

Handbook for Faculty Members of the Department of Chemistry and Chemical Biology

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I. Preface

This Handbook provides the faculty of the Department of Chemistry and Chemical Biology (CCB) with a written record of departmental procedures and policies. It has been constructed to be a continuation of University procedures and policies that are outlined in the UNM Faculty Handbook (<http://handbook.unm.edu>). The policies and procedures outlined herein are subject to revision as a result of careful consideration and 2/3 majority vote of the CCB faculty.

II. Authority

Article II, (College and Departmental Organization) in Section 4(a) of the Faculty Constitution (which appears as Policy A51 in the Faculty Handbook) states as follows:

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.

The CCB bylaws and guidelines that follow amplify and complement parts of the UNM Faculty Handbook. Nothing in this document shall be interpreted as revising or contradicting the provisions of the UNM Faculty Handbook.

III. Voting Faculty

All faculty holding a ≥ 0.5 appointment in CCB shall be eligible to vote on department matters, consistent with Policy A51 in the Faculty Handbook, section 1.

Sec. 1(a) Membership: The University Faculty shall consist of the Professors, Associate Professors, Assistant Professors, Lecturers, and Instructors, including part-time and temporary appointees. The President of the University, Vice President for Academic Affairs, Vice President for Student Affairs, Vice President for Research, Vice President for Business and Finance, Associate Vice President for Computer and Information Resources and Technology, Director of the Medical Center, Deans of Colleges and Schools, Dean of Graduate Studies, Dean of Students, Dean of the University College, Dean of Admissions and Records, Registrar, Dean of Continuing Education and Community Services, Director of the Center for Graduate and Upper Division Programs Studies at Los Alamos, Director of the Center for Graduate Studies at Santa Fe, Dean of Library Services, Commanding Officers of the ROTC Units, 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 full-time members of the University Faculty holding professorial rank (instructors, assistant professors, associate professors, and professors) or lectureships. No person holding an interim or temporary appointment on the teaching staff 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 Sec.1(a) shall be ex officio members of the Voting Faculty.

After the University approved part-time tenured/tenure-track faculty appointments (1998), voting privileges at all organizational levels were extended to this group of faculty members.

Visiting and temporary faculty do not vote, nor do untenured faculty vote on tenure decisions, nor do faculty vote on promotion to ranks above their own.

IV. Guidelines for Meetings of the CCB Faculty

Schedule- Regular faculty meetings will be held once every four weeks at a minimum during the academic year. A regular one-hour time slot will be set aside for meetings during which no departmental courses are taught. The chair may call additional regular meetings as needed, using the same time slot when possible. Emergency meetings to deal with urgent items may be held in other time slots if necessary. All committee and faculty meetings will be conducted in a civil and professional manner in accordance with UNM policy (Respectful Campus Policy, University Business and Procedures manual #2240: <http://www.unm.edu/~ubppm/ubppmanual/2240.htm>).

Attendance- All CCB faculty are expected to attend assigned committee and departmental faculty meetings. As a courtesy, those unable to attend will inform the committee Chair or the Department Chair, in advance, of their absence.

Agenda- A meeting agenda will be distributed to all faculty 24 hours in advance of each regular meeting. Faculty wishing to place an item on the agenda should contact the departmental administrator at least 48 hours before the meeting. The agenda will indicate if an item may require a vote or is for discussion only. No item will be voted on at a regular meeting unless it has been discussed at a previous meeting. The text of proposed motions should be distributed to the entire faculty at least 48 hours before the meeting. The chair may add urgent, last-minute agenda items for emergencies only.

Conduct- Meetings will be conducted by the chair or, in the chair's absence, the associate chair. All regular meetings will contain a time for general comments, including requests for topics to discuss at the next meeting. Each faculty member will have an opportunity to speak to the topic in each discussion, although the chair may limit the time per speaker.

Voting- Decision by consensus is the general goal, but may not always be possible. Votes to modify this handbook, to change degree requirements or other substantial issues as designated by the chair must have a 2/3 majority (of those voting yes or no) for approval. Personnel decisions and other especially important decisions (as designated by the chair) will be made by confidential written ballot. Faculty may abstain from voting if they feel the matter is outside their interests or expertise.

Summaries- A meeting summary, containing the general topics of discussion and the decisions reached, will be posted by the departmental administrator within *one week* after the meeting. Faculty are expected to read the summary and send any corrections to the administrator within one week of receipt.

V. Guidelines for the Chair

Appointment The Dean of Arts and Sciences shall appoint a chair after consultation with departmental faculty, as outlined in Section C40 of the UNM Faculty Handbook (<http://www.unm.edu/~handbook/C40.html>).

Role of the Chair The department Chair has several overlapping roles

Administrator The Chair is responsible for the day to day operations of the department. This role includes, but is not limited to, personnel matters (faculty recruitment and hiring, evaluations, disciplinary actions, and delegation of responsibilities), teaching workloads (class scheduling, instructor assignments, peer evaluations), and budgetary oversight (resource allocation) as well as supervising departmental employees and implementing procedures in accordance with university requirements

Department Representative As the public face of the Department, the Chair represents the interests, expertise, needs, and opinions of the Department's entire faculty, staff, and students to other departments, other Chairs, the Dean and other relevant UNM administrators. The Chair also communicates the department's mission, strengths, and needs to the outside world as needed and as opportunities arise.

Facilitator It is the Chair's role to create a working environment in which faculty interactions and collaborations may flourish; in which faculty are provided the clerical, fiscal, and administrative support necessary to successfully attain both their own and institutional goals; and in which all students are afforded the opportunities to successfully complete their academic classes and programs.

Leader The Chair is expected to introduce and foster new ideas into departmental discussions, and fashion consensus among differing viewpoints. This includes leading the department as it reaches consensus about its mission. The Chair should foster innovation and creativity throughout the teaching, research, and service missions of the department.

Chair Behavior The Chair occupies a position of authority that carries with it expectations regarding modes of behavior. It is expected that the Chair will conduct all business of the department in an objective manner and that resources will be allocated fairly and proportionately to all areas and objectives. To that end, given that the research active faculty members are the

sole contributors to the department overhead account, any financial decisions involving this account should be made in conjunction with at least the Advisory Committee. In addition, it is assumed that when faculty, staff and students request a confidential discussion with the Chair that the discussions will be kept confidential excepting for those situations that may require official reporting. The Chair will in all instances conduct himself or herself in a manner that precludes any perception of favoritism or targeted dislike or disdain.

Duties and responsibilities The faculty handbook and university regulations describe many of the responsibilities and duties of a department chair. This list is not intended to repeat or replace those documents. The CCB department chair-

- Hires and supervises staff, directly or indirectly
- Hires and supervises faculty
- Provides annual evaluations of faculty and staff
- Oversees tenure, promotion and re-appointment processes
- Schedules classes and makes teaching assignments
- Presides over faculty meetings
- Appoints the associate chair and other faculty administrative positions as needed
- Appoints chairs and members of standing committees
- Allocates department-controlled space
- Allocates the departmental budget
- Represents the department within and outside the university

VI. Guidelines for the Advisory Committee

Purpose The Advisory Committee advises the chair on substantive policy, procedural and personnel decisions. As such, it is important that the committee enjoys the confidence of the faculty as a whole and is able to represent a variety of viewpoints in discussions with the chair.

Duties The committee will meet at least monthly during the academic year, meetings to be chaired by the department chair, associate chair or a designated member of the AC. The committee will be asked to provide advice on:

- Membership on ad hoc committees
- Faculty salary increments during years when merit raises are available
- Substantial policy, procedure or curriculum proposals, whether originating from the chair or from other committees

The committee may also be asked to provide advice on other issues and to prepare or evaluate reports on subjects of broader import.

Composition The advisory committee will consist of four faculty members serving staggered 2-year terms. All departmental faculty are eligible to serve, but the department chair will not be a member of the committee.

Selection Two committee members will be elected each May to begin a 2-year term the following academic year. The date of election will be announced at least two weeks in advance, and candidates should be nominated (including self-nominated) at least one week in advance. A list of nominees who have agreed to be candidates will be distributed three days in advance of the election. Each faculty member may vote for two candidates. The two candidates receiving the most votes will become members of the advisory committee.

VII. Guidelines for Committees

In addition to the elected advisory committee, the department will have standing committees and *ad hoc* committees to carry out various functions.

Purpose Standing committees may exist for multiple years, and membership should change slowly to provide continuity. They typically have regular (annual) functions and special charges for certain years, and the committee chair may be required to report on these to the departmental faculty and chair. Typical standing committees might include an undergraduate studies committee, a graduate studies committee and a building/facilities committee. *Ad hoc* committees are formed for a special purpose and are discharged when that purpose is fulfilled. Examples of *ad hoc* committees include faculty search committees, tenure and promotion committees and special review committees.

Appointment The chair will appoint members of standing committees to three year terms, and will select one committee member as committee chair. The chair will consult with the advisory committee before appointing members and a chair for *ad hoc* committees, and the members will serve until the committee is discharged.

Charge and scope At the beginning of the academic year, the chair will provide each standing committee with a written charge or list of responsibilities. The charge is not intended to be an exhaustive list of required actions, but to avoid overlap or duplications with other committees or individuals. Similarly, the chair will provide each *ad hoc* committee with a written charge when it is formed.

VIII. Guidelines for Tenure Decisions

Awarding of tenure is one of the most important processes for the department, college and university. Rules which apply to all faculty members can be found in the faculty handbook **Policy on Academic Freedom and Tenure** where section B.4 discusses annual review, mid-probationary review and the tenure review (<http://handbook.unm.edu/newhb.html>), Additional information pertaining specifically to A&S can be found on the college guideline pages (<http://www.unm.edu/~artsci/for-faculty/promotion-tenure.htm>). Departmental guidelines cannot contradict or supersede those rules, and in case of apparent disagreement the university and college level rules must apply.

Expectations The general areas of evaluation for a successful tenure decision, set forth in the UNM faculty handbook policy on academic freedom and tenure, are:

“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...

(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.”

CCB will evaluate candidates on an absolute basis; a tenure (or other personnel) decision about one candidate should be based only on the performance and promise of that candidate, not a comparison to a prior or subsequent candidate. Evaluations encompass both past performance and future promise.

In CCB, research-active faculty are expected to obtain external research funds, supervise graduate and undergraduate students and/or postdoctoral fellows, participate in departmental seminars and governance, and teach a normal load of approximately one three-unit course per semester.

Expectations for a successful tenure decision are:

(1) Teaching- The candidate has demonstrated effective classroom teaching through favorable peer and student reviews and through evidence of student learning. Student mentoring and development of course materials can also contribute to the evaluation.

(2) Research- The candidate has established an independent and internationally-recognized research program as evidenced by peer-reviewed publications, externally funded grants, presentations at inter/national scientific conferences and favorable evaluations from recognized scholars in the field. In the chemical sciences this constitutes what the Faculty Handbook calls “Scholarly Work.”

(3) Service- The candidate has provided conscientious service to the department via committee memberships and minor administrative roles, and to the profession through manuscript, proposal reviewing, or other like activities.

(4) Personal characteristics- The candidate's interactions with faculty, staff and students have been collegial, professional and considerate.

Mentoring and evaluation of probationary faculty Normally, the department will evaluate assistant professors annually until the 6th year, when a tenure evaluation and vote will occur. The mid-probationary review and evaluation, typically conducted the 3rd year, requires a formal file submission, vote by the faculty, and further evaluation at the college and university level. The tenure evaluation also requires a formal file submission, vote by the faculty, and further evaluation at the college and university level; only the tenure evaluation requires the participation of external, non-UNM referees to evaluate the candidate's research program. Other written evaluations ('annual reviews') will be conducted by the chair in consultation with senior faculty. All evaluations will consider teaching, research and service components, and the candidate is expected to submit a file containing the relevant information for the evaluation period.

Mentoring committee Each probationary faculty member (candidate) will have a mentoring committee charged both with advising the candidate and with presenting the mid-probationary and tenure files to the tenured CCB faculty for discussion. The committee will have three members, two tenured CCB faculty and one tenured UNM faculty from outside of CCB. Once formed, the committee should meet with the candidate at least annually. The chair will appoint the committee members with input from the candidate. A member of the hiring committee, usually the chair, will be assigned temporary mentoring responsibilities once the new faculty member has accepted the department's offer. At least one regular mentor should be selected by the middle of candidate's first semester at UNM, and all three must be selected by end of the candidate's second year. Members of the mentoring committee may be replaced at the request of either the member or the candidate.

Candidate seminars The candidate will present a departmental seminar at the beginning of the Fall term of the 3rd (mid-pro) and 6th (tenure) years in the department. In each case, the seminar should be viewed as an opportunity to present the candidate's overall research program (not simply past results or a subset of overall research) to the CCB faculty and students. *In each case, the seminar should include specific plans for future research.* These seminars should help the faculty form opinions about the research program; it also provides an opportunity for constructive criticism and comments, especially after the 3rd year seminar.

Peer teaching evaluations The candidate's teaching should be observed each term by a tenured faculty member or senior/principal lecturer selected by the chair. A teaching report will

be prepared by the observer, and may include comments on the teaching style and subject matter, student preparedness and response, course syllabus, assignments and tests, and other related topics. These reports will be provided immediately to the candidate, and then also included in the candidate's mid-pro and tenure evaluation files, and the CCB chair(s) should ensure that a cross-section of courses taught is represented by the end of year 5.

Annual reviews General information on the annual review process can be found in section 4.2 of the **Policy on Academic Freedom and tenure-**

The annual evaluation file should contain a cv, written materials (manuscripts published, abstracts of presented talks and proposals submitted) from the past year, and copies of peer and student teaching reviews from the past year. In addition to this, it should include a 1-page self-evaluation and a 1-paragraph set of goals for the coming year. The review meeting will be conducted in the Spring term, and the chair should send a written letter of evaluation to the candidate within two weeks of the review. If the candidate disagrees with the letter, he or she may also submit a reply. These annual review letters are to be included in the candidate's file for mid-probationary and tenure review.

Tenure and mid-probationary reviews Tenured CCB faculty are expected to meet to discuss each mid-probationary and tenure decision. The candidate's file should be made available to the faculty at least four weeks before the meeting, and should contain teaching evaluations (student and peer), copies of manuscripts published and funded proposals, a list of service activities, and self-evaluations of the candidate's teaching, research and service contributions; both short (2-page maximum) and longer (up to 15 pages) self-evaluations should be included. For tenure evaluation *only*, the file should include letters of evaluation from external referees, approximately half chosen by the candidate and half by the chair in consultation with senior faculty. The meeting date and time should be announced when the file is made available. Although an oral 'straw vote' may occur during the meeting, only written votes are considered official. These written votes using A&S recommendation forms should be submitted to the chair within two weeks of the meeting. The chair is responsible for submitting the file and all faculty votes to the Dean, along with the chair's letter of evaluation and recommendation.

IX. Guidelines for Promotion Decisions

1. Tenure-track promotions

Promotion in rank to associate or full professor is an important process described in some detail in the UNM faculty handbook (sections B.2.2.3, 4.8.1, 4.8.3, and 4.8.6). Evaluation for promotion generally considers the same performance categories as the tenure process: teaching, scholarship, service and personal characteristics. The specific CCB requirements for promotion to Associate Professor are the same as those for the awarding of tenure, as is usual at UNM.

Although technically these are separate decisions, they are almost always made at the same time using the same dossier and the same requirements (Faculty Handbook section B.4.8.2). Promotion to Full Professor is a separate process which typically emphasizes significant research accomplishments recognized on a national and international level.

Process: Promotion to the rank of full professor is conducted on an absolute basis within the department, not by comparison to past or present CCB faculty. The anticipated length of service as associate professor prior to consideration for promotion to the rank of professor is at least five years. Recommendations for promotion in less time, “early promotion”, must demonstrate unusual accomplishment. The review for promotion to full professor should be requested by the candidate before the beginning of the Fall semester, and the chair will appoint a committee of three full professors to help the chair select external referees and to evaluate and present the case to departmental full professors for a vote. The vote should be completed by the end of the Fall semester and the candidate’s application file, faculty votes, and chair’s letter should be submitted to the college before the beginning of the following Spring semester (exact date determined by the college). Notification of the outcome of the review is made no later than June 30 of that year.

Expectations: According to the Faculty Handbook, *“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.”*

2. Lecturer promotions

Promotion in rank to senior or principal lecturer is an important process described in some detail in the UNM faculty handbook (B.2.3.2, B.3.4.2, and B.4.10.). Evaluation for promotion principally considers teaching and service; lecturers typically have no expectation of research, but research may be considered at the discretion of the candidate. Evaluation of teaching performance (including lab coordination) is expressed in a teaching portfolio which covers a) student evaluations, b) peer observations/evaluations, c) student learning assessment and d) reflective response to a, b, and c. Reflection should include past goals and should set future goals. Professional development activities should also be included (conference attendance and presentation, workshops, classes related to teaching and learning in chemistry). Service expectations are similar to that for tenured faculty, but centered on teaching-related assignments.

Promotion to the rank of senior or principal lecturer is conducted on an absolute basis within the department, not by comparison to past or present CCB faculty. The anticipated length of service as lecturer prior to consideration for promotion to senior lecturer is at least five years; length of service prior to consideration for promotion to principal lecturer is eleven years.

Process: A review for promotion to either rank (senior or principal) should be requested by the candidate by the beginning of a Fall semester for promotion to take effect the following summer. The chair will appoint a committee of at least three senior faculty (tenured or lecturers) to evaluate and present the case to departmental faculty. The vote should be completed by the end of the Fall semester and the candidate's application file, faculty votes, and chair's letter should be submitted to the college before the beginning of the following Spring semester (exact date determined by the college). Notification of the outcome of the review is made no later than June 30 of that year.

Expectations: According to the Faculty Handbook, senior lecturers
"...have demonstrated professional excellence and shown a conscientious interest in improving their professional skills... 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."

According to the Faculty Handbook, principal lecturers
"...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.... 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."

X. Research Faculty

According to the faculty handbook, research faculty titles *"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... Research professors generally have extramural funding in which they are the principal investigator or for which their contribution is crucial to the funding."*

Assistant and associate research professors in Chemistry and Chemical Biology work together with a tenured faculty member, sharing lab facilities and receiving salary and other support from grants in which the tenured faculty member is PI. Full research professors are expected to provide most of their own research support, including salary, from external sources; they may work closely with tenured faculty or independently. Full research professors may co-

chair student doctoral committees with tenured faculty, subject to the same graduate program procedures as other CCB professors. The department is not obligated to provide salary or research facilities for research professors at any rank unless specifically negotiated.

1. Promotions

Promotion of research faculty principally considers research excellence and independent funding; research faculty generally have minimal expectations of teaching and service, but teaching and/or service may be considered at the request of the candidate. Research excellence will be evaluated based on a current CV (in the standard Arts and Sciences format), statements of research and (when appropriate) service and teaching interests, and a departmental research colloquium. A teaching portfolio is required only if teaching is to be considered, otherwise this is optional. Promotion to research full professor requires the candidate to demonstrate fiscal independence, defined as providing at least 50% of their salary from external sources; research associate professors who are paid principally through grants held by tenured faculty cannot be promoted to research full professor.

Process: Promotion must be proposed by a tenured faculty advocate. This faculty member will assist the research faculty member with the promotion process, speak on behalf of the research faculty member in faculty deliberations and advocate the proposed promotion to the rest of the regular faculty.

The standard for promotion is research excellence, which shall be evaluated and interpreted broadly by the departmental faculty but includes scholarly publication and professional accomplishment. Minimum time in rank should generally mirror that for the tenure track faculty (typically five years in rank as assistant before application for promotion). Early promotion may be considered in cases when justified, supported by the relevant voting faculty, and approved by the Dean of the College of Arts and Sciences. The Department's faculty advisory committee will review and approve the submitted promotion package and make the package available to the tenured faculty.

The tenured faculty will vote on the promotion package by written ballot following a meeting discussing the dossier. The voting faculty will be the same faculty who are qualified to vote on tenure and promotion decisions for tenure track faculty. For example, associate and full professors will vote for promotion to research associate professor, while only the full professors will vote for promotion to research professor. If the faculty vote is positive, the Department Chair will compile his/her decision, the faculty decision, and a summary letter detailing the faculty decision and report this to the Dean of Arts and Sciences for approval.

2. Appointment

Appointing a research assistant professor is at the discretion of the tenured faculty member providing salary. Those hired should have similar qualifications (Ph.D., post-doctoral experience) to assistant professors, but no faculty vote is required.

Appointing a research associate professor following nomination by the supporting tenured faculty member requires a positive vote by tenured faculty (as for promotion from assistant to associate status).

Appointing a research full professor requires nomination by a tenured full professor, demonstrated fiscal independence, and a positive vote by the full professors.

Research faculty appointments requiring a faculty vote shall be considered to have a three-year term, and may be renewed by another such vote.