with Article 4 of the Student Code of Conduct. A formal hearing with the Student Conduct Committee is conducted in accordance with the procedures outlined in Articles 5 and 6.

C. When a case involves Student Code of Conduct charges against more than one party, the Student Conduct Officer will determine whether to hold one hearing to resolve charges against all parties or hold separate hearings for each accused student.

D. A student allegedly committing a criminal offense under state or federal law that is also a violation of the Student Code of Conduct may be subject to University disciplinary proceedings. The University may pursue disciplinary action against a student at the same time the student is facing criminal charges for the same offense, even if the criminal prosecution is pending. The University may also pursue disciplinary action even if criminal charges were dismissed, reduced or resolved in favor of the student-defendant.

E. Unless otherwise specified in the decision, sanctions issued by the Student Conduct Officer (not including an Emergency Suspension as outlined in Article 4.3) or by the Student Conduct Committee shall not be implemented until the appeal process as set forth under Article 7 is completed.

F. The standard of proof utilized to resolve Student and Visitor Code of Conduct charges shall be that of preponderance of the evidence, meaning that the evidence, considered in its entirety, indicates that, more likely than not, the accused student (or chartered student organization or visitor) violated the Code of Conduct.

G. The party who is charged with violating the Code of Conduct is responsible for presenting his or her case; advisors are therefore not permitted to speak or to participate directly in any conference or hearing.

H. Decisions by the Student Conduct Officer or Student Conduct Committee will, in most cases, will be rendered within sixty (60) days of the filing of a complaint. This date can be modified at the discretion of the Student Conduct Officer if deemed necessary to conduct a hearing that protects the rights of all parties.

(http://handbook.unm.edu/section-d/d175.html#_ftnref1) "Sexual violence" as that term is used in the Student Grievance Procedure means physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent due to the victim's use of drugs or alcohol, or due to an intellectual or other disability. Examples of sexual violence include, but are not limited to, rape, sexual assault, sexual battery and sexual coercion.

4.3. Emergency Suspension and Banning from Campus

A. The Dean of Students may immediately suspend a student (or chartered student organization) and/or ban a student or visitor if the Dean concludes that the person's continued presence on the campus may endanger persons or property or may threaten disruption of the academic process or other campus functions.

B. When a person has been immediately suspended or banned by the Dean of Students under this article, the person may request to meet with the Dean to consider whether the emergency suspension should be continued. The meeting shall be held as soon as possible (no later than one week) after the request. The Dean of Students shall give the person an opportunity to explain his or her position and shall receive evidence or hear from witnesses with pertinent information, if requested by the person. In the case of a chartered student organization, the Dean will meet, if requested, with the organization's president or other designated officer.

C. After the meeting, if the Dean finds that the person's continued presence may endanger persons or property or threaten disruption of the academic process or other campus functions, the Dean shall continue the suspension and/or ban. Otherwise, the emergency suspension and/or ban shall be revoked or modified.

D. For students and chartered student organizations, an emergency suspension or banning does not end the disciplinary process. Resolution of the charges will proceed as set forth in Article 4.2(B) herein. For visitors, the Dean of Students will decide whether to maintain an emergency ban and make it permanent, or modify or end the emergency ban, ordinarily after giving the visitor an opportunity to meet. The decision of the Dean of Students concerning a visitor is final for the University.

4.4. Investigation of Complaints of Sexual Violence and Sexual Harassment

A. A complaint alleging that a student has engaged in an act of sexual violence, as defined in footnote 1 herein, or sexual harassment, as defined in University Administrative Policy #2730, will be referred to the University's Office of Equal Opportunity (OEO) for investigation pursuant to OEO's Discrimination Claims Procedure. OEO will issue a Final Letter of Determination finding either No Probable Cause or Probable Cause that the accused student has committed an act of sexual violence or otherwise violated the University's prohibition against sexual harassment. The accused student and complainant have the right to appeal OEO's Final Letter of Determination as provided for in OEO's Discrimination Claims Procedure.

B. If Probable Cause is found that a student committed an act of sexual violence or sexual harassment, OEO will refer the matter to the Dean of Students Office to determine the sanction to be imposed. Sanctions should be designed to eliminate the misconduct, prevent its recurrence, and remedy its effects, while supporting the University's educational mission and obligations under Title IX. Ordinarily, after consulting with the accused student, the Student Conduct Officer will decide which of the options set forth in Section 4.2(B) herein will be utilized to determine the

sanction. The options of an administrative hearing with the Student Conduct Officer and the formal hearing with the Student Conduct Committee will be modified as appropriate so as to focus solely on determining what sanction(s) to impose.

C. The decision on sanctions made by either the Student Conduct Officer or Student Conduct Committee may be appealed as provided for by Article 7 herein, except that the only permissible grounds for appeal is that there was significant procedural error of a nature sufficient to have materially affected the outcome of the sanction decision, and/or the severity of the sanction is grossly disproportionate to the violation(s) committed. Both the accused student and the complainant may appeal the sanction decision. Neither the accused student nor the complainant may appeal the findings and determination made by OEO in the Article 7 appeals process.

D. If OEO finds No Probable Cause that a student committed an act of sexual violence or sexual harassment, OEO will refer the matter to the Dean of Students Office for review to determine whether charges under any other provisions of the UNM Student Code of Conduct are warranted or other action should be taken.

ARTICLE 5. STUDENT CONDUCT COMMITTEE

5.1. Jurisdiction

The Student Conduct Committee will hold a hearing when a party chooses the hearing option of a formal hearing before the Committee or when the Student Conduct Officer refers the matter to the Committee.

5.2. Composition

A. The Student Conduct Committee will consist of three members, ordinarily including one student, one faculty member and one staff member, with the Dean of Students serving as an additional, nonvoting member and Chair of the Student Conduct Committee. The student, faculty and staff members of a Student Conduct Committee are drawn from a standing pool consisting of faculty members designated by the Faculty Senate President; staff members designated by the Staff Council President and student members designated by the Presidents of ASUNM and GPSA.

B. No one may serve on the Student Conduct Committee who has a conflict of interest or bias with respect to the case to be heard such that he or she cannot hear the case fairly and impartially, however, prior knowledge of the parties in the case or of the conduct that is the subject of the case does not itself constitute a conflict of interest or bias. Allegations that a member of the Committee has a conflict of interest or is biased shall be reviewed by the Dean of Students, whose decision is final.

C. A party charged may be found responsible for violating the Code of Conduct by a majority vote of the Student Conduct Committee.

5.3. Investigation Report

The Student Conduct Officer will prepare an Investigation Report for the Student Conduct Committee. The Student Conduct Officer typically conducts interviews with the complainant, the accused student and any third-party witnesses; visits and takes photographs at relevant sites if appropriate; and gathers other relevant evidence. The Investigation Report includes, among other things, summaries of interviews with the complainant, the accused student and any third party witnesses; photographs of the relevant site(s); other relevant evidence; and a detailed written analysis of the events in question. The Investigation Report will be provided to the Student Conduct Committee, the complainant and the accused student.

ARTICLE 6. HEARING PROCEDURES

The following rules shall apply to formal hearings conducted by Student Conduct Committee:

6.1 The hearing shall be closed, unless the Dean of Students decides to let others attend if he or she deems that their presence may be helpful to the review and determination of the charges, or if there are other compelling reasons for their presence.

6.2. The accused student, the complainant and their advisors, if any, shall be allowed to attend the entire portion of the hearing at which information is received (excluding deliberations).

6.3. The accused student and the complainant may each have an advisor (including an attorney) attend the hearing. The role of the advisor is to provide his or her advisee with support and counsel regarding the process. The advisor (including an attorney advisor) cannot act as a representative of his or her advisee, cannot have a voice in the hearing and therefore is not permitted to present arguments or evidence or otherwise participate directly in the hearing.

6.4. Student Conduct Committee members may question the accused student, the complainant and any witnesses.

6.5. The accused student has the right, within reasonable limits set by the Dean of Students to question all witnesses who testify. The Dean of Students may also permit the complainant to question the witnesses, within reasonable limits. However, the accused student and the complainant will not be permitted to directly question each other in hearings to determine the sanction to be imposed on a student for whom UNM's Office of Equal Opportunity has issued a Probable Cause determination under Article 4.4 herein. Questions for the accused student and the complainant from the other party may be suggested by each of them to the Student Conduct Committee who will decide whether to pose them.

6.6. The accused student and the complainant may each request the presence of witnesses at the hearing by informing the Dean of Students of their names and expected testimony at least five business days before the hearing. Based upon the Investigation Report, the Student Conduct Committee may call witnesses not identified by either the complaint or the accused student. The Dean of Students may refuse to call a requested witness if he or she determines that the

expected testimony is not sufficiently relevant to the charges, would be duplicative of other testimony, or would otherwise not be significantly helpful to the review and determination of the charges. The Dean of Students will try to arrange the attendance of witnesses who are members of the University community (students, staff and faculty). The accused student and complainant are responsible for arranging the attendance of persons from outside of the University. The Student Conduct Committee has no subpoena authority. The accused student and complainant will each receive a list of witnesses called to testify at least three business days before the hearing.

6.7. The accused student and the complainant may each submit pertinent documentary evidence for consideration by the Student Conduct Committee at least five business days before the hearing. As with witnesses, the Dean of Students may, for the reasons cited in Article 6.6, decline to accept a party's evidence. Both parties will be provided access to all documentary evidence accepted, consistent with the federal Family Educational Rights and Privacy Act (FERPA).

6.8. The Student Conduct Committee may proceed independently to secure evidence for the hearing. Both parties will have an opportunity to review any such evidence at least three business days before the hearing, consistent with the federal Family Educational Rights and Privacy Act (FERPA).

6.9. The hearing will be tape-recorded and the Dean of Students Office will keep the tape(s). The tape is the property of the University. No typed record will be made.

6.10. The rules of evidence used in civil or criminal trials are not applicable to formal hearings conducted by the Student Conduct Committee.

6.11. Within three weeks of the conclusion of the hearing, the Student Conduct Committee will send the accused student a decision letter which includes the Committee's findings and any disciplinary sanction imposed. The Student Conduct Committee may find the party charged not responsible for violating the Code of Conduct, or may find the party responsible and impose a disciplinary sanction. As set forth in Article 7.6.C, in a case of alleged sexual violence, the complainant will also be notified of the Student Conduct Committee's decision, to the extent permitted by the federal Family Educational Rights and Privacy Act (FERPA).

6.12 The Student Conduct Committee may seek advice from the Office of University Counsel throughout the adjudication process on questions of law or procedure; however, factual determinations are the exclusive domain of the Committee.

6.13. Decisions of the Student Conduct Committee are subject to appeal to the Vice President for Student Affairs, as per Article 7.2 herein, if the sanction imposed by the Committee is suspension, expulsion or banning from the campus.

ARTICLE 7. APPEALS, RECORDS AND RIGHTS

7.1. Appeal to Dean of Students

A. Decisions of the Student Conduct Committee or the Student Conduct Officer are final, unless a sanction of suspension, expulsion or banning from campus is imposed. A student receiving such a sanction from the Student Conduct Officer may appeal the decision to the Dean of Students. A Dean of Students Office appeal form must be completed and received by the Dean of Students Office within seven working days of the date of the written decision from the Student Conduct Officer. A complainant may appeal a decision of the Student Conduct Officer or the Student Conduct Committee only in cases involving sexual violence.

The following will be considered the only grounds for an appeal:

- 1. There was significant procedural error of a nature sufficient to have materially affected the outcome;**
- 2. The decision was not in accordance with the evidence presented;**
- 3. There is significant new evidence of which the appellant was not previously aware, that the appellant could not have possibly discovered through the exercise of reasonable diligence, and the absence of which was sufficient to have materially affected the outcome; and/or**
- 4. The severity of the sanction is grossly disproportionate to the violation(s) committed.**

On appeal the Dean of Students shall review the decision of the Student Conduct Officer and may schedule an appointment with the party appealing to discuss the reasons for the appeal.

B. After reviewing the case, the Dean of Students may:

i. Affirm or overturn the findings of the Student Conduct Officer.

ii. Affirm or alter the sanction imposed by the Student Conduct Officer.

iii. Remand the case to the Student Conduct Officer. A remand will generally occur where new evidence is to be reviewed or as otherwise determined by the Dean of Students. Where a case is remanded, the decision of the Student Conduct Officer may be appealed to the Vice-President for Student Affairs.

iv. The Dean of Students will send written notification of the decision to the appealing party within two weeks of meeting with the appealing party, with a copy sent to the Student Conduct Officer.

7.2. Appeal to Vice President for Student Affairs

A. Appeals to the Vice President for Student Affairs may be made from a decision of the Dean of Students to uphold a student's suspension, expulsion or banning from campus; or from a decision of the Student Conduct Committee imposing such a sanction.

B. An appeal form must be completed and submitted to the Vice President for Student Affairs within seven working days of the date of the written decision from the Dean of Students or the Student Conduct Committee. A complainant may appeal to the Vice President only in cases

involving alleged sexual violence. The grounds for appeal to the Vice President are the same as for an appeal to the Dean of Students (see Article 7.1(A)). On appeal the Vice President for Student Affairs shall review the decisions of the Student Conduct Officer, Student Conduct Committee and/or the Dean of Students. The Vice President for Student Affairs may meet with the party appealing to discuss the reasons for the appeal.

C. After reviewing the case, the Vice President for Student Affairs may:

i. Affirm or overturn the findings of the Dean of Students or the Student Conduct Committee;

ii. Affirm or alter the sanction imposed by the Dean of Students or the Student Conduct Committee; or

iii. Remand the case to the original tribunal (Student Conduct Committee or Student Conduct Officer) for further proceedings. A remand will generally occur where new evidence is to be reviewed or as otherwise determined by the Vice President for Student Affairs. Where a case is remanded, the decision of the Student Conduct Committee or Student Conduct Officer may be appealed after rehearing to the Vice-President for Student Affairs.

iv. The Vice President for Student Affairs will send written notification of the decision to the appealing party within two weeks of meeting with the appealing party. A copy of the decision shall be sent to the Dean of Students.

7.3. Student and Visitor Conduct Records

A. Records regarding student conduct shall be kept in the Dean of Students Office for a period of ten years after final disposition, except for records of expulsions which shall be permanently maintained. Records regarding action taken against visitors to the University may be permanently maintained. Tape recordings of Student Conduct Committee hearings will be maintained in the Dean of Students Office for the same time period as the written records pertaining to the case.

B. Copies of the final decision shall, in an academic dishonesty case, be sent to the faculty member.

7.4. Rights of Those Charged with Violations of the Code of Conduct

Those charged with violations of the Student Code of Conduct have rights which are protected throughout the hearing process. The rights of these parties include:

A. The right to be notified in writing of the charges against him or her with sufficient detail and time to prepare for a hearing.

B. The right to a timely hearing before an appropriate official or committee.

C. The right to know the nature and source of the evidence used in a hearing process.

D. The right to present evidence in his or her own behalf.

E. The right to choose not to testify and/or not to answer questions, in which case the decision maker will decide the charges based upon all of the evidence presented.

F. Subject to the limits set forth in Article 6.3, the right to be accompanied by an advisor at a hearing. The advisor may be an attorney retained by the accused student at his or her own expense.

7.5. Rights of Complainants

The complainant in a student discipline case has rights which are protected throughout the hearing process. The rights of include:

A. Subject to the limits set forth in Article 6.3, the right to have an advisor accompany them throughout their participation in the discipline process. The advisor may be an attorney retained by the complainant at his or her own expense.

B. The right to submit a victim impact statement to the hearing officer or committee during the sanctioning portion of the discipline process.

C. The right to have past irrelevant behavior excluded from the discipline process.

D. The right to be free from retaliation for having made an allegation of misconduct. Allegations of retaliation should be submitted to the Dean of Students Office.

7.6. Rights of Complainants Alleging Sexual Violence

Because of the serious nature of the alleged action, in addition to the rights listed in Article 7.5, complainants alleging sexual violence also have these additional rights:

A. The right to request to be permitted to testify from another room or in such a way as to be visually screened from the accused student.

B. The right to know the nature and source of the evidence used in a hearing process and to submit evidence and suggest witnesses, consistent with the rights of the accused.

C. The right to be notified in writing of the final determination and any sanctions imposed to the extent permitted by the federal Family Educational Rights and Privacy Act (FERPA).

D. The right to be informed of options to notify law enforcement authorities on and off campus as to the incident and to be assisted in doing so by campus officials. Criminal complaints filed with law enforcement are investigated separately from the student disciplinary process.

E. The right to be informed about other resources on campus, including UNM's Office of Equal Opportunity, Student Health and Counseling, and the Women's Resource Center.

F. The right to be informed of interim measures available to assist the complainant during the disciplinary process, for example, making reasonable changes in academic and/or on-campus living situations, and providing counseling or security escort service on campus.

G. The right to have past sexual history excluded as evidence unless the Dean of Students makes a specific finding that it is relevant.

H. The right to appeal a decision of the Student Conduct Officer or the Student Conduct Committee, subject to the same requirements and limitations as the accused.

ARTICLE 8. ACADEMIC RECORD DISPUTES

8.1. Scope

This article sets forth the procedures which should be followed by a student seeking retroactive withdrawal, enrollment, or disenrollment, or for other academic record changes involving exceptions to the rules governing registration and academic records which are set forth in the University Catalog. It does not cover disputes involving academic judgment (e.g. grades).

8.2. Petitions

A. A student seeking a change in his or her academic record within the scope of this article shall submit a petition to the Registrar's Office for consideration by the Faculty Senate Admissions and Registration Committee. The petition shall:

- 1. Include a statement of the nature of the request including why the student feels it should be granted.**
- 2. Specify the semester involved and the subject/department code, course and section numbers.**
- 3. Specify the student's name, University I.D. number, mailing address, email address and telephone number.**
- 4. Include documentation of extenuating circumstances, such as medical, family, or employment needs.**
- 5. Be typed and signed.**
- 6. Optionally, include supporting statements from involved faculty and academic units.**

B. Upon receipt of the petition, the Registrar's Office shall forward a copy to the instructor of the course. The instructor shall make any response within three weeks of receipt. If the instructor has not responded within three weeks, the Faculty Senate Admissions and Registration Committee ("Committee") shall proceed to consider the petition without the instructor's response.

C. At the next regular meeting after receipt of the instructor's response (or lack of response), the Committee shall take action on the petition. If the Committee denies the petition, it shall issue a brief statement giving the reasons for the denial.

D. Absent any new information from the student, the Committee's decision shall be final. If the student has new information that goes to the reasons set forth in the Committee's decision denying the petition, the student may request reconsideration from the Committee. The Committee's decision upon reconsideration is final for the University.

ARTICLE 9. VARIANCES

9.1. Introduction

These Student Grievance Procedures, to the extent applicable, shall apply to all University of New Mexico units. Because of differences in administrative structure, however, some modifications to these rules are necessary. The following sections identify those modifications.

9.2. School of Law

Students attending the UNM School of Law must comply with the Law School Student Code of Conduct, in addition to the UNM Student Code of Conduct. Allegations of academic misconduct, as enumerated in the Law School Student Code of Conduct, are addressed by the processes defined in that Code. Others kinds of alleged misconduct, except for allegations of sexual violence, may be addressed as described in the School of Law Administrative Due Process Policy and Procedure. Allegations that a student in the School of Law has engaged in any act of sexual violence shall be referred to the UNM Office of Equal Opportunity.

The School of Law Bulletin and Handbook of Policies (Bulletin) governs students enrolled in the Law School and to the extent this Student Grievance Procedure differs from the policies and procedures in the Bulletin, the Bulletin supersedes this Grievance Procedure.

Discretionary review by the UNM President and Board of Regents, as provided for in Article 10.4 herein, is accorded to students in the School of Law.

The School of Law may, at its discretion, refer cases of alleged student misconduct to the UNM Dean of Students for review and possible action under the UNM Student Code of Conduct, except that allegations that a Law School student has engaged in any act of sexual violence shall be referred to the Office of Equal Opportunity.

9.3. Health Sciences Center

Academic programs in the School of Medicine, College of Pharmacy and College of Nursing have adopted student codes of conduct (including standards of professionalism) with which students in those academic programs must comply, in addition to the UNM Student Code of Conduct. Except for allegations of sexual violence, to the extent that Health Sciences Center academic programs have adopted policies and procedures that govern the adjudication of student conduct and student grievance matters, those policies and procedures supersede this Student Grievance Procedure. A decision by the respective Dean of the College of Pharmacy or College of Nursing may be appealed to the Health Sciences Center Chancellor, or his or her designee, under procedures adopted by the Chancellor's Office. Decisions by the Dean of the School of Medicine are final for the Health Sciences Center when the positions of Dean and Chancellor are held by the same official.

Discretionary review by the UNM President and Board of Regents, as provided for in Article 10.4 herein, is accorded to students in academic programs in the School of Medicine, College of Pharmacy and College of Nursing.

Academic programs in the School of Medicine, College of Pharmacy and College of Nursing may, at their discretion, refer cases of alleged student misconduct to the UNM Dean of Students for review and possible action under the UNM Student Code of Conduct, except that allegations that a student in a Health Sciences Center academic program has engaged in any act of sexual violence shall be referred to the UNM Office of Equal Opportunity.

ARTICLE 10. GENERAL PROVISIONS

10.1. Time Limits and Extensions

A. Unless stated otherwise or extended in writing, the time limit for a decision maker to issue a decision is three weeks if no hearing is held and four weeks if a hearing is held.

B. Unless stated otherwise in these rules or extended in writing under 10.1.C. the time limit to file an appeal is two weeks after the decision appealed. If the decision is given in person, the two-week period shall begin at that time. If the decision is mailed, the two-week period shall begin on receipt, which shall be presumed to be three days after mailing.

C. In any procedure governed by these rules, time limits shall be suspended in the following circumstances:

i. For good cause, the decision maker can extend any time limit set forth in these rules. Good cause includes, but is not limited to, the fact that a deadline falls during finals week or during a period such as vacations, holidays, intercessions, or summer session.

ii. If the procedure involves the Student Conduct Committee, and the Dean of Students determines that the Committee members cannot convene and decide the case during finals weeks, summer session, intersession, vacation or holidays, the Dean will so advise the parties and will schedule a hearing as soon thereafter as possible.

iii. If a faculty or staff member is absent from the University, the decision maker, may permit the faculty or staff member to participate in a hearing or interview by conference call, Skype or other electronic means.

10.2. Former Students

These procedures apply to disputes between students and other members of the University community. If the student has left the University community (by graduation or otherwise), these procedures shall continue to apply so long as the event giving rise to the dispute occurred while the student was a member of the University community and so long as the University has the power to resolve the matter. The University retains the right to change grades or rescind

degrees, when, after the grade or degree has been awarded, it discovers new information indicating that the grade or degree was not earned in accordance with all University academic, student conduct and other applicable requirements and policies.

10.3. Designees of Deans, Vice Presidents or Senior Level Administrators

Whenever these regulations specify submission of a dispute or decision to a Dean, Vice President or more senior level administrator, that individual may delegate consideration and decision of the matter to a designee. Such designee will normally be but is not required to be, a member of the decision maker's staff

10.4. Review by the President and the Board of Regents

A. The parties' right to appeal decisions under these procedures terminates where indicated herein. However, the President has the discretionary authority to review all decisions by the senior administrators below, and the Board of Regents has the discretionary authority to review all decisions of the President. The President and the Board of Regents normally review appeals of student grievance or disciplinary decisions only in extraordinary cases, such as where proper procedures have apparently not been followed, where the decision appears to be unsupported by the facts, or where the decision appears to violate University policy.

B. Requests for review made to the President or the Board of Regents normally will be considered only after the avenues of appeal established herein have been exhausted. Requests shall be made in writing, and must include the alleged facts, what happened in the proceedings to date, and the reasons justifying extraordinary review. Such requests must be filed in the President's Office within seven working days of the date of the written decision from the last reviewer.

C. If review is granted, appropriate procedures shall be set by the President or the Board of Regents. The procedures shall be communicated to the parties in advance, and shall provide each party the opportunity to explain his or her position orally and/or in writing. New evidence (such as additional documents or testimony of witness) will not normally be taken by the President or Regents.

10.5. Conflict with Other Procedures

Except as otherwise stated herein, in the event this Student Grievance Procedure conflicts with previously adopted policies and procedures, these procedures shall take precedence.

See also "Student Code of Conduct," Section **4.2** (<http://policy.unm.edu/regents-policies/section-4/4-2.html>), Regents' Policy Manual.

D176: Graduate Student Grievance Procedures

Policy

Approved by Faculty Senate Graduate Committee 10/20/1994

Revisions approved March 6, 1997 by Faculty Senate Graduate Committee

The Graduate Student Academic Grievance (GSAG) Procedures have been established to address complaints, disputes, or grievances of an academic nature initiated by students enrolled in graduate degree programs at the University of New Mexico. Although conflicts that on occasion occur between students and faculty or administrators may be resolved through formal adjudication, a more informal and productive kind of resolution -- one that is mutually agreed upon by the parties involved -- is strongly encouraged.

The GSAG procedures are available for the resolution of a variety of possible issues related to the academic process. These may include, but are not limited to, issues related to progress toward a degree and allegedly improper or unreasonable treatment, except that grievances based upon alleged discrimination or sexual harassment should be directed to the Office of Equal Opportunity (OEO). The procedures may not be used to challenge the denial of admission to a degree program, nor to appeal the refusal of a petition by the Dean of Graduate Studies for an exception to University-wide degree requirements, policies or procedures.

1. A student with a complaint related to academic matters is encouraged to consult with the Office of Graduate Studies to discuss his/her concerns, seek to clarify pertinent rules and regulations governing graduate study, and explore constructive ways to resolve the problem directly with the faculty member or administrator involved. This should occur as soon as reasonably possible after the student has become aware of the problem.
2. The student should then arrange a meeting with the faculty or administrator involved in the complaint to address the problem and to explore the possibility of a jointly achieved resolution.
3. If agreement cannot be reached, the student may seek the assistance of the departmental faculty graduate advisor and/or the chair in resolving the dispute. If the dispute is with a faculty member in a department different from the student's, the appropriate chair or advisor would be in the department in which the faculty member resides or in which the course in which the dispute arose was offered. It is expected that these administrators will play an active part in helping to resolve the disagreement. In the event that the graduate unit involved is non-departmentalized, the student may go directly to the dean or director of that unit for assistance.
4. If the matter cannot be resolved at the departmental level, the student may bring the problem to the attention of the school or college Dean. The school or college Dean will determine whether to adjudicate the dispute or to refer the student to the Dean of Graduate Studies for a resolution. If the dispute is with a faculty member in a school or college different from the student's, the appropriate dean would be the one in the unit in which the faculty member resides, or in which the course in which the dispute arose was offered.

In the resolution of grievances at the level of a school or college Dean or the Dean of Graduate Studies, the following procedures will apply, as described also in the Pathfinder, under "**Student Grievance Procedure** (<http://pathfinder.unm.edu/campus-policies/student-grievance-procedure.html>)," Sections 2.3.1. - 2.3.7.

a. student must submit a formal, written statement of his/her grievance. This document should summarize the facts that support the grievance, indicate the desired resolution, and describe the efforts already made at reaching that resolution, as well as their outcome. The faculty or staff member against whom a grievance has been filed will be sent a copy of the written statement, and will have two weeks in which to respond in writing to the Dean.

b. Dean will review all written materials submitted, and provide both parties the opportunity to review and respond to all evidence. The Dean will interview each party, as well as any other persons who may have relevant information. The Dean may elect to hold an informal hearing involving both the parties to the grievance and witnesses. If such a hearing is held, the parties will be given five days notice. Each party will be allowed to bring an advisor to the hearing, but will not be permitted legal representation. Cross examination of witnesses will be permitted, although the Dean may require that questions be directed through him/her.

c. Dean may choose to convene an advisory committee to help evaluate the grievance. A school or college Dean may utilize a standing committee from that unit; the Dean of Graduate Studies will utilize the Senate Graduate Committee.

d. Generally, a written report on the grievance will be issued by the Dean within a period of four weeks after it has been formally filed. (This period may be extended to allow for University holidays or other periods when the University is not in session.) The report will explain the Dean's findings, conclusions, his/her decision, and the basis for that decision. A copy will be sent to each party, and to the chairperson or supervisor of the faculty or staff member involved.

e. The decision of the Dean may be appealed by either party to the Office of the Provost within a period of two weeks. The Provost will reconsider that decision only if there are substantive, procedural grounds for doing so (for example, significant evidence that was not accepted or has arisen since the Dean's decision was announced). The decision of the Provost is final.

PETITION TO MODIFY ACADEMIC REQUIREMENTS

Graduate students may petition the Dean of Graduate Studies for an exception to any of the University-wide policies or regulations specified in the University Catalog. Petitions are intended to allow students the opportunity to deal with unusual or extraordinary events, particularly circumstances beyond their control, that would penalize them unfairly. It should be kept in mind, however, that a hallmark of fairness is the uniform application of the same standards and deadlines to all students.

A petition should be initiated and signed by the student in the form of a memo or letter addressed to the Dean of Graduate Studies. It should clearly state the specific nature of the exception or special consideration being requested, and provide a complete but concise justification. If the request involves the extension of a deadline, a proposed new deadline date should be indicated. Before considering a petition,

the Dean will require that the student have an approved "Application for Candidacy" on file at the office of Graduate Studies (OGS). If this has not already been submitted, both documents may be turned in simultaneously, with the petition attached to the front.

Petitions must be submitted in the sequence listed below:

1. The student must first submit the petition to his/her graduate advisor. The advisor should indicate whether he/she endorses the student's request, and why.
2. The petition must next be submitted to the student's graduate unit -- the faculty graduate director, the chair, or the departmental graduate committee, depending upon the practice in the particular unit. The student may choose to submit the petition to the graduate unit even if it was not endorsed by the advisor. The unit should also indicate whether it supports or does not support the student's request, and why.
3. The petition should then be forwarded to the Office of Graduate Studies. The student may choose to submit the petition to the OGS even if it was not supported by his/her academic unit. In certain cases, the Dean or his/her designee may ask the Senate Graduate Committee, serving in an advisory capacity, to review the petition and offer its recommendation for approval or disapproval. The decision of the Dean is final.

A written response to a petition will usually be mailed to the student within two weeks from its receipt by OGS, and a copy sent to the academic unit. (This period may be extended to allow for University holidays or other periods when the University is not in session.) The original petition will be retained in the student's file at OGS. Petitions that are lacking required documentation will be returned to the student, and will not be considered until all documentation has been received. Inquiries regarding the status of a petition should be directed to the Academic Records Assistant at (505) 277-2714.

D75: Classroom Conduct

Information

The classroom instructor is responsible for all classroom conduct, behavior, and discipline. University policy permits only enrolled students, persons authorized by the instructor, and administrative personnel to be admitted to instructional areas during scheduled periods. University policy and New Mexico state law also prohibit all forms of disruptive or obstructive behavior in academic areas or any actions which would disrupt scheduled academic activity. The instructor may refer situations involving classroom misconduct to the Dean of Students for additional action under the **Student Code of Conduct** (<https://pathfinder.unm.edu/code-of-conduct.html>) as published in the UNM *Pathfinder* (<http://pathfinder.unm.edu/>). Use of classrooms and other areas of academic buildings during nonscheduled periods is permitted only in accordance with departmental, college, or university practices.

Any person or persons in unauthorized attendance or causing a disturbance during scheduled academic activity shall be identified by the instructor and asked to leave. Persons refusing such a request may be removed by the University Police and are liable to legal prosecution.

Smoking, eating and drinking are prohibited in all classrooms and teaching laboratories, including seminars.

D25: Academic Renewal Policy

Information

Academic renewal applies to undergraduate degree-seeking students who have been readmitted to UNM after an absence of five years or more. The procedure allows a currently enrolled student to request his/her academic record be reviewed for the purpose of evaluating previously earned credits and recalculating the student's grade point average from the point of readmission.

Students may obtain petition forms from the Records Office, Room 251, Student Services Center. If all criteria are satisfied, the petition will be approved and the academic record noted. The following guidelines apply:

ACADEMIC RENEWAL GUIDELINES

1. Academic Renewal may be applied only once and is not reversible.
2. An absence of five or more years must have elapsed between readmission and the last enrollment at UNM. (Note: Readmission to the University and acceptance in a degree program must occur prior to Academic Renewal.)
3. The student must be currently enrolled in a degree-seeking status. Additionally, college entrance requirements such as minimum hours and grade point average must still be met after the effect of Academic Renewal. (Note: Academic Renewal will not be applied if total earned credits should fall below the minimum for entrance to the student's academic unit.)
4. At least 12 credit hours but no more than 36 credit hours must be completed in good standing (2.00 grade point average or better) since readmission before Academic Renewal can be applied. (Note: Probationary status is determined by the degree-granting unit and is not automatically changed by Academic Renewal.)
5. All graduation requirements must be satisfied after Academic Renewal, i.e., minimum earned credit, residence credit requirement, cumulative grade point average, etc. (Note: Credit earned prior to Academic Renewal will not count toward satisfying the residence credit requirements.)
6. All courses taken prior to Academic Renewal will remain unaltered on the record. An appropriate notation will be added to the record to indicate Academic Renewal. From prior courses, those with a grade of C or better (or CR) will be carried forward as earned credits only. Acceptability of these credits towards a degree will be determined by the degree-granting unit.
7. Courses with a grade of C- or below taken prior to Academic Renewal will be noted and will not count for earned credits or for satisfying any graduation requirements.
8. Academic Renewal, when applied, will be effective as of the date of the readmission following the five-year absence.
9. The cumulative grade-point average after academic renewal will be calculated on the basis of courses taken since the readmission following the five-year absence.

10. Non-degree, second undergraduate degree, or graduate students are not eligible for Academic Renewal.

D30: Allowable Maximum Semester Load

Information

The maximum number of hours which students may attempt during a regular semester without special approval is 18. During a summer session the maximum number is 9 hours. Individual colleges may place lower limits on students in individual cases at their discretion. It should be noted that hours in excess of 18 during regular semesters and 9 during summer session are subject to a tuition surcharge. (Refer to the *Schedule of Classes* (<http://schedule.unm.edu>) for the per credit hour amount of these surcharges.)

D40: Audited Courses

Information

A student wishing to audit a course must be formally enrolled at the University either in regular or in nondegree status and must pay the full tuition rate for the course. The student must have the permission of the instructor by the end of the fourth week of the semester. The student must submit an Enrollment Authorization card to the Records and Registration Office to have the audit grade option added to the student's registration. (Refer to the **Schedule of Classes** (<http://schedule.unm.edu>) for additional information.) This permits proper identification of the student's status as an auditor on the class list given the instructor (refer to "Class Lists" **D60** (</policies/section-d/d60.html>), *Faculty Handbook*). Grades are not reported for auditors, but the student's permanent record reflects the enrollment as an auditor. The auditor, having paid the full tuition fee, is allowed full participation in class activities. (See also "Enrollment of Faculty Members in University Courses" **C320** (</policies/section-c/benefits/c320.html>), *Faculty Handbook*).

D60: Class Lists

Information

From data acquired during registration, on-line class lists for each class are available. These lists are available to the instructor of record beginning with the semester's registration. In addition to alphabetical listings with the names of the students who enrolled during registration for a section, the list will include a truncated social security number, college, enrollment status (credit-no credit, auditor, etc) and e-mail address. In the case of variable credit courses, the class list shows the exact number of hours for which a particular student has enrolled. Students attending class who are not listed must be advised to complete formal registration or add the course by a program change. Students, who do not complete the registration procedure and accordingly are not subsequently listed, are not to be permitted to attend class beyond the second week. The on-line class lists will be updated every evening throughout the semester to keep them current with all student activity regarding the class. (Example: A student dropping the class will be reflected the next day.) The professor is expected to maintain a current permanent class roster. Class lists may be accessed online by using the following URL. <https://classlists.unm.edu/> (<https://classlists.unm.edu/>)

D105: Examination to Establish or Validate Credit

Information

Degree seeking students in an undergraduate college of the university may, with appropriate written approval, take an examination to establish or validate credit in courses appearing in the university's general catalog. Students may not have been previously enrolled (or have earned a W/WP/WF grade) in the course at the university. Students enrolled in the Graduate School have the same privilege, except that only undergraduate credit can be earned in this manner. Credit cannot be earned by examination to establish credit in nonprofessional physical education activity courses and in some professional physical education courses. A check with the department will be necessary to determine which professional physical education courses can be challenged by examination. Upon authorization, the dean or director of the college offering the course will issue a permit for the examination. This permit must be approved by the department concerned and the dean or director of the student's college. The student must then pay the current tuition rate per credit hour and submit the permit to the person who will administer the examination. Once the examination has been administered and graded the instructor will complete the form and send it to the Records and Registration Office for recording on the student's record. Examination to establish credit can be taken only during the week before classes start through the ending date of the semester or summer session. Credit will be allowed and placed on the student's permanent record as of the semester in which the examination is completed and will not count in the student's grade-point average prior to the completion of that semester. A grade of CR will be recorded for successful completion of examination. Credits earned by examination at university count toward graduation and residence requirements.

D120: Resolving Grade Grievance Involving Failure to Accommodate

Information

The Accessibility Resource Center (ARC) offers services to help all qualified students with disabilities gain equal educational access and opportunities throughout the UNM community. ARC has a Faculty Guide to Accommodating Students with Disabilities which includes information for Faculty and the academic unit on how to resolve a grade grievance involving a failure to accommodate. Please see:

<http://as2.unm.edu/facultyhandbook.html> (<http://as2.unm.edu/facultyhandbook.html>)

D145: Instructor Drops

Information

Instructors may drop students from their classes for reasons of excessive absences. Instructor drop forms are available at the Records and Registration Office and in academic departments. The student is responsible for the completion of every course for which the student has registered; if the student drops a course at any time without completing the official change of program procedures, a grade of F may be assigned even though the student may be passing when she or he stopped attending classes.

D170: Student Attendance

Information

Students are expected to attend all meetings of the classes in which they are enrolled. No extensions of the vacation periods are given to any students, regardless of the location of their homes.

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. Instructor drop request forms are available at all academic department offices.

Absences due to illness, or to authorized University activity such as field trips, athletic trips, etc., are to be reported by the student to his/her instructor(s) and to the Dean of Students Office. If a 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.

Verification 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 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 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.



Faculty Handbook

Section E: Research

May 29, 2018

Table of Contents

Section E: Research

- [Table of Contents \(/policies/section-e/index.html\)](/policies/section-e/index.html)
- [E10: Classified Research Policy \(/policies/section-e/e10.html\)](/policies/section-e/e10.html)
- [E20: Overseas Research: Guidelines \(/policies/section-e/e20.html\)](/policies/section-e/e20.html)
- [E40: Research Misconduct \(/policies/section-e/e40.html\)](/policies/section-e/e40.html)
- [E60: Sponsored Research \(/policies/section-e/e60.html\)](/policies/section-e/e60.html)
- [E70: Intellectual Property Policy \(/policies/section-e/e70.html\)](/policies/section-e/e70.html)
- [E80: Conflict of Interest Waiver Policy for Technology Transfer \(/policies/section-e/e80.html\)](/policies/section-e/e80.html)
- [E90: Human Beings as Subjects in Research \(/policies/section-e/e90.html\)](/policies/section-e/e90.html)
- [E100: Policy Concerning Use of Animals \(/policies/section-e/e100.html\)](/policies/section-e/e100.html)
- [E110: Conflict of Interest in Research \(/policies/section-e/e110.html\)](/policies/section-e/e110.html)
- [E120: Effort Reporting Policy \(/policies/section-e/e120.html\)](/policies/section-e/e120.html)
- [Information: E30: Reprints of Scholarly Research Publications \(/policies/section-e/e30.html\)](/policies/section-e/e30.html)

E10: Classified Research Policy

Policy

Approved by the University Faculty on March 13, 1973

This document concerns the rights and obligations of faculty members and students insofar as they relate to research done on the UNM campus. Consideration of faculty members' and students' rights and obligations as consultants to off-campus agencies, individuals, or other parties is specifically excluded.

It is recognized that, in certain areas of research, the association of faculty members with off-campus facilities has provided access to expensive and sophisticated types of equipment not available at the University and has consequently contributed toward the training and development of students. However, in order to preserve as open a University society as possible, faculty members should attempt to obtain support for unclassified research.

1. In preservation of academic freedom, the right of every faculty member to solicit, conduct or participate in privately and governmentally sponsored research of his/her choice is recognized, whether such research is classified or not, so long as it is within the limits of existing University of New Mexico policies as detailed in the *Faculty Handbook*. Sponsored research at the University of New Mexico is justified only when it contributes toward the professional development of the faculty and also provides opportunities for the development of students. Classified research is no exception to the validity of these two criteria. Consequently, when a research project is proposed, the University, on behalf of the proponents and/or principal investigators-to-be, will inform the potential sponsor of UNM's policies relating to classified research. Simultaneously, the University will request from the potential sponsor unrestricted dissemination of the procedures and the results of the research. In the event of denial of such request by the potential sponsor, the proponents will still be free to proceed with the implementation of the contract, so long as it is not in violation of the following guidelines.

2. Students may participate in research projects of their interest, whether classified or not, within the limits of UNM policies, but they may not use classified data for course credit, theses or dissertations. If a student intends to use material from a classified project for her/his thesis or dissertation, the supervising faculty member must advise her/him that he/she will not be permitted to use any data that would cause the thesis or dissertation to be restricted from dissemination. Dissemination is interpreted to mean "availability to anyone without restriction."

3. With the exception of the Campus Security Office, the existence on campus of areas restricted because of classified research is prohibited.

4. In the event that a conflict arises concerning the interpretation of existing University policies and rules with respect to classified research, an appeal will be heard by the chairperson of the Research Policy Committee and the Vice President for Research. At their discretion, they may request the Research Policy Committee to appoint an ad hoc committee to further deal with the problem. If the conflict cannot be resolved, the route of further appeals would be the President and the Regents.

E20: Overseas Research: Guidelines

Policy

The following statement, formulated by Education and World Affairs, was adopted in its entirety by the University Faculty on December 12, 1967, as official policy in matters pertaining to the overseas research of the University and its faculty members. The topic sentences of the EWA Guidelines are reproduced below. The full statement is on file in the Office of the University Secretary.

1. The universities must assume an active and effective role in providing safeguards and setting high standards for U S. study and research undertakings overseas.
2. The university must take the lead in insisting on the rule of candor and full disclosure in connection with all overseas research.
3. The university should reject covert funding of overseas research and at the same time press for an enlargement in the grant-making capacity of those government agencies which are not part of the military and intelligence complexes. It should seek to assure that faculty members applying for funds are aware of the full range of possibilities, public and private.
4. The university should use all available means to assure that suitable academic quality standards are met with respect to overseas research projects and the scholars who will carry them out.
5. The university should seek to assure that the overseas research of its faculty members enhances the American academic presence abroad and projects the best qualities of our educational community. It can do so partly by encouraging its scholars who are going abroad to take active account of the other country's developmental needs in education and research.
6. The university should lend its support to the strengthening of our educational representation abroad as a basis for more effective cooperation with the academic communities of other countries.
7. Through its graduate faculties and professional schools, the university should begin to build into the training of students an appreciation of the types of problems that are involved in overseas research.

E40: Research Misconduct

Approved by: Faculty Senate

Effective: April 25, 2017

Responsible FS 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

Integrity, trust, and respect are important elements in an academic research environment. Investigators typically conduct research and explain findings and theories with painstaking diligence, precision, and responsibility. However, research misconduct threatens both to erode the public trust and to cast doubt on the credibility of all researchers. This policy and procedures regarding research misconduct are intended to protect the integrity of the University of New Mexico's (UNM) research enterprise and not hinder the search for truth or interfere with the expansion of knowledge.

Policy Statement

Because UNM as well as the general public and government are affected by research misconduct, UNM faculty and administration have created a process to ensure the credibility and objectivity of research activities and deal with research misconduct if it arises. In broad terms this process is designed to:

- Ensure that ethical standards for research at UNM are clearly stated and applied.
- Promptly inquire into allegations of misconduct and, where appropriate, initiate formal investigations and advise sponsors of action taken.
- Ensure that each investigation is properly documented to support findings and carefully conducted to protect any person whose reputation may be placed at risk during the process.
- Respect the principles of academic freedom.

The policy and procedures regarding research misconduct are intended to protect the integrity of UNM's research enterprise and not hinder the search for truth or interfere with the expansion of knowledge.

This policy applies to all individuals who may be involved with a research project, including, but not limited to, faculty, graduate/undergraduate students, staff, employees, contractors, visiting scholars, and any other member of UNM's academic community.

General Principles

1. Research misconduct cannot be tolerated and will be firmly dealt with when found to exist.
2. For purposes of resolving allegations of research misconduct, the process established by this Policy shall apply to allegations of fabrication, falsification, or plagiarism. All other allegations of research

misconduct shall be resolved utilizing other applicable UNM policies and procedures.

3. Every effort shall be made to protect the rights and the reputations of everyone involved, including the individual who in good faith alleges perceived misconduct as well as the alleged violator(s). A good faith allegation is made with the honest belief that research misconduct may have occurred. Persons making a good faith allegation shall be protected against retaliation. However, persons making allegations in bad faith will be subject to disciplinary action, up to and including termination or expulsion. An allegation is made in bad faith if the complainant knows that it is false or makes the allegation with reckless disregard for or willful ignorance of facts that would disprove it.
4. All members of the UNM community are expected to cooperate with committees conducting inquiries or investigations.
5. Confidentiality. Care will be exercised at all times to ensure confidentiality to the maximum extent possible and to protect the privacy of persons involved in the research under inquiry or investigation. The privacy of those who report misconduct in good faith will also be protected to the maximum extent possible. Files involved in an inquiry or investigation shall be kept secure and applicable state and federal law shall be followed regarding confidentiality of personnel records.
6. Conflict of Interest. If the Provost, the Chancellor, Vice President for Research or Vice Chancellor for Research, as appropriate, has any actual or potential conflict of interest, the persons shall recuse themselves from the case. The President of UNM shall appoint a designee to act instead.

When a case continues to the Inquiry and Investigation stages (Sections 2. and 3.), if the President of the Faculty Senate has any actual or potential conflict of interest, the person shall recuse him/herself from the case and the Senate President-Elect shall appoint a designee to act instead.

If any member of the Faculty Senate Operations Committee or the Chair of the Research Policy Committee has any actual or potential conflict of interest, the persons shall recuse themselves from the case. The Faculty Senate President, or designee as appropriate, shall appoint faculty members to act instead.

7. UNM will respond to each research misconduct allegation in a thorough, competent, objective, and fair manner.
8. UNM will ensure its deans, directors, chairs, and graduate advisors are reminded annually of the UNM's policies and procedures on Research Misconduct, including this Policy. UNM will also inform all faculty, students, and staff of:
 - (1) the need and importance of research integrity; and
 - (2) the importance of compliance with applicable policies and procedures.

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 and in accordance with applicable federal guidelines listed in Section 5.7 herein.

Definitions

Complainant means a person who makes an allegation of research misconduct. There can be more than one complainant in any inquiry or investigation.

Deciding Official will make the final determination whether to accept the investigation report, its findings, and the recommended institutional actions. The Provost is the deciding official for cases where the respondent is not a HSC employee. The Chancellor for Health Sciences is the deciding official for cases where the respondent is a HSC employee.

Conflict of Interest. All officials or officially appointed participants in an investigation, appeal, or decision must be able to participate in a completely disinterested frame of mind. A conflict of interest exists if an individual who would participate as an institutional representative or appointee in an investigatory process, an appellate process, or a decision-making process also has a relationship with a complainant or respondent that could be seen as a source of bias. Potential relationships and/or circumstances that could create a conflict of interest include:

- Being or having been in a teacher-learner, mentor-mentee, or similar relationship with either complainant or respondent;
- Working or having worked in the research labs of either the complainant or the respondent;
- Being a current co-investigator with either the complainant or the respondent on any research project or grant;
- Being a current co-author with either the complainant or the respondent on any publication or on any manuscripts that may be awaiting publication;
- Being involved in any unrelated E40 Research Misconduct process or investigation;
- Having any unresolved personal, professional, or financial conflicts with either the complainant or the respondent;
- Any other circumstance that could interfere with an individual's ability to participate with objectivity and without bias.

Fabrication is making up data or results and recording or reporting them.

Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

NSF means the National Science Foundation. The NSF has adopted rules establishing standards for institutional responses to allegations of research misconduct.

OIG means the Office of the Inspector General, an office within a U.S. federal agency (other than PHS) that is charged with oversight and implementation of federal agency's policies and procedures on research misconduct.

ORI means the Office of Research Integrity, an office within the U.S. Department of Health and Human Services that is responsible for overseeing the implementation of PHS policies and procedures on research misconduct.

PHS means the Public Health Service, a component of the U.S. Department of Health and Human Services. The PHS has adopted rules establishing standards for institutional responses to allegations of research misconduct.

Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Recklessly means that a person acts in such a manner that the individual consciously disregards a substantial and unjustifiable risk or grossly deviates from the standard of conduct that a reasonable individual would observe.

Research Integrity Applicability. This policy is intended to carry out UNM's responsibilities under the PHS Policies on Research Misconduct, 42 CFR Part 93, and other applicable regulations governing research misconduct. It applies to allegations of research misconduct (as defined below), or in the reporting of research results involving:

- any individual who, at the time of the alleged research misconduct, was employed by, was an agent of, or was affiliated by contract or agreement with UNM; including, but not limited to, faculty, graduate/undergraduate students, staff, employees, contractors, visiting scholars, and any other member of UNM's academic community; and
- in case of research subject to PHS regulations and policies, one or more of the following also applies:

(1) PHS supported or non-PHS supported biomedical or behavioral research, or research training or activities related to that research or research training, such as the operation of tissue and data banks and the dissemination of research information; (2) applications or proposals for PHS-supported or non-PHS-supported biomedical or behavioral research; or research training or activities related to that research or research training; or (3) plagiarism or research records produced in the course of research, research training or activities related to that research or research training.

This includes any research proposed, performed, reviewed, or reported, or any research record generated from that research, regardless of whether an application or proposal resulted in a grant, contract, cooperative agreement, or any other form of support.

These policies and procedures do not apply to authorship or collaboration disputes and apply only to allegations of research misconduct that occurred within six years of the date on which UNM or HHS received the allegation, subject to the subsequent use, health or safety of the public, and grandfather exceptions in 42 CFR93.105(b) and other applicable regulations governing research misconduct.

Research misconduct is defined as fabrication, falsification, or plagiarism in proposing, conducting, reporting, or reviewing sponsored or unsponsored research. The misconduct must have been committed intentionally, knowingly, or recklessly. Research misconduct is further defined to include gross carelessness in conducting research amounting to wanton disregard of truth or objectivity, or failure to comply or at least attempt to comply with material and relevant aspects of valid statutory or regulatory requirements governing the research in question. Research misconduct is more than a simple instance of an error in judgment, a misinterpretation of experimental results, an oversight in attribution, a disagreement with recognized authorities, a failure in either inductive or deductive reasoning, an error in planning or carrying out experiments, or a calculation mistake.

Research records are defined as research data, research notebooks, and information needed to interpret such data. It does not include general email or correspondence or other non-research related data or documents.

Respondent means the person against whom an allegation of research misconduct is directed or the person who is the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

Who should read this policy

- Faculty, staff, students, contractors, visiting scholars, and any other member of UNM's academic community involved in the conduct of research or the reporting of research results.
- 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.
- Any person who brings forth any allegation of research misconduct.
- Any person against whom an allegation of research misconduct is directed or the person who is the subject of a research misconduct inquiry or investigation.

Related Documents

UNM Regents' Policy Manual

Policy 5.10 (<http://policy.unm.edu/regents-policies/section-5/5-10.html>) "Conflicts of Interest in Research" (<http://policy.unm.edu/regents-policies/section-5/5-10.html>)

Policy 5.13 "Research Fraud" (<http://policy.unm.edu/regents-policies/section-5/5-13.html>)

Policy 5.14 (<http://policy.unm.edu/regents-policies/section-5/5-14.html>) "Human Beings as Subjects in Research" (<http://policy.unm.edu/regents-policies/section-5/5-14.html>)

Policy 5.15 "Use of Animals in Education and Research" (<http://policy.unm.edu/regents-policies/section-5/5-15.html>)

Faculty Handbook

E90 "Human Beings as Subjects in Research" (<http://handbook.unm.edu/policies/section-e/e90.html>)

E100 "Policy Concerning Use of Animals" (<http://handbook.unm.edu/policies/section-e/e100.html>)

E110 "Conflicts of Interest in Research" (<http://handbook.unm.edu/policies/section-e/e110.html>)

Contacts

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

Procedures

All applicable persons will report observed, suspected, or apparent research misconduct in accordance with this Policy. Allegations may be made in writing or orally, and in either case may be anonymous, and in all cases; must be sufficiently credible and specific. If an individual is unsure whether a suspected incident falls within the definition of research misconduct, he or she may meet with or contact the Vice President for Research, Vice Chancellor for Research, or the appropriate HSC Research Integrity Office (RIO) to discuss the suspected research misconduct informally, which may include discussing it anonymously and/or hypothetically. A copy of this policy shall be made available to the complainant.

1. Preliminary Assessment of Allegations

1.1. An initial report of alleged research misconduct shall be treated in a confidential manner and brought to the attention of the faculty member or other person (e.g., chairperson, supervisor, director, principal investigator) responsible for the researcher(s) whose actions are in question, or to the dean of the researcher's college, or to the Vice President for Research (for allegations concerning a main campus researcher) or Vice Chancellor for Research (for allegations concerning a HSC researcher). The person receiving the initial allegation shall, in turn, make an immediate confidential report of the allegations to the Vice President for Research or Vice Chancellor for Research, as appropriate.

1.2. An initial report of alleged research misconduct might arise as part of an administrative review. Such an allegation will be acted upon in accordance with this Policy. The allegation should be brought confidentially to the Vice President for Research or Vice Chancellor for Research, as appropriate.

1.3 Upon receiving an allegation of research misconduct, the Vice President for Research or the Vice Chancellor for Research, or designee, shall conduct a preliminary assessment within seven (7) working days. The purpose of the preliminary assessment is to determine whether the allegation:

- (1) is sufficiently credible and specific so that potential evidence of research misconduct may be identified,
- (2) falls within the definition of research misconduct, and
- (3) is within the jurisdictional criteria of this Policy.

An inquiry must be conducted if these criteria are met.

In conducting the preliminary assessment, the complainant, respondent, or other witnesses need not be interviewed and data need not be gathered beyond any that may have been submitted with the allegation, except as necessary to determine whether the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified.

2. Inquiry

2.1 Purpose and Initiation

If the preliminary assessment reveals that the allegation falls within the definition of research misconduct and there is sufficient information to allow specific follow-up, the inquiry process shall be initiated by the Vice President for Research or Vice Chancellor for Research, as appropriate. The initiating official will clearly identify the original allegation and any related issues that should be evaluated in the inquiry. The purpose of the inquiry is to make a preliminary evaluation of the available evidence to determine whether there is sufficient credible evidence of possible research misconduct to warrant conducting an investigation. The purpose of the inquiry is not to reach a final conclusion about whether misconduct occurred. The findings of the inquiry shall be set forth in an inquiry report.

2.2 Securing Research Records

Prompt securing of the research records is in the best interest of both the respondent and UNM. Either before or when the institution notifies the respondent of the allegation, inquiry, or investigation, the Vice President for Research or the Vice Chancellor for Research, as appropriate, will take all reasonable and practical steps to obtain custody of all the research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence and sequester them in a secure manner, except that where the research records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. Upon ensuring that the research records are secure, the respondent shall be notified that an inquiry is being initiated and the charges and the procedures to be followed. An inventory of the secured records shall be provided him/her as soon as reasonable and practicable. The respondent will be provided with copies of, or supervised access to, the research records, if requested. The steps required to obtain custody, inventory, and sequester any additional research records and evidence will be followed throughout the inquiry process in the course of securing records. UNM will take reasonable measures to minimize the impact of record collection on the ongoing research, so long as such measures do not conflict with UNM's obligations to sequester. In addition, if research records are located in laboratories or other facilities where chemical, biological, and hazards exist, UNM will take steps to ensure that the collection of such records does not jeopardize the health and safety of any individuals.

2.3 Inquiry Committee

The inquiry shall be carried out by a committee of three persons appointed by the Vice President for Research or Vice Chancellor for Research, as appropriate, in consultation with the President of the Faculty Senate, or his/her designee. At least two Inquiry 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. Faculty members from other universities may be named to the Inquiry Committee if a sufficient number of qualified UNM faculty members are not available. Members of the Committee shall have no actual or potential conflicts of interest in the case, shall be unbiased, and shall, together, possess sufficient expertise to enable the committee to conduct the inquiry.

The respondent and the complainant 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 or Vice Chancellor for Research, as appropriate, in consultation with the President of the Faculty Senate, or his/her designee, will

consider the objection and if it has merit, shall make appropriate substitution(s). In the case of disagreement regarding appointments, the Vice President for Research or Vice Chancellor for Research, as appropriate, shall decide the challenge. That decision shall be final.

If the Committee so requests, the Vice President for Research or Vice Chancellor for Research, as appropriate, shall designate an official to assist the Committee in conducting the inquiry. The Committee shall receive a written charge from the Vice President for Research or Vice Chancellor for Research, as appropriate, defining the subject matter of its inquiry prior to beginning its work.

2.4 Inquiry Process

The respondent and complainant shall be given an opportunity to interview with the Inquiry Committee. The Committee may interview others and examine relevant research records, as necessary, to determine whether there is sufficient credible evidence of possible research misconduct to warrant conducting an investigation. University legal counsel shall be available to the Committee for consultation.

The length of the inquiry shall not exceed sixty (60) calendar days unless prior written approval for a longer period is obtained from the Vice President for Research or Vice Chancellor for Research as appropriate. If the period is extended, the record of the inquiry shall include documentation of the reasons for exceeding the sixty-day period.

2.5 Inquiry Report

The Inquiry Committee shall prepare a report that includes:

- (1) the names and titles of the Committee members, and experts consulted, if any;
- (2) the allegations;
- (3) the PHS support, if any;
- (4) a summary of the inquiry process;
- (5) a summary of the evidence reviewed;
- (6) a summary of any interviews;
- (7) the conclusions of the inquiry as to whether an investigation is recommended; and
- (8) whether any other action should be taken if an investigation is not recommended.

The respondent shall be given fourteen (14) calendar days to review the report and to add his or her comments, which will become part of the final inquiry report and record. Based upon the respondent's comments, the Inquiry Committee may revise its report.

2.6 Inquiry Determination

The Inquiry Committee final report will be sent to the Vice President for Research or Vice Chancellor for Research, as appropriate, who will determine whether the results of the inquiry provide sufficient evidence of possible research misconduct to warrant conducting an investigation or whether the matter will not be pursued further. The respondent and complainant shall be notified in writing of the decision.

3. Investigation

3.1 Purpose and Initiation

The purpose of the investigation is to explore the allegations in detail, examine the evidence in depth, and determine specifically whether research misconduct has been committed, by whom, and to what extent. If instances of possible misconduct involving a different respondent are uncovered, the matter should be sent to the Vice President for Research or Vice Chancellor for Research, as appropriate, to initiate a preliminary assessment.

The Investigation Committee will be appointed and the process initiated within thirty (30) calendar days after the conclusion of the inquiry. If required by sponsoring agency regulations, the office of the Vice President for Research or Vice Chancellor for Research, as appropriate, shall notify the agency of its decision to commence an investigation on or before the date the investigation begins.

3.2 Securing Research Records

Any additional pertinent research records that were not previously sequestered during the inquiry will be immediately sequestered when the decision is made to conduct an investigation. The Vice President for Research or Vice Chancellor for Research, as appropriate, will direct this process. This sequestration should occur before or at the time the respondent is notified that an investigation will begin. The need for additional sequestration of records may occur for any number of reasons, including a decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. As soon as practicable, a copy of each sequestered record will be provided to the respondent, or to the individual from whom the record is taken if not the respondent, if requested.

3.3 Investigation Committee

The investigation shall be conducted by a committee of five persons appointed by the Faculty Senate Operations Committee, in consultation with the Chair of the Research Policy Committee or his/her designee. Committee members should be selected on the basis of relevant research background and experience. All persons appointed from UNM shall be tenured faculty. Tenured faculty members from other universities or senior researchers from research institutions may be named to the Investigation Committee if a sufficient number of qualified UNM faculty members are not available. Members of the committee shall have no actual or potential conflicts of interest in the case, shall be unbiased, and shall, together, possess sufficient expertise to enable the committee to conduct the investigation. No more than two members of the Inquiry Committee may be appointed to serve on the Investigation Committee.

The respondent and the complainant 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 Faculty Senate Operations Committee will consider the objection and if it has merit, shall make appropriate substitution(s), in consultation with the Chair of the Research Policy Committee or his/her designee. In the case of disagreement regarding appointments made by the Faculty Senate Operations Committee, the Vice President for Research or Vice Chancellor for Research, as appropriate, shall decide the challenge. That decision shall be final.

If the Committee so requests, the Vice President for Research or Vice Chancellor for Research shall

designate an official to assist the Committee in conducting the investigation. The Committee shall receive a written charge from the Vice President for Research or Vice Chancellor for Research, as appropriate, defining the subject matter of its investigation prior to beginning its work.

3.4 Investigation Process

The Investigation Committee shall make diligent efforts to interview the complainant, the respondent, and other individuals who might have information regarding aspects of the allegations. The interviews will be recorded on a recording device provided by the office of the Vice President for Research or Vice Chancellor for Research as appropriate. A verbatim written record shall be made of all interviews. A transcript of his/her interview shall be provided to each witness for review and correction of errors, which shall be returned and become part of the investigatory file. University legal counsel shall be available to the Committee for consultation.

3.5 Investigation Report

The Investigation Committee shall prepare a draft of the final report that includes:

- (1) the names and titles of the committee members, and experts consulted, if any;
- (2) the allegations;
- (3) the PHS support, if any;
- (4) a summary of the inquiry process;
- (5) a summary of the evidence reviewed;
- (6) a summary of any interviews;
- (7) findings and basis for each finding;
- (8) conclusion(s) as to whether research misconduct occurred; and
- (9) recommendations for institutional action.

Copies of all significant documentary evidence that is referenced in the report should be appended to the report.

A finding of research misconduct requires that four conditions be met:

- (1) the conduct at issue falls within this policy's definition of research misconduct;
- (2) the misconduct was committed intentionally, or knowingly, or recklessly;
- (3) there is a significant departure from accepted practices of the relevant research community; and
- (4) the allegation has been proven by a preponderance of the evidence. This means that the evidence shows that it is more likely than not that the respondent committed research misconduct.

The respondent shall be given a copy of the draft investigation report for comment, and concurrently, a copy of, or supervised access to the significant documentary evidence on which the report is based. The respondent will be allowed thirty (30) calendar days from the date he/she received the draft report to submit comments. The respondent's comments must be included and considered in the final report. The complainant may be provided with those portions of the draft investigation report that address the complainant's role and opinions in the investigation, and the complainant will have thirty (30) calendar days to submit any comments to the investigation Committee. The report may be modified, as appropriate, based on the complainant's comments.

If the Investigation Committee puts forward a final report with a finding of research misconduct, the respondent has fourteen (14) calendar days to request a hearing before the Provost or Chancellor, as appropriate. The hearing will allow for argument, rebuttal, cross-examinations and a written record of the proceedings.

3.6 Institutional Review and Determination

The Investigation Committee final report will be forwarded to the Vice President for Research or Vice Chancellor for Research, as appropriate. The Vice President for Research will transmit the report to the Provost who is the UNM deciding official for cases where the respondent is not a Health Sciences Center employee. The Chancellor is the deciding official for cases where the respondent is a Health Sciences Center employee. The deciding official will make the final determination whether to accept the investigation report, its findings, and the recommended institutional actions.

If the respondent has requested a hearing, the deciding official will conduct the hearing following the UNM model hearing procedures, available from the University Counsel's office. The Investigation Committee presents the case consistent with its report. The respondent presents the rebuttal. The respondent may have an advisor present.

The deciding official's decision should be consistent with the definition of research misconduct, UNM's policies, and the evidence reviewed and analyzed by the Investigation Committee. The deciding official may also return the report to the Investigation Committee with a request for further fact-finding or analysis. The deciding official's final determination will be sent to the respondent and complainant. If the deciding official's decision varies from that of the Investigation Committee, the basis for rendering a different decision will be explained in the report to ORI and other agencies as appropriate.

Respondents may appeal the final determination to the UNM President. An appeal is limited to:

- (1) a claim of procedural error; and/or
- (2) a claim that the sanction imposed as a result of a finding of research misconduct is inappropriate.

Except as to PHS and Department of Energy (DOE) funded research, the investigation shall be completed within one hundred eighty (180) calendar days of the first meeting of the Investigation Committee. However, for PHS or DOE sponsored research, unless an extension has been granted, UNM must submit the following to ORI or DOE OIG. UNM must submit the required documentation to ORI or DOE OIG within one hundred twenty (120) calendar days of the first meeting of the Investigation Committee.

The following documents are required by PHS:

- (1) a copy of the final investigation report with all attachments;
- (2) a statement of whether UNM accepts the findings of the investigation report;
- (3) a statement of whether UNM found misconduct and, if so, who committed the misconduct; and
- (4) a description of any pending or completed administrative actions against the respondent.

Documentation requirements, adjudication timelines, and the associated mandates are sponsor-specific and must be deciphered for each sponsor involved in the research at issue.

4. Actions Following Investigation

4.1 Finding of Research Misconduct

If the final determination is that research misconduct occurred, UNM shall take appropriate action, which may include but is not limited to:

- (1) notification of the sponsoring agency;
- (2) withdrawal or correction of all pending or published abstracts and papers emanating from the research;
- (3) removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, rank reduction or termination of employment in accordance with UNM policies and procedures. In cases involving faculty, implementation must be consistent with the Policy on Academic Freedom and Tenure;
- (4) determination of whether law enforcement agencies, professional societies, professional licensing boards, collaborators of the respondent, or other relevant parties should be notified; and
- (5) any other steps deemed appropriate to accomplish justice and preserve the integrity of UNM and the credibility of the sponsor's program.

4.2 Restoration of Respondent's Reputation

If the final determination is that no research misconduct occurred, efforts shall be undertaken to the extent possible and appropriate to fully protect, restore, or maintain the credibility of the research project, research results, and the reputation of the respondent, the sponsor and others who were involved in the investigation or deleteriously affected thereby. Depending on the circumstances, consideration should be given to notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of research misconduct was previously publicized, expunging all reference to the research misconduct allegation from the respondent's personnel files, or reviewing negative decisions related to tenure or advancement to candidacy that occurred during the investigation. Any institutional actions to restore the respondent's reputation must first be approved by the Vice President for Research or Vice Chancellor for Research, as appropriate.

4.3 Protection of the Complainant and Others

Regardless of whether UNM determines that research misconduct occurred, reasonable efforts will be undertaken to protect complainants who made allegations of scientific misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. The Vice President for Research or Vice Chancellor for Research, or designee, will also take appropriate steps during the inquiry and investigation to prevent retaliation against the complainant. If a complainant believes that retaliation was threatened, attempted or occurred, he or she may file a complaint with the UNM Internal Audit Department.

4.4 Allegations Made in Bad Faith

If relevant, the Vice President for Research or Vice Chancellor for Research will determine whether the complainant's allegation of research misconduct was made in good faith. If an allegation was made in bad faith, appropriate disciplinary action will be taken in accordance with UNM policies and procedures. If the complainant is not associated with UNM, appropriate organizations or authorities may be notified and administrative or legal action considered.

5. Other Considerations

5.1 Requirements for Reporting to ORI When Funding from PHS Is Involved

5.1.1 The decision to initiate an investigation must be reported in writing to the Director of the ORI, on or before the date the investigation begins. The notification must include at a minimum the name of the person(s) against whom the allegations have been made, the general nature of the allegation, and the PHS application or grant number(s) involved.

5.1.2 If UNM plans to terminate an inquiry or investigation without completing all relevant requirements of the PHS regulation, a report of such planned termination shall be made to ORI, including a description of the reasons for the proposed termination.

5.1.3 If UNM determines that it will not be able to complete the investigation within one hundred twenty (120) calendar days, a written request for an extension shall be submitted to ORI that explains the delay, reports on the progress to date, estimates the date of completion and describes other necessary steps to be taken. If the request is granted, UNM must file periodic progress reports as requested by ORI.

5.1.4 UNM will keep ORI apprised of any developments during the course of an investigation that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the PHS needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

5.1.5 ORI shall be notified immediately, at any time during a research misconduct proceeding, if there is any reason to believe that any of the following conditions exist:

(1) Health or safety of the public is a risk, including an immediate need to protect human or animal subjects;

(2) HHS resources or interests are threatened;

(3) Research activities should be suspended;

(4) There is a reasonable indication of possible violations of civil or criminal law;

(5) Federal action is required to protect the interests of those involved in the research misconduct proceeding;

(6) The research misconduct proceeding may be made public prematurely and HHS action may be necessary to safeguard evidence and protect the rights of those involved; or

(7) The research community or public should be informed.

5.2. Funding Agency Requirements for Reporting

When support from other funding agencies is implicated in research subject to the allegation of potential misconduct, the funding agency policies must be researched and followed.

5.3 Administrative Action

UNM officials will take administrative actions, as appropriate, to protect federal funds and ensure that the purposes of the federal financial assistance are carried out. UNM officials shall ensure that administrative actions taken by the institution and ORI are enforced and shall take appropriate action to notify other involved parties such as sponsors, law enforcement agencies, professional societies, and licensing boards, of those actions.

5.4 Termination of UNM Employment

The termination of the respondent's UNM employment, by resignation or otherwise, before or after an allegation of possible research misconduct has been reported, will not preclude or terminate the misconduct procedures. If the respondent refuses to participate in the process after termination of employment, the Committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the Committee's review of all the evidence.

5.5 Record Retention

Records of the research misconduct proceeding will be maintained in a secure manner for seven (7) years after completion of any proceeding by UNM involving research misconduct allegations, or the completion of any ORI proceeding involving the allegation of research misconduct, whichever is later, unless custody of the records has been transferred to ORI or ORI has advised that the records no longer need to be retained. When it is determined that an investigation is not warranted, detailed documentation of the inquiry must be retained for at least seven (7) years after termination of the inquiry, so that ORI may assess the reasons why UNM decided not to conduct an investigation.

5.6 Reimbursement

If requested, the UNM Board of Regents in the pursuit of justice and fairness may, in its sole discretion, fully or partially reimburse the respondent and/or the complainant for legal fees in cases of unusual hardship.

5.7 Federal Regulatory Changes

If PHS, ORI, NSF or any other federal agency amends its requirements on research misconduct, those amendments shall govern where applicable and shall be incorporated into this policy by reference herein. Such changes in federal requirements shall supersede all relevant portions of this Policy.

History

Research Misconduct Policy (amended) Approved by Faculty Senate April 25, 2017

Research Misconduct Policy (amended) Approved by UNM Board of Regents April 13, 2004

Research Misconduct Policy (amended) Approved by Faculty Senate February 24, 2004

Research Misconduct Policy (amended) Approved by Faculty Senate April 22, 2003

Research Misconduct Policy (amended) Approved by UNM Board of Regents May 10, 2002

Research Misconduct Policy (amended) Approved by Faculty Senate April 23, 2002

Research Fraud Policy Approved by UNM Board of Regents October 10, 1996

Research Fraud Policy Approved by Faculty Senate September 10, 1996

E60: Sponsored Research

(Approved by the Faculty Senate, October 27, 2015)

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

Policy Rationale

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

Policy Statement

1. The Vice President for Research (VPR) has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all main-campus and branch-campus research proposals submitted to outside agencies. The Senior Executive Officer for Finance & Administration (SEOFA), Health Sciences Center (HSC), has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all HSC research proposals submitted to outside agencies. The VPR and 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 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.

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 Policy and Operations Committee in consultation with the responsible Faculty Senate Committee listed in Policy Heading.

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, 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** (<https://policy.unm.edu/regents-policies/section-5/5-9.html>) "Sponsored Research"

Faculty Handbook, **Policy E70** (</policies/section-e/e70.html>) "Intellectual Property"

University Administrative Policies and Procedures Manual

Policy 2010 "Contracts Signature Authority and Review,"

Policy 2425 (<https://policy.unm.edu/university-policies/2000/2425.html>) "Recovery of Facilities and Administrative Costs"

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

Contacts

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

Procedures

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

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

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

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

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

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

3. In consultation with the Provost, the OVPR, and the Faculty Senate Research Council, a formula (or algorithm) for the distribution of the main campus and branch campus F&A funds to units and centers, 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, 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 shall be posted on the 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.

History

Effective:

October 27, 2015—Approved by the Faculty Senate

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.

E80: Conflict of Interest Waiver Policy for Technology Transfer

Policy

Approved by the Faculty Senate 8/24/99 and Board of Regents 10/12/99

This Policy is adopted pursuant to § 21-28-25 NMSA 1978. Under certain circumstances this Policy will permit an officer or employee of the University to establish and maintain a substantial interest in private entity that provides or receives equipment, materials, supplies or services under contract with the University in order to facilitate the transfer of technology developed by the officer or employee from the University to commercial and industrial enterprises for economic development.

IMPLEMENTATION

1. Approval Authority. The President of the University, or a designee of the President ("President"), may grant permission for an officer or employee of the University to establish and maintain a substantial interest in a private entity which contracts with the University for the purpose of providing goods and/or services to the University, or receiving goods and/or services from the University, in accordance with the following procedures. It is acknowledged that each request will be unique and therefore each request must be dealt with on a case by case basis at the discretion of the President.

2. Application Requirement. An officer or employee seeking the permission of the President in accordance with this policy, shall submit a written application for such permission to the President, with copies to the UNM Conflict of Interest Committee [the Committee], and to the Provost (main campus) or Vice President for Health Sciences (HSC). The application shall contain the following:

- a. A detailed description of the officer or employee's interest in the private entity
- b. A full description of the nature of the proposed undertaking.
- c. Factors that demonstrate that the proposed undertaking will benefit the economy of the State of New Mexico.
- d. Factors that demonstrate that the proposed undertaking will not adversely affect research public service or institutional activities at the University.
- e. Factors that demonstrate the officer's or employee's interest in the private entity or benefit from the interest, will not adversely affect any substantial interest of the State of New Mexico.

3. Committee Recommendation. The Committee shall issue its recommendation on the application to the President within one month of receipt of the application. Unless the Committee fails to issue a recommendation within the timeline, the President shall give full consideration to the Committee recommendation prior to issuing a decision.

4. Approval Criteria. If the President determines that the application meets the requirements stated above and that the proposed undertaking is in the best interest of, or does not adversely affect, the interest of the University and that it will benefit the economy of the State and not adversely affect research, public service or instructional activities at the University, nor adversely affect any substantial State interest, the

President may grant permission to the individual or entity as requested. As part of any approval, the President may impose such additional limitations or conditions on the approval as the President may deem appropriate.

5. Advance Approval Required. Such approval must be received prior to conducting or formally offering to conduct business with the University.

6. Compliance with Law and UNM Procedures. Permission granted by the President pursuant to this Policy authorizes the employee or officer to simultaneously hold an interest in a private entity and in a contract with the University that might otherwise be prohibited by conflict of interest laws or procedures. It does not, however, eliminate the requirement for any such contracts to be entered into and carried out in compliance with other federal and state laws, and University policies and procedures.

E90: Human Beings as Subjects in Research

Approved by: Faculty Senate

Effective: April 25, 2017

Responsible FS 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

In the oversight of all Human Subjects Research, the University of New Mexico (UNM) as a whole, is committed to protecting the rights and welfare of participants in Human Subjects Research consistent with the ethical principles outlined in the April 18, 1979, report of The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research titled “Ethical Principles and Guidelines for the Protection of Human Subjects of Research,” also known as “The Belmont Report”:

- Respect for Persons
- Beneficence
- Justice

Policy Statement

UNM aims to promote a culture of compliance with the highest legal and ethical standards for the conduct of human research. UNM recognizes research as one of its chartered enterprises and shares responsibility for promoting and managing this activity with its individual researchers when conducted under its auspices.

To ensure comprehensive protection of the rights and welfare of subjects in human research across a diverse social-behavioral and biomedical research enterprise, UNM holds two distinct Federal Wide Assurances (FWAs) approved by the U.S. Department of Health and Human Services, one for the University Main Campus and a separate FWA for the Health Sciences Center (HSC). Under these agreements, UNM assures that all of its activities related to human subjects in research (“Human Subjects Research”) are conducted in accordance with all applicable federal regulations (e.g., 45 C.F.R. § 46, 21 C.F.R. § 50, 21 C.F.R. § 56, 21 C.F.R. § 312, 21 C.F.R. § 812).

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

HRRC refers to UNM HSC's Human Research Review Committees (HRRC)

IRB. Refers to the UNM Main Campus Office of the Institutional Review Board (IRB)

Human Research Subject. The United States Department of Health and Human Services (HHS) defines a human research subject as a living individual about whom a research investigator (whether a professional or a student) obtains data through 1) intervention or interaction with the individual, or 2) identifiable private information (32 C.F.R. 219.102(f))

Who should read this policy

- Faculty, staff, and students conducting 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 5.1 "The Faculty's Role in UNM's Academic Mission"](http://policy.unm.edu/regents-policies/section-5/5-1.html) (<http://policy.unm.edu/regents-policies/section-5/5-1.html>)

[Policy 5.14 "Human Beings as Subjects in Research"](http://policy.unm.edu/regents-policies/section-5/5-14.html) (<http://policy.unm.edu/regents-policies/section-5/5-14.html>)

[Policy 5.13 "Research Fraud"](http://policy.unm.edu/regents-policies/section-5/5-13.html) (<http://policy.unm.edu/regents-policies/section-5/5-13.html>)

Faculty Handbook

[E40 "Research Misconduct"](http://handbook.unm.edu/policies/section-e/e40.html) (<http://handbook.unm.edu/policies/section-e/e40.html>)

Contacts

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

Procedures

All Principal Investigators and involved researchers engaged in Human Subjects Research are required to:

1. Obtain approval from the IRB or HRRC following the procedures established by the Main Campus Office

of the IRB (OIRB) and the Main Campus IRB; or the HSC Human Research Protections Office and the HSC's Human Research Review Committees (HRRC), depending on the Principal Investigator's primary appointment. Procedures are posted on the respective websites and are regularly and continually updated to comply with federal regulations and accreditation standards.

2. Monitor ongoing research and teaching activities under their supervision to ensure that they continue to be conducted in accordance with approved protocols.

3. Ensure that all personnel involved in Human Subjects Research under their supervision are appropriately trained on the applicable laws, rules, and regulations regarding Human Subjects Research as well as the Main Campus IRB's or HRRC's policies and procedures, as the case may be, with respect to Human Subjects Research.

4. Comply with and ensure compliance with all determinations and additional requirements of the IRB and/or HRRC, as the case may be, with jurisdiction over the research.

History

Research Misconduct Policy (amended) Approved by Faculty Senate April 25, 2017

Revised November 15, 1966

E100: Policy Concerning Use of Animals

Policy

Approved by Faculty Senate, May 8, 1990; Ratified by Regents, September 11, 1990.

The University of New Mexico has long recognized both a scientific and an ethical responsibility for the humane care and use of all animals utilized in our educational and research activities. It is also recognized that all University personnel who care for or use animals in educational or research activities must assume responsibility for the animal's general welfare. Obviously, investigators involved in open field research, such as ecology or animal behavior, do not control the animal environment and cannot be held responsible for animal welfare. The intent of these educational and/or research activities is to provide experience and data that will advance knowledge of immediate or potential benefit to humans and animals. The University faculty, students and administration shall continue to develop and use scientifically valid adjunct or alternative methods which can refine, reduce and/or replace the use of animals. Some situations exist which still require the use of animals. Therefore, the University of New Mexico supports the continued and judicious use of animals in our educational and research programs.

The University of New Mexico Animals Care and Use Programs will provide optimal care to all animals and will conform to all federal, state and local laws. The Programs will comply with the provisions of the Animal Welfare Act of 1960 "Public Law 89-544" and all subsequent amendments; The Public Health Service Policy on Humane Care and Use of Laboratory Animals "Health Research Extension Act of 1985, Public Law 99-158;" and the Guide for the Care and Use of Laboratory Animals "HHS Publication Number 'NIH' 85-23." All educational and/or research projects involving animals will be reviewed and approved by the University's respective Animal Care and Use Committees. Students who think they have been unfairly treated by the decisions of any professor or department regarding decisions concerning animal use shall have the right of appeal according to the due process procedures appropriate to the college in which the action was taken.

E110: Conflict of Interest in Research

Policy

Adopted by the Regents April 11, 2000; revised by the Faculty Senate April 22, 2003; approved by the President May 12, 2003

I. INTRODUCTION

The purpose of this policy is to protect the integrity, trust and respect of UNM, its academic community and its research activities. The policy is intended to enable compliance with applicable laws and other regulatory requirements and to protect investigators who may be exposed to conflict of interest situations. It is designed to inform investigators of their disclosure responsibilities, provide an efficient method for making disclosures, and facilitate effective identification and management of conflicts of interest.

Members of the University of New Mexico community are engaged in many contractual, consulting and advisory relationships with other universities, government agencies and private sector entities. UNM encourages these relationships for their contributions to research, education, technological advancement and professional development. UNM members must be cautious, however, to prevent unresolved conflicts of interest in these relationships that might undermine the credibility of their work or damage their reputation. Additionally, full-time faculty members and researchers must be mindful of their obligation to devote their primary professional efforts and allegiance to UNM. Other activities should not interfere or significantly conflict with this responsibility.

Conflicts of interest may occur when an investigator's research responsibilities compete with his or her private interests, such as financial interests, raising questions of objectivity and improper gain. Conflicts of interest are inevitable in modern research universities and do not imply any impropriety on the part of the investigator. A conflict of interest may exist despite the highest standards of conduct and candor. Most conflicts can be successfully resolved without impeding research activities.

Disclosing the required information at the earliest possible time will afford the best protection of an investigator's interests. Disclosure early in the UNM research is a key factor in protecting an investigator's reputation and career from potentially embarrassing or harmful allegations of inappropriate behavior. Investigators are encouraged to disclose any situation that could conceivably be viewed as a conflict of interest or a reportable financial interest, and to favor more rather than less disclosure. The Conflicts of Interest Committee will assess whether an actual or potential conflict exists and work with the investigator to determine how it should be resolved or managed.

Individuals who are uncertain about the policy's application to their situation should contact the Office of Research Services (ORS) for assistance.

II. APPLICABILITY

A. Overall Policy

This policy applies to all investigators, including non-UNM investigators. The policy covers actual and potential conflicts of interest associated with participation in UNM research, which includes:

1. Research funded by or through UNM (including outside sponsored funding).
2. Research conducted at UNM, regardless of funding.
3. Nonsponsored research conducted off campus by UNM employees.

B. Disclosure Requirements

The conflict of interest disclosure requirements apply to all investigators who work on:

1. Sponsored UNM research.
2. Nonsponsored UNM research that is:
 - a) Human subject research;
 - b) Animal subject research; or
 - c) Research funded by a formal award from internal UNM sources based on submission of a proposal.

III. DEFINITIONS

A. Conflict of Interest

1. Conflict of interest means a situation associated with an investigator's participation in UNM research where it reasonably appears, on an actual or potential basis, that:

- a) The investigator's significant financial interest could directly and significantly affect the design, conduct or reporting of UNM research activities; or
- b) The investigator's situation could directly and significantly compromise his or her professional commitments or allegiance to UNM.

2. Examples of the types of situations that may come within this definition include:

- a) Holding a direct or indirect interest in an outside entity that conducts business in an area closely related to the UNM research or serving as a director, officer, partner, trustee, manager or employee in such an entity.
- b) Undertaking or steering UNM research to serve the research or other. needs of an outside entity, without approval of UNM or the research sponsor.
- c) Directing potential research efforts away from UNM and toward the investigator's outside entity, or an outside entity in which the investigator has a financial interest.
- d) Transmitting to an outside entity without the sponsor's consent, or otherwise using for personal gain, sponsored work products, results, materials, records or information that are not generally made available. This does not necessarily preclude contracts between faculty start-ups and either UNM or the Science & Technology Corporation @ UNM, although these contracts may give rise to conflict of interest situations.
- e) Using privileged information acquired in connection with the investigator's sponsored UNM research activities for personal gain or for unauthorized purposes. Privileged information includes medical, personnel or security records of individuals, anticipated material requirements or price actions, possible new sites for government operations, and knowledge of forthcoming programs or selection of

contractors or subcontractors in advance of official announcements.

f) Negotiating or influencing the negotiation of contracts related to the investigator's sponsored UNM research between UNM and outside entities with which the investigator has consulting, equity or fiduciary relationships.

g) Accepting gratuities or special favors from entities with which UNM does or may conduct business in connection with sponsored UNM research, or extending gratuities or special favors to employees of the sponsor, under circumstances that reasonably might be interpreted as an attempt to influence the recipients in the conduct of their duties.

B. Investigator means the principal investigator, the co-principal investigator and any other person (including faculty, staff and students) who is responsible for the design, conduct or reporting of UNM research. Any individual responsible for a task that could have a significant effect on the research design, conduct or reporting is considered to be an investigator, even if the individual does not have sole or primary responsibility for the task or the research.

C. Non-UNM Investigator means any person who is:

1. Responsible for the design, conduct or reporting of UNM research; and
2. Employed by an entity other than UNM, working pursuant to a sub-award with another entity, working as an independent contractor or collaborator, or otherwise not employed by UNM.

D. Significant Financial Interest

1. Significant financial interest means anything of monetary value belonging to the investigator and his or her spouse or domestic partner and dependent children, including but not limited to:

- a) Salary, royalties or other payments for services, such as consulting fees or honoraria, unless they are expected to total \$10,000 or less over the next 12 months when aggregated for the investigator and his or her spouse and dependent children.
- b) Equity interests, such as stocks, stock options or other ownership interests, unless they amount to \$10,000 or less in value and represent a 5% or less ownership interest in a single entity when aggregated for the investigator and his or her spouse and dependent children.
- c) Intellectual property rights, such as patents and copyrights, and royalties from these rights.

2. Significant financial interest does not include the following:

- a) Salary, royalties or other remuneration from UNM (including payments or other technology commercialization proceeds through the Science & Technology Corporation @ UNM).
- b) Income from seminars, lectures or teaching engagements sponsored by public or nonprofit entities.
- c) Income from service on advisory committees or review panels for public or nonprofit entities.
- d) Interests in widely held investment funds if:

(1) The investigator does not exercise control over or have the ability to exercise control over the fund's financial interests; and

(2) Either

(a) The fund is publicly traded or available, or

(b) Its assets are widely diversified; for example, if the fund holds no more than 5% of its portfolio value in the securities of anyone issuer, other than the federal government, and no more than 20% of its portfolio value in any particular economic or geographic sector.

(e) Interests in blind trusts if the investigator has no knowledge of the trust assets.

E. UNM research means a systematic investigation designed to develop or contribute to generalizable knowledge, including basic and applied investigations and product development, that is:

1. Funded by or through UNM (including outside sponsored funding);
2. Conducted at UNM, regardless of funding; or
3. Nonsponsored and conducted off campus by UNM employees.

IV. CONFLICTS OF INTEREST COMMITTEE

A. Purpose

1. The purpose of the Conflicts of Interest Committee is to protect the integrity of investigators, UNM, and UNM research by identifying and resolving conflicts of interest when they exist. The Committee carries out this charge in a manner that is intended to foster, not hinder, research relationships.

2. In addition to reviewing conflict of interest disclosures, the Committee may offer advice on general questions concerning conflicts of interest.

B. Composition

1. There will be one or more Conflicts of Interest Committees formed at the Provost's discretion. The membership of each committee will comprise six faculty members, two people not primarily employed by UNM, and two UNM officials with administrative responsibility for contracts. Notwithstanding the formation of two or more committees, these conflict of interest committees will be referred to collectively as "the Conflict of Interest Committee" in all other sections of this Policy.

Half of the members selected by the Provost in each category will be based on recommendation from the Vice President for Health Sciences, and half will be based on recommendation from the Vice Provost for Research.

2. Each Committee member will serve a three-year, renewable term. The terms will be staggered to allow for continuity and rotation of members. Upon adoption of this policy, the members of the Conflicts of Interest Committees established under UNM's Policy and Procedures on Conflicts of Interest in Sponsored Research (1992) will continue to serve their appointed terms as members of this Committee.

Terms shall begin July 1 and will end on June 30, three years later. If more than one committee has been formed, the Provost will periodically switch some members among the committees in order to promote integration of viewpoint between the committees. The Provost may rearrange membership in this manner annually, at the time of formation of a new committee, or at other times as necessary to promote the goals of this paragraph. In the event of a vacancy, the replacement committee member will be appointed by the same method and from the same category as the departing member, and shall serve for the remaining duration of the departing member's term.

C. Decision Making

A quorum of six members is required for the Committee to perform its functions. Each member has one vote and decisions are to be made by majority vote. The Committee may develop guidelines for reviewing and assessing disclosures. When more than one committee has been formed, any such guidelines must be approved by all committee members.

D. Disqualification of Committee Members

1. Under certain circumstances, Committee members may be disqualified from reviewing a disclosure. The standard for disqualification is a reasonable belief that a member may be unable to make a decision based solely on the evidence. Examples of situations that would warrant disqualification include:

- a) The member is directly involved in the disclosure under review.
- b) The member has a prior relationship with the investigator that would interfere with the member's objectivity.
- c) The member's objectivity or ability to serve reasonably appears to be adversely affected by the circumstances.

E. Removal of Committee members

1. A member will be removed only for good cause and only by the Provost upon recommendation of a majority of a quorum of the committee on which the member sat. Good cause will include:

- a) Change in eligibility status.
- b) Insufficient attendance at committee meetings.

2. Committee members may self-recuse at any stage in the review process.

3. An investigator may request recusal of a member at any stage in the review process. The Committee will deliberate and decide on this request in the absence of the member whose disqualification is sought.

4. If the Committee is unable to form a quorum upon recusal of a member, the Committee will randomly select a former member to serve on the Committee on an interim basis for the remainder of the disclosure review and assessment.

V. DISCLOSURE REQUIREMENTS

A. General

The disclosure requirements of this policy apply to all UNM investigators working on:

1. Any sponsored UNM research.
2. Any nonsponsored UNM research that is:
 - a) Human subject research;
 - b) Animal subject research; or
 - c) Research funded by an award from internal UNM sources based on submission of a proposal.

B. Sponsored Research Proposals: UNM Investigators

1. At the time a sponsored research proposal is submitted to ORS or the Health Sciences Center Pre-Award Administration Office (HSC-PAA), all UNM individuals who will serve as investigators on the proposed research must concurrently submit a completed conflict of interest form that discloses the following, among other things:

- a) Any significant financial interest that would reasonably appear to be affected by the research.
- b) Any significant financial interest in an entity whose financial interests would reasonably appear to be affected by the research.
- c) Any other situation that could call into question the investigator's professional commitments in undertaking the research or the investigator's primary allegiance to UNM.

2. The principal investigator, and any co-principal investigator, are responsible for identifying the research investigators, informing them of the requirements of this policy, and providing a list of their names to ORS or HSC-PAA. ORS or HSC-PAA should receive completed disclosure forms from each investigator prior to the proposal's submission to the funding source.

3. The same procedures apply for proposals submitted to ORS or HSC-PAA for renewal funding. Any new investigators must provide a completed conflict of interest form, and continuing investigators who provided a conflict of interest form with the original proposal must confirm or revise their form at the time of submission.

C. Sponsored Research Proposals: Non-UNM Investigators

For non-UNM investigators who will work on sponsored UNM research, the following conditions must be satisfied when the proposal is submitted to ORS or HSC-PAA:

1. If the research will involve a sub-award with an entity that employs the non-UNM investigator, that entity must provide adequate assurances to UNM that its system for compliance with federal conflict of interest requirements will address the proposed research. If the entity is unable to provide these assurances in a timely fashion, the non-UNM investigator must follow the disclosure requirements and procedures specified for UNM investigators.
2. All other non-UNM investigators must follow the disclosure requirements and procedures specified for UNM investigators.

D. Nonsponsored Research

1. Each UNM investigator whose UNM research involves human subject research, animal subject research or research funded by a formal award from internal UNM sources based on submission of a proposal must submit a completed conflict of interest disclosure form to ORS or HSC-PAA. The disclosure form must be submitted to ORS or HSC-PAA before the nonsponsored proposal is submitted to the human or animal subject research review committee or the Research Allocation Committee.
2. Investigators working on other types of non sponsored UNM research are encouraged to voluntarily submit disclosure forms to ORS or HSC-PAA, as appropriate.
3. UNM employees working on nonsponsored research at other institutions are encouraged for their self-protection to follow the conflicts of interest procedures of their host institution.

E. Ongoing Disclosure Responsibility

1. Disclosure requirements apply for the duration of the UNM research. Investigators must disclose any of the following, among other things, that occur during the sponsored UNM research:

- a) A new significant financial interest that would reasonably appear to be affected by the research.
- b) A new significant financial interest in an entity whose financial interests would reasonably appear to be affected by the research.
- c) A new situation that could call into question the investigator's professional commitments in undertaking the research or the investigator's primary allegiance to UNM.
- d) A significant change to a previously reported disclosure.

2. Investigators must submit updated disclosure forms to ORS or HSC-PAA within 30 days after the disclosable situation arises.

3. All newly-added investigators on UNM research must submit a completed conflict of interest disclosure form to ORS or HSC-PAA within 30 days after beginning work on the research. The principal investigator, and any co-principal investigator, are responsible for informing newly-added investigators of this requirement and ensuring that they submit disclosure forms. Newly-added investigators are subject to the ongoing disclosure requirements of this section.

F. Confidentiality of Disclosures

All individuals involved in handling a disclosure should exercise care at all times to protect the confidentiality of the disclosed information and the privacy of the investigator, to the extent permitted by law.

VI. REVIEW AND MANAGEMENT OF CONFLICT OF INTEREST DISCLOSURES

A. Initial Screening

1. ORS or HSC-PAA is responsible for initial screening of conflict of interest disclosure forms. ORS or HSC-PAA will refer all disclosure forms that indicate a possible conflict of interest to the Conflicts of Interest Committee, unless otherwise specified in any screening guidelines provided by the Committee. In addition, if the research involves human or animal subjects, or research funded by a formal award from internal UNM sources based on submission of a proposal, ORS or HSC-PAA will send copies of disclosure forms that indicate a possible conflict of interest to the human or animal subject research review committee or the Research Allocation Committee, as appropriate.

2. If the referred disclosure form was submitted by an investigator other than the principal investigator, ORS or HSC-PAA will notify the principal investigator of the general nature of the referral without divulging the particulars of the disclosed information.

B. Determination of Conflicts of Interest

1. The Conflicts of Interest Committee will regularly review and assess conflict of interest disclosure forms referred by ORS or HSC-PAA. If the Committee determines after initial review of a disclosure that no conflict of interest exists, it will conclude its assessment. If the Committee is unable to make this determination, it will invite the investigator who submitted the disclosure to meet with the Committee and

explain the circumstances of the UNM research and the possible conflict of interest. The Committee will determine whether a conflict of interest exists, and if so, work with the investigator to determine how it might be managed or resolved to best protect the investigator, the institution and the research results.

2. On occasion, circumstances may require the Provost or designee to make an expedited decision to accept funding for UNM research before the Conflicts of Interest Committee has had an opportunity to review a disclosure related to the research. In that event, the Committee subsequently will review and assess the disclosure according to its regular process. No research expenditures will be made pending Committee review.

C. Role of Principal Investigator

1. When the investigator whose disclosure is reviewed by the Conflicts of Interest Committee is not the principal investigator for the UNM research, the privacy of the investigator must be balanced with the principal investigator's need for sufficient information to manage the research responsibly. Accordingly, if the Committee believes upon initial review of the disclosure that a conflict of interest may exist, the Committee will ask the investigator for consent to reveal the disclosure to the principal investigator and to invite the principal investigator to meet with the Committee and participate in discussion of the research circumstances.

2. If the investigator consents to the principal investigator's participation, the Committee will proceed accordingly. If the investigator refuses consent, the Committee will keep the disclosure details confidential and proceed in its assessment of the disclosure with the investigator's participation. Despite the refusal, the Committee may confer generally with the principal investigator about the research and the investigator's role in it, revealing no more than the overall nature of the possible conflict.

3. If the Committee finds that an investigator who did not consent to the principal investigator's participation in the review process has a conflict of interest, the Committee will try to manage the conflict in a manner that does not involve the principal investigator. The principal investigator should be involved in the conflict management plan only if the plan would affect the conduct of the research. Without the involvement of the principal investigator, the Committee cannot remedy the conflict by recommending modification of the research protocol or oversight of the research. Consequently, refusal to involve the principal investigator may prevent the effective management of a conflict. If the investigator and the Committee cannot agree on a resolution that would not affect the research, the investigator must either consent to involvement of the principal investigator in managing the conflict or withdraw from the research.

D. Management of Conflicts of Interest

1. If the Conflicts of Interest Committee determines that an investigator has a conflict of interest in UNM research, it will decide how the conflict should be managed so the research may proceed if at all possible. The Committee may impose conditions or restrictions to control, reduce or eliminate the possibility that the conflict will affect the objectivity of the research. The Committee may designate other UNM officials to assist in this process. Examples of conflict of interest management options include:

- a) Public disclosure of the conflict.
- b) Monitoring of the research by independent reviewers.
- c) Modification of the research plan.
- d) Divestiture of the investigator's conflicting financial interests or placement in a blind trust.

- e) Escrow of an equity interest until certain triggering conditions are met.
- f) Prohibition on the investigator's involvement in contract negotiations for the research.
- g) Severance of the investigator's relationships that create the conflict.
- h) Disqualification of the investigator from participation in part of the research.

2. All conflicts of interest must be managed to the satisfaction of the Committee for the UNM research to proceed and for funding, if any, to be accepted. This applies to all UNM research that is subject to the disclosure requirements of this policy, regardless of whether the research is funded. No conflicts may be waived. If a conflict of interest cannot be managed, the investigator must withdraw from the research and UNM may need to decline acceptance of the award or terminate the sponsored agreement.

E. Notification of Committee Decisions

1. If the Conflicts of Interest Committee determines that an investigator's disclosure does not constitute a conflict of interest, the Committee will provide written notification of its decision and rationale to the investigator, the principal investigator if different from the investigator, the Chair of the investigator's department, and the Director of the Center, if appropriate.

2. If the Committee finds that a conflict of interest does exist, the Committee will notify the same individuals, with the addition of the appropriate Dean, of the existence of the conflict and the management plan.

3. The Committee will provide copies of all of its decisions to the Provost and to either the Associate Provost for Research or the Vice President for Health Sciences.

F. Appeals

An investigator may appeal a Committee decision to the Provost or designee, who will meet with the investigator and the Committee (or its representative) prior to making a final decision on the appeal. No research expenditures will be made pending appeal.

VII. REPORTING AND RECORDS REQUIREMENTS

A. Reports to Research Sponsors

The Conflicts of Interest Committee, ORS and HSC-PAA will work to ensure that UNM complies with the research sponsor's requirements for reporting conflicts of interest. As of the date of enactment of this policy, for example, UNM must inform the Public Health Service, prior to the expenditure of research funds, of the existence of any actual conflicts of interest in the funded research and provide assurances of their management in accordance with federal requirements. UNM also must report and handle subsequently arising conflicts in PHS-funded research within 60 days after their identification. UNM is required to report to the National Science Foundation only conflicts of interests that have not been managed prior to expenditure of award funds, and keep the agency informed if a conflict cannot be managed successfully.

B. Records Retention

ORS will keep records of all conflict of interest disclosures and all actions taken with respect to those disclosures for at least three years after the later of these events:

- 1. Termination or completion (the date the final expenditures report is submitted) of the UNM research;

2. Resolution of any government action involving the records; or
3. As otherwise provided by law.

VIII. POLICY ENFORCEMENT

A. Types of Noncompliance

Noncompliance with this policy can occur through the following actions:

1. Failure to disclose required information.
2. Failure to follow a conflict of interest management plan.

B. Enforcement Responsibility

The Provost or designee is responsible for enforcing this policy, including investigating and sanctioning noncompliance. The Conflicts of Interest Committee is responsible for reviewing and managing conflicts of interest referred to it during an enforcement process. The Provost or designee may consult with the Committee during this process.

C. Reporting Noncompliance

1. Anyone who suspects that an investigator has not complied with this policy may bring the matter to the attention of the principal investigator, if different from the investigator. If this is not feasible or does not resolve the matter, individuals should report their concerns to the Provost or designee. The Committee may likewise report its own concerns about an investigator's noncompliance.
2. UNM encourages good faith reporting of conflict of interest concerns. UNM prohibits retaliation against a person who reports under this policy in good faith. Retaliation for good faith reporting may result in disciplinary action up to and including dismissal. Similarly, UNM does not tolerate bad faith reporting. Reporting an individual in bad faith may result in disciplinary action up to and including dismissal.

D. Investigation

1. The Provost or designee will investigate allegations of policy noncompliance. The procedures in UNM's Research Fraud Policy may be used for guidance, although investigations under this policy may be handled less formally than specified in the Research Fraud Policy.
2. Any information that arises from the investigation that is disclosable under Section V will be referred to the Conflicts of Interest Committee for review and management.

E. Sanctions

The Provost or designee may employ a range of options and sanctions in handling investigator noncompliance, including disciplinary and legal action and refusing or rescinding acceptance of an award.

F. Notification of Research Sponsors

If an investigator's noncompliance with this policy may have biased the design, conduct or reporting of the UNM research, UNM will promptly notify the funding agency. Research sponsors may impose additional restrictions, including suspension of funding. For example, if clinical research funded by the Public Health

Service on the safety or efficacy of a drug, medical device or treatment was designed, conducted or reported by an investigator with an undisclosed or unmanaged conflict of interest, the investigator will be required to disclose the conflict in each public presentation of the research results.

IX. APPLICABILITY OF FEDERAL RULES

If a federal agency issues rules governing conflicts of interest in sponsored UNM research, those rules will govern where applicable. Proposals submitted for funding to the Public Health Service and the National Science Foundation are subject to specific legal requirements concerning financial conflicts of interest. This policy is intended to comply with those requirements. Any changes in the federal requirements will supersede the relevant provisions of this policy.

Every investigator is responsible for being familiar with and following the provisions of governing laws and rules related to conflicts of interest.

X. EFFECTIVE DATE

This policy will become effective three months after approval by the UNM Board of Regents.

E120: Effort Reporting Policy

Policy

(Approved by the Faculty Senate, February 23, 2010; Approved by Provost Chaouki Abdallah 3/28/12)

Purpose:

Conduct of research is a primary mission of the University of New Mexico. The University is committed to ensuring that effort expended on federally sponsored agreements is appropriately documented, that salaries and wages charged to sponsored agreements reasonably reflect the effort expended on those agreements, that effort is certified by authorized personnel in a timely manner, and that effort certifications comply with sponsor requirements and federal regulations.

Policy:

Certification of effort is an OMB Circular A-21 requirement that the University of New Mexico agrees to when a contract or grant is accepted that is fully or partly funded by the federal government. Timely effort reports, generated by the University, are used to document the certification of effort. The OMB requirement is designed to ensure that:

- a) The percent of effort expended on each project is not less than the percent of effort committed to the sponsor to spend on the project.
- b) The percent of effort expended on each project is not less than the percent of salary charged to the project.

To comply with OMB A-21, an individual with first-hand knowledge of the work performed and the benefitting sponsored project shall certify effort reports in a timely manner.

Monitoring Uncertified Effort Reports:

The University of New Mexico is committed to ensuring that effort reports made in connection with federally sponsored projects are accurate, timely, reasonably reflect the actual level of effort expended, and comply with all agency requirements. It is each department's responsibility to ensure that a process has been appropriately established to certify effort reports on a timely basis. Effort reports that are outstanding at the certification deadline may result in salary and related costs being disallowed by the federal funding agency. Principal Investigators, department chairs or equivalent, and deans/directors or above, as appropriate, will be notified of effort reports that have not been certified.

Independent Evaluation:

The University President or designee will ensure that there are periodic reviews of the effort reporting system.

Rules, Procedures, Guidelines, Forms, and other related resources:

1. Rules *[reserved]*
2. Procedures *[reserved]*
3. Guidelines *[reserved]*
4. Forms *[reserved]*
5. Other Related Resources *[reserved]*

References:

United States Office of Management and Budget CIRCULAR A-21,

http://www.whitehouse.gov/omb/circulars_a021_2004/ (http://www.whitehouse.gov/omb/circulars_a021_2004/)

E30: Reprints of Scholarly Research Publications

Information

Recognizing the importance of disseminating faculty research findings, the University supports the publication of scholarly research by underwriting the purchase of reprints, in accordance with the following policy.

As funds remain available during the fiscal year:

1. An author may apply for a maximum of \$300 per year for page costs and reprints irrespective of the number of publications during that year.
2. A request written by the author and endorsed by the chairperson attached to the appropriate payment documents, shall be directed to the Vice President for Research.
3. The request must include the following information:
 - a. Author's name
 - b. Title of article
 - c. Date of acceptance for publication
 - d. Publisher and address
 - e. Number (normal maximum = 100) and cost of reprints
 - f. Page costs (if applicable)
4. Funds cannot be furnished when publication costs can be covered from contracts or grants.



Faculty Handbook

Section F: Branch Campuses

May 29, 2018

Table of Contents

Section F: Branch Campuses

- [Table of Contents \(/policies/section-f/index.html\)](/policies/section-f/index.html)
- [F10: Roles and Functions of UNM Branch Community Colleges \(/policies/section-f/f10.html\)](/policies/section-f/f10.html)
- [F70: Articulation: Degree Approval, Transfer of Course Credit, and Faculty Approval \(/policies/section-f/f70.html\)](/policies/section-f/f70.html)
- [F80: Representation on Faculty Senate and Its Committees \(/policies/section-f/f80.html\)](/policies/section-f/f80.html)
- [F90: Academic Freedom, Tenure, Appointment and Grievance Procedures \(/policies/section-f/f90.html\)](/policies/section-f/f90.html)
- [F100: Teaching Load \(/policies/section-f/f100.html\)](/policies/section-f/f100.html)
- [Information: F20: Statutory Provisions and Funding \(/policies/section-f/f20.html\)](/policies/section-f/f20.html)
- [Information: F30: UNM Gallup Branch Mission Statement \(/policies/section-f/f30.html\)](/policies/section-f/f30.html)
- [Information: F40: UNM Los Alamos Branch Mission Statement \(/policies/section-f/f40.html\)](/policies/section-f/f40.html)
- [Information: F50: UNM Valencia Branch Mission Statement \(/policies/section-f/f50.html\)](/policies/section-f/f50.html)
- [Information: F60: UNM Taos Education Center Mission Statement \(/policies/section-f/f60.html\)](/policies/section-f/f60.html)

F70: Articulation: Degree Approval, Transfer of Course Credit, and Faculty Approval

Policy

Revised by the Faculty Senate April 2005

Articulation: Though the branch colleges operate under an admissions policy different from that of the main campus, their degree offerings are approved by the University of New Mexico and many of their courses carry transfer credit toward UNM baccalaureate degrees. This connection or articulation of programs means that branch college faculty members may be required to meet a more specific set of approval standards in order to teach transferable courses than to teach non-transferable courses. The policies which govern the articulation of degree programs, course credit, and faculty approval between the UNM branch colleges and the main campus are presented below.

A. Degree Approval

1. All associate degree programs offered at the main campus in Albuquerque are authorized to be offered at the branches, upon approval by the appropriate college and department or program on the Albuquerque campus.
2. To meet local needs, the branches are authorized to develop and offer, with the approval of the Undergraduate Committee, the Curricula Committee, and the Faculty Senate, programs leading to the degrees of Associate of Arts and Associate of Sciences. The branches are also authorized to develop and offer, with the approval of the Office of the Provost/Executive Vice President for Academic Affairs, programs leading to the degree of Associate of Applied Sciences. The transferability to the main campus of credit for courses in these programs will be determined in accordance with the policy statements B. 1, 2, and 3 below.

B. Transfer of Course Credit

The University will accept baccalaureate credits earned by students at any UNM branch college, in accordance with the following policy:

1. Credits earned in lower division courses that appear in the UNM Catalog and/or UNM Schedule of Classes, which have been submitted by the branches and approved for credit by the appropriate department or program and the UNM Curricula Committee, and the branch instructor, content, and level of performance for said courses having been approved by the appropriate main campus department or program, will be accepted by the University as though they were earned on the main campus at the University in Albuquerque.
2. New lower division courses which do not appear in the UNM Catalog and/or the UNM Schedule of Classes will be accepted by the University as though they were earned on the main campus if they have been designed by the branches in cooperation with the appropriate main campus department or program and college; approved for credit by the appropriate department or program and college and by the UNM Curricula Committee; and approved for their instructor, content, and level of

- performance by the appropriate main campus department or program.
3. New and existing lower division courses designed by the branches which do not appear in the UNM Catalog and/or the UNM Schedule of Classes, and which have not been approved by a main campus department and the UNM Curricula Committee prior to being offered, are generally not acceptable for baccalaureate credit except (a) by petition and approval from the UNM degree granting unit, or (b) if determined to be equivalent to a main campus course by the UNM department or program which offers that course.
 4. Special curricular offerings are authorized to meet local educational needs which are not being met by other institutions in the area. The transferability to the main campus of credit for these offerings will be determined in accordance with the policy statements B. 1, 2, and 3 above.

C. Faculty Approval

1. *Approval standards for transferable courses.* Branch college courses carrying pre-designated transferability shall be offered by approved faculty. Tenured/tenure track faculty, by virtue of the standards required for their appointment, are automatically approved to teach transferable courses in their fields of credentialed expertise. Non-tenured/tenure track faculty, and tenured/tenure track faculty teaching outside their fields of credentialed expertise, must be approved to teach transferable courses before or as early as possible during the first semester in which they offer those courses. To be approved to teach transferable courses, faculty members shall meet written standards appropriate to the courses they are to offer.
2. *Formulation of standards.* The faculty approval standards for each transferable course shall be formulated in writing and adopted jointly by the appropriate branch college and main campus administrators. Normally these will be the administrators immediately responsible for supervising course offerings in a particular field: e.g., the chairs (or directors or coordinators or heads) of the departments or programs in the relevant discipline. Once formulated, the standards for each course shall be transmitted to, and reviewed by, the Office of the Provost/Executive Vice President for Academic Affairs. The standards shall be kept on file by the Office of the Provost and by the branch college and main campus administrators who formulated them. They shall be transferred to, and applied in a consistent manner by, subsequent administrators, and they shall be revised only by joint written agreement of the appropriate administrators holding office at the time. All revisions shall be promptly transmitted to, and reviewed by, the Office of the Provost/Executive Vice President for Academic Affairs. Approval standards for each transferable course should be submitted to the Office of the Provost no later than June 1, 2006. After that date, and until such time as standards for the course are submitted, the main campus department shall be presumed to approve all instructors employed by the branch to teach that course. The implementation of faculty approval standards for each transferable course, as described in paragraphs 3-5 below, shall not begin until the standards for that course have been formulated, adopted, and reviewed as stipulated in this paragraph.
3. *Implementation of standards.* The determination that a prospective instructor meets the faculty approval standards for a transferable course shall initially be made by the appropriate administrator (department chair, program director, coordinator, or head) at the branch college. Approval of the instructor shall then be reviewed and confirmed or denied by the college's Dean of Instruction. If the Dean confirms the approval, the branch college may hire the instructor prior to receiving main campus approval. The approval shall then be forwarded to the Branch Executive Director for

recommendation to the appropriate main campus department chair or program director; it shall be submitted no later than the third week of the semester. The approval shall be accompanied by copies of the faculty member's vita and syllabus for the course in question. The main campus administrator shall confirm or deny the approval before or as early as possible during the first semester in which the faculty member offers the course. This decision shall be promptly communicated in writing to the appropriate branch campus administrator, the Dean of Instruction, and, if the approval is denied, the Office of the Provost/Executive Vice President for Academic Affairs.

4. *Denial of approval.* If faculty approval is denied, the main campus administrator shall communicate the reasons for this decision in writing to the appropriate branch college administrator, the Dean of Instruction, and the Office of the Provost/Vice President for Academic Affairs. This communication shall refer specifically to the written faculty approval standards for the course in question but may include other considerations as well. Courses already in progress shall not be cancelled solely because faculty approval is denied or delayed. If approval is denied, the branch college administrator shall work with the main campus administrator to identify and employ an eligible substitute instructor. If no eligible substitute can be obtained, the faculty member who began the course shall finish it under the supervision of the branch college administrator; but the same faculty member shall not be employed again to teach the same course, or any other course that has comparable approval standards, unless s/he has received branch and main campus approval to do so before the course begins.
5. *Exemptions from standards.* Faculty members may teach transferable courses without meeting established approval standards only if the appropriate branch college administrator submits, and the Dean of Instruction supports, a request for an individual exemption from the standards. The request shall be accompanied by a detailed explanation of the reasons for the request and by the proposed faculty member's vita and syllabus for the course in question. The request shall be submitted to the appropriate main campus administrator no later than two weeks before the semester begins. If the request is not approved by the appropriate main campus administrator before the course begins, the course shall not be offered by the proposed instructor.
6. *Non-transferable courses.* Branch college courses not carrying pre-designated transferability shall be offered by faculty who meet the appointment standards set forth in the college's statement on appointment and retention (see section F60 below), and who are recommended for appointment by the appropriate branch college administrator (department chair, program director, coordinator, or head), the Dean of Instruction, and the Branch Executive Director. In making recommendations concerning all faculty appointments, administrators shall act in accordance with the standards and procedures set forth in the branch college statement on appointment and retention and in section F60 below. All faculty appointments are subject to review by the Provost/Executive Vice President for Academic Affairs.

F80: Representation on Faculty Senate and Its Committees

Policy

Branch representation on the Faculty Senate Standing Committees and the Faculty Senate shall be in accordance with the procedures established by the Faculty Senate and its component committees.

F90: Academic Freedom, Tenure, Appointment and Grievance Procedures

Approved by: Academic Freedom and Tenure Committee

Effective: November 28, 2017

Responsible FS Committee: Academic Freedom and Tenure Committee

Office Responsible for Administration: Office of the Provost or the 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

This policy shall provide standards for faculty appointments and for how faculty will be evaluated for promotion, tenure or both at the branch community colleges.

Policy Statement

The principles upon which the University of New Mexico's (UNM) present Policy on Academic Freedom and Tenure are based shall apply to the branch community colleges as well as to the main campus in Albuquerque, except as noted below.

A. Faculty at the branch community colleges can hold any of the appointments as described in Section B of the Faculty Handbook.

B. Because branch community colleges offer only courses that lead to work-force certificates, Associate's degree, and Bachelor degrees (upon transfer), and since the current UNM accrediting body's credentialing standards require that faculty members meet minimum credentialing at the Master's degree level to teach such courses, faculty members teaching at a branch community college shall have as a minimum qualification the Master's degree to enter and progress through the tenure-track ranks.

C. For evaluation of faculty for retention and/or promotion, branch community colleges will use the categories described in Faculty Handbook Section B1. The branch community college will utilize consistent implementation and evaluation policies and procedures.

D. Probationary appointments made at a branch community college shall lead toward academic tenure in a particular academic discipline at that branch only.

E. Branch faculty review, or departmental/divisional review when appropriate, shall mirror Faculty Handbook Section B4. Faculty involved at this level of review shall provide a recommendation to the branch community college Dean of Instruction. The Dean of Instruction shall provide a recommendation as described in Faculty Handbook Section B4.3.2 to the Provost's Branch Tenure Review Committee. Also, from each branch community college, the Chief Executive Officer (CEO) will also provide a letter of recommendation, with the understanding that the CEO may not be a faculty member and may not have

gone through the tenure process. The Provost's Branch Tenure Review Committee is comprised of one (1) tenured faculty member from each of the branch community colleges. This Committee shall provide recommendation to the Provost.

If at any level in the review process at the branch community colleges, the recommendation is negative concerning tenure or promotion, or in the case of promotion makes no recommendation, an aggrieved faculty member has the right of appeal to the branch community college Chief Executive Officer, the UNM Senior Vice Provost, and the UNM Provost/Executive Vice President for Academic Affairs. If this appeal is denied, the faculty member has the right to follow the appeal process as outlined in Section B4 of the Faculty Handbook.

Applicability

All UNM academic faculty, staff, and administrators.

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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Faculty
- Department Chairs, academic deans and other academic administrators and executives.

Related Documents

[UNM Regents' Policy Manual Policy 2.14 \(http://policy.unm.edu/regents-policies/section-2/2-14.html\)](http://policy.unm.edu/regents-policies/section-2/2-14.html) "Branch Colleges and Off-Campus Education Centers"

Faculty Handbook

[A51 \(http://handbook.unm.edu/policies/section-a/faculty/a51.html\)](http://handbook.unm.edu/policies/section-a/faculty/a51.html) "Faculty Constitution, Article II"

[Section B \(http://handbook.unm.edu/policies/section-b/\)](http://handbook.unm.edu/policies/section-b/) "Academic Freedom and Tenure"

Higher Learning Commission Faculty Credentialing Guidelines

Contacts

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

Procedures

No specific procedures required at this time.

History

F100: Teaching Load

Approved by: University Faculty

Effective: November 28, 2017

Responsible FS Committee: Policy Committee

Office Responsible for Administration: Office of the Provost

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

Policy Rationale

The primary mission of the branch community colleges is teaching so this policy document provides modification of academic load for faculty.

Policy Statement

The determination of academic load of faculty at branch community colleges shall follow the description in Faculty Handbook policy **C100** (<http://handbook.unm.edu/policies/section-c/employment-appointment/c100.html>), with one exception stated below. Each branch community college shall have a written faculty workload policy on file that includes the terms and conditions for workload adjustments as appropriate under Faculty Handbook Policy C110. A full-time faculty member at a branch community college shall typically be assigned a teaching load of fifteen (15) load units or the equivalent per semester. For any case in which a full-time faculty member is assigned more or less than fifteen (15) load units, advance approval is needed from the Dean of Instruction at the specific branch community college.

Applicability

All UNM academic faculty, staff, and administrators.

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

No specific definitions are required for the Policy Statement.

Who should read this policy

- Faculty and academic staff
- Department Chairs, academic deans and other academic administrators and executives.

Related Documents

UNM Regents' Policy Manual Policy 2.14 (<http://policy.unm.edu/regents-policies/section-2/2-14.html>) "Branch Colleges and Off-Campus Education Centers"

Faculty Handbook

C100 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c100.html>) "Academic Load"

C110 (<http://handbook.unm.edu/policies/section-c/employment-appointment/c110.html>) "Teaching Assignments"

Contacts

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

Procedures

No specific procedures required at this time.

History



Faculty Handbook

Information Items

May 29, 2018

Information Items

Accreditation

- [University of New Mexico Accreditation](http://accreditation.unm.edu/) (<http://accreditation.unm.edu/>)

Board of Regents

- [Regents' Policy Manual: Section 1.1: Responsibilities of the Board of Regents](http://policy.unm.edu/regents-policies/section-1/1-1.html) (<http://policy.unm.edu/regents-policies/section-1/1-1.html>)
- [Regents' Policy Manual: Section 1.2: Structure of the Board of Regents](http://policy.unm.edu/regents-policies/section-1/1-2.html) (<http://policy.unm.edu/regents-policies/section-1/1-2.html>)
- [Regents' Policy Manual: Section 1.3: Public Notice of Regents' Meetings](http://policy.unm.edu/regents-policies/section-1/1-3.html) (<http://policy.unm.edu/regents-policies/section-1/1-3.html>)

Chief Academic and Administrative Officers

- [Regents' Policy Manual: Section 3.1: Responsibilities of the President](http://policy.unm.edu/regents-policies/section-3/3-1.html) (<http://policy.unm.edu/regents-policies/section-3/3-1.html>)
- [Regents' Policy Manual: Section 3.3: Appointment and Termination of Key Administrators](http://policy.unm.edu/regents-policies/section-3/3-3.html) (<http://policy.unm.edu/regents-policies/section-3/3-3.html>)
- [Academic and Administrative Organization Charts: UNM Fact Book](http://oia.unm.edu/facts-and-figures/unm-fact-book.html) (<http://oia.unm.edu/facts-and-figures/unm-fact-book.html>)

Colleges, Schools, Branches and Units

Colleges

- [College of Arts and Sciences](http://artsci.unm.edu/) (<http://artsci.unm.edu/>)
- [College of Education](http://coe.unm.edu/) (<http://coe.unm.edu/>)
- [College of Fine Arts](http://finearts.unm.edu/) (<http://finearts.unm.edu/>)
- [College of Nursing](http://nursing.unm.edu/) (<http://nursing.unm.edu/>)
- [College of Pharmacy](http://pharmacy.unm.edu/) (<http://pharmacy.unm.edu/>)
- [College of University Libraries & Learning Sciences](http://ulls.unm.edu/) (<http://ulls.unm.edu/>)
- [Honors College](http://honors.unm.edu/) (<http://honors.unm.edu/>)
- [University College](http://ucollege.unm.edu/) (<http://ucollege.unm.edu/>)

Schools

- [Anderson School of Management](http://www.mgt.unm.edu/) (<http://www.mgt.unm.edu/>)
- [School of Architecture and Planning](http://saap.unm.edu/) (<http://saap.unm.edu/>)
- [School of Engineering](http://soe.unm.edu/) (<http://soe.unm.edu/>)
- [School of Law](http://lawschool.unm.edu/) (<http://lawschool.unm.edu/>)

- **School of Medicine** (<http://som.unm.edu/>)
- **College of Population Health** (<http://coph.unm.edu/>)
- **School of Public Administration** (<http://spa.unm.edu/>)

Branch Campuses

- **UNM—Gallup** (<http://www.gallup.unm.edu/>)
Advisory Board (<http://www.gallup.unm.edu/main/adm-srv/local-board.php>)
Vision/mission (<http://www.gallup.unm.edu/main/about/vision-mission.php>)
- **UNM—Los Alamos** (<http://losalamos.unm.edu/>)
Advisory Board (<http://losalamos.unm.edu/faculty-staff/administration/advisory-board/>)
Vision/mission (<http://losalamos.unm.edu/catalog/general-information.html>)
- **UNM—Taos** (<http://taos.unm.edu/>)
Advisory Board (<http://taos.unm.edu/about-unm-taos/tab.html>)
Vision/mission (<http://www.unm.edu/welcome/mission.html>)
- **UNM—Valencia** (<http://valencia.unm.edu/>)
Advisory Board (<https://valencia.unm.edu/about/valencia-advisory-board/index.html>)

Units

- **Evening and Weekend Degree Programs** (<http://evening.unm.edu/>)
- **Extended Learning** (<http://extendedlearning.unm.edu/>)
 - **Continuing Education** (<http://ce.unm.edu/>)
 - **New Media and Extended Learning** (<http://newmedia.unm.edu/>)
 - **UNM Learn** (<https://learn.unm.edu/>)
 - **Online Courses** (<http://statewide.unm.edu/online/>)
 - **Distance Education** (<http://statewide.unm.edu/>)
 - **Video-on-Demand** (<http://newmedia.unm.edu/service-catalog/video-on-demand.html>)

Compensation and Benefits

- **Payroll Data** (*previously in FHB C160*)
Faculty Handbook Policy C50: Faculty Contracts (</policies/section-c/employment-appointment/c50.html>)
Office of Faculty Contracts and Services (<http://ofas.unm.edu/>)
Payroll Department (<https://payroll.unm.edu/>)
- **Nusenda Credit Union** (<https://www.nusenda.org/>)
Nusenda serves all employees of the University of New Mexico, as well as the entire educational community in the Albuquerque area, with financial services.
- **Ombuds Dispute Resolution Services for Faculty** (<http://ombudsfac.unm.edu/>)
Offers mediation services and mediation training for UNM faculty at the main and branch campuses.
- **Discounted Admission Tickets and Other Services** (<https://hr.unm.edu/benefits/discounted-tickets>)
- **Recreational and Other Facilities** (<http://recsvcs.unm.edu/>)

Courtesy Letter

Upon request, the **University Secretary** (<http://secretary.unm.edu/>) will prepare an **official courtesy letter** (<https://secretary.unm.edu/courtesy-letters/>) asking for appropriate "special favors and considerations" for any faculty member on leave. Such letters are generally found to be helpful in obtaining access to archives or other research materials, particularly in foreign countries.

Deans Council

Meeting agendas and minutes can be viewed on the **Office of the Provost Deans' Council** (http://provost.unm.edu/deans_council.html) webpage.

Faculty Development

Support for Effective Teaching (OSET) (<http://cte.unm.edu/>) is the University's faculty development program.

New Faculty Orientation

Support for Effective Teaching (OSET) coordinates the **new faculty orientation program** (<http://nfo.unm.edu/>).

Non-Faculty Governing Bodies

- **Staff Council** (<http://staffcouncil.unm.edu/>)
- **Associated Students of the University of New Mexico (ASUNM)** (<https://asunm.unm.edu/>)
- **Graduate and Professional Students Association (GPSA)** (<http://gpsa.unm.edu/>)

Organizations

Members off the faculty will find campus organizations to suit their particular interests. There are active chapters of the **American Association of University Professors** (<http://www.aaup.org/>), **Phi Kappa Phi** (<http://www.phikappaphi.org/join/chapters-list/the-university-of-new-mexico>), and **Sigma Xi** (<http://community.sigmaxi.org/communities/allcommunities/chaptergroupdetails?CommunityKey=3f48a18c-1624-459d-8f65-5eb26161a422>) (**the Scientific Research Society**) as well as other professional, departmental, and informal groups.

- **UNM Retiree Association** (<http://retiree.unm.edu/>)
- **University Club** (<http://fsca.unm.edu/>)

Origin of the University

- **Regents' Policies: Forward: Origin and Structure of the University** (<http://policy.unm.edu/regents-policies/foreword.html>)
- **About the University of New Mexico** (<https://www.unm.edu/welcome/>)
- **History of the UNM Presidents** (<http://president.unm.edu/history/index.html>)

Other units

- [Graduate Studies](http://grad.unm.edu/home/) (<http://grad.unm.edu/home/>)

Publication Opportunities

UNM Journals

- Anthropology: [The Journal of Anthropological Research](http://goo.gl/DNIHEh) (<http://goo.gl/DNIHEh>)
- English: [American Literary Realism](https://english.unm.edu/dept-life/disciplines/als/index.html) (<https://english.unm.edu/dept-life/disciplines/als/index.html>) edited by Gary Schamhorst
- History: [The New Mexico Historical Review](http://history.unm.edu/affiliates/new-mexico-historical-review/index.html) (<http://history.unm.edu/affiliates/new-mexico-historical-review/index.html>)
- Latin American & Iberian Institute: [Portuguese Language Journal](http://www.ensinoportugues.org/) (<http://www.ensinoportugues.org/>)
- School of Law: [The Natural Resources Journal](http://lawschool.unm.edu/NRJ/index.php) (<http://lawschool.unm.edu/NRJ/index.php>), [The New Mexico Law Review](http://lawschool.unm.edu/nmlr/) (<http://lawschool.unm.edu/nmlr/>), [Tribal Law Journal](http://lawschool.unm.edu/tlj/) (<http://lawschool.unm.edu/tlj/>)

[The University of New Mexico Press](http://www.unmpress.com/) (<http://www.unmpress.com/>)

UNM Press is a well-known and respected publisher in the fields of anthropology, archaeology, indigenous studies, Latin American studies, American studies, Chicana/o studies, art, architecture, and the history, literature, ecology, and cultures of the American West. The Press imprint is overseen by a faculty committee, whose twelve members are appointed by the Faculty Senate to represent a broad spectrum of university departments.

[UNM Open Journals Portal](https://goo.gl/tRQ8ji) (<https://goo.gl/tRQ8ji>)

The Open Journals Portal is a digital scholarship initiative hosted by the UNM University Libraries. This service provides a free electronic publishing platform for any UNM-sponsored scholarly publication. The portal hosts both open access and electronically-published journals and newsletters.

Research Support

Research support information can be found on the [Office of the Vice President for Research website](http://research.unm.edu/) (<http://research.unm.edu/>).

Retirement

Information can be found on the [UNM Human Resources](https://hr.unm.edu/) (<https://hr.unm.edu/>) website, the [UNM Retiree Association](http://retiree.unm.edu/) (<http://retiree.unm.edu/>) website, and in [UAP 3600](https://policy.unm.edu/university-policies/3000/3600.html) (<https://policy.unm.edu/university-policies/3000/3600.html>) and [UAP 3625](https://policy.unm.edu/university-policies/3000/3625.html) (<https://policy.unm.edu/university-policies/3000/3625.html>).

Student Records and FERPA

Under the Family Education Rights and Privacy Act of 1974 (FERPA), students have the right to inspect and review most education records maintained about them by the University of New Mexico, and, in many cases, decide if a third person can obtain information from them. Nine categories of information, however,

are public (or directory information) unless a student asks that some or all of that information be withheld. It is the policy of the University to comply fully and fairly with the provisions of the Act, Federal Regulations, and this policy. See also:

Student Educational Records and Student Records

- **Office of the Registrar: FERPA** (<https://registrar.unm.edu/privacy-rights/ferpa.html>)
- **Office of the Registrar: Confidentiality** (<https://registrar.unm.edu/privacy-rights/confidentiality.html>)
- As an employee of UNM your responsibilities regarding the protection and security of administrative information are outlined in the Administrative Policies and Procedures Manual - Policy 2520
Online Training: myUNM Employee Life Banner Training:
 - Learning Central 709: FERPA Training for Student MyReports
 - FINPRV100 or FINPRV101 Securing Private Data (Web course or Instructor-Led)
 - BANS-0004 Faculty Lobo Web (Online)
 - BANS-00015 Final Grade Submission (Online)

Student Numbers: See **Administrative Policies and Procedures Manual - Policy 2030**
(<https://policy.unm.edu/university-policies/2000/2030.html>)

Teaching and Student Related Information

Academic Integrity

Each student is expected to maintain the highest standards of honesty and integrity in academic and professional matters. See also:

- **D100: Dishonesty in Academic Matters** (</policies/section-d/d100.html>)
- **D175: Student Conduct and Grievance Procedures** (</policies/section-d/d175.html>)
- **Regents' Policy Manual - Section 4.8: Academic Dishonesty** (<https://policy.unm.edu/regents-policies/section-4/4-8.html>)

Advisement

Academic Program

- **University Catalog: The Undergraduate Program** (<http://catalog.unm.edu/catalogs/2015-2016/undergrad-program.html>)
- **University Catalog: The Graduate Program** (<http://catalog.unm.edu/catalogs/2015-2016/graduate-program.html>)

Academic Probation and Suspension

- **University Catalog: Student Services Information: see Probation/Suspension**
(<http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html>)

Academic Renewal Policy

- **University Catalog: Student Services Information: see Academic Renewal Policy**
(<http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html>)

Assistantships

- [Graduate Studies: Assistantships](https://grad.unm.edu/funding/assistantships.html) (https://grad.unm.edu/funding/assistantships.html)

Academic Advisement

- [UNM Advisement Office](http://advisement.unm.edu/) (http://advisement.unm.edu/)
- [Pathfinder: Advisement Centers](https://pathfinder.unm.edu/campus-services/academic-support.html) (https://pathfinder.unm.edu/campus-services/academic-support.html)
- [Graduate Studies: Unit Graduate Advisors](https://grad.unm.edu/graduate-programs/unit-advisors.html) (https://grad.unm.edu/graduate-programs/unit-advisors.html)

Change in College

A student who desires to change from one college to another within the University must contact the college to which the student wishes to transfer: See also [University Catalog: Colleges](http://catalog.unm.edu/) (http://catalog.unm.edu/)

Honors Opportunities

- [Student Activities Center Awards and Honors](http://sac.unm.edu/awards-and-honors.html) (http://sac.unm.edu/awards-and-honors.html)
- [Honors College](http://honors.unm.edu/) (http://honors.unm.edu/)

Withdrawal from the University

- [University Catalog: Student Services Information: see Withdrawal from the University](http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html) (http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html)
- [How do I withdraw from the University?](http://unm1.custhelp.com/app/answers/detail/a_id/2018/~how-do-i-withdraw-from-the-university%3F) (http://unm1.custhelp.com/app/answers/detail/a_id/2018/~how-do-i-withdraw-from-the-university%3F)

Registration and Grading

Allowable Maximum Semester Load

- [University Catalog: Student Services Information: see Enrollment Limit](http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html) (http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html)

Audited Courses

- [University Catalog: Student Services Information: see Grade Options: Audit](http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html) (http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html)
- [How do I use the Enrollment Authorization Forms \(formerly Yellow/Pink cards\)?](https://unm1.custhelp.com/app/answers/detail/a_id/2046/kw/yellow/session/L3RpbWUvMTQ1MjYzODQ0My9zaWQvc19RV) (https://unm1.custhelp.com/app/answers/detail/a_id/2046/kw/yellow/session/L3RpbWUvMTQ1MjYzODQ0My9zaWQvc19RV)

Changes in Student Registration

- [University Catalog: Student Services Information: see Changes in Enrollment](http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html) (http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html)
- [Office of the Registrar: Registration FAQ's](https://registrar.unm.edu/Registration/faqs.html) (https://registrar.unm.edu/Registration/faqs.html)
- [UNM Faculty Grade Entry FAQ](http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-(faq))) (http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-(faq))

Class Lists

- [Where can Faculty go to export their Classlists?](https://unm.custhelp.com/app/answers/detail/a_id/3194/kw/3194) (https://unm.custhelp.com/app/answers/detail/a_id/3194/kw/3194)

Course Changing Procedures

- University Catalog: Student Services Information: see Changes in Enrollment (<http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html>)
- Office of the Registrar: Registration FAQ's (<https://registrar.unm.edu/Registration/faqs.html>)
- UNM Faculty Grade Entry FAQ ([http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-\(faq\)](http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-(faq)))

Examination to Establish or Validate Credit

- University Catalog: Student Services Information: see Examinations (<http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html>)

Grade Grievance Involving Failure to Accommodate

The Accessibility Resource Center (<http://as2.unm.edu/>) has a Faculty Guide to Accommodating Students with Disabilities (<http://as2.unm.edu/forms/Faculty%20Handbook%207-31-12.pdf>).

See also: Administrative Policies and Procedures Manual - Policy 2310: Academic Adjustments for Students With Disabilities (<https://policy.unm.edu/university-policies/2000/2310.html>)

Grades and Grade Reporting

- University Catalog: Student Services Information: see Grading (<http://catalog.unm.edu/catalogs/2015-2016/student-services-information.html>)

Instructor Drops

- UNM Faculty Grade Entry FAQ ([http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-\(faq\)](http://unm1.custhelp.com/app/answers/detail/a_id/3525/~faculty-grade-entry---frequently-asked-questions-(faq)))

Registration

- Office of the Registrar: Registration Tips (<https://registrar.unm.edu/Registration/registration-tips.html>)

Tuition Fees and Rates

- Office of the Registrar: Tuition and Fee Rates (<http://bursar.unm.edu/tuition-info/tuition-and-fee-rates.html>)
- Administrative Policies and Procedures Manual - Policy 8210: Tuition and Related Fees (<https://policy.unm.edu/university-policies/8000/8210.html>)

Referral Services for Students

- Pathfinder: see Campus Services (<http://pathfinder.unm.edu/>)

Scheduling

Class Scheduling

- Office of the Registrar: Scheduling & Classrooms (<https://registrar.unm.edu/faculty--staff-resources/scheduling--classrooms.html>)

Final Exam Schedule

- [Office of the Registrar: see Final Exams](https://registrar.unm.edu/) (https://registrar.unm.edu/)

Interval Between Classes

- [Office of the Registrar: Approved Standard Meeting Times](http://goo.gl/y38IJC) (http://goo.gl/y38IJC)

Other Information

- [Glossary of College Terms](/information-items/fhb-information-items/glossary-of-college-terms.html) (/information-items/fhb-information-items/glossary-of-college-terms.html)

UNM Vision, Mission, and Value Statements

- [Regents Policies: Forward: Mission Statement](http://policy.unm.edu/regents-policies/foreword.html) (http://policy.unm.edu/regents-policies/foreword.html)
- [The Strategic Plan of the University](http://presidentiaalsearch.unm.edu/strategicframework.pdf) (http://presidentiaalsearch.unm.edu/strategicframework.pdf)