

**SECTION 3
GENERAL PROCEDURES FOR FACULTY**

**3.1 EMPLOYMENT CONTRACT PERIOD AND PAY CALCULATIONS FOR TENURE,
TENURE-TRACK AND TEACHING FACULTY**

The contract period for tenured, tenure-track, and teaching faculty runs from the date of the annual Faculty Conference to the date of spring Commencement for each academic year. The duration of this period is 37 weeks, 5 days per week. This period includes paid holiday days and Spring break, but does not include 5 days of Winter Research, which happens during the winter break as indicated on the Academic Affairs calendar.

Academic year salary is generally paid to faculty members in nine equal installments on the last business day of each month from September through May. The days worked during August are paid at the end of May. Faculty members hired mid-year (e.g., start of the Spring semester) shall receive pay equal to the remaining regular monthly installments available to faculty who started at the beginning of the academic year. For example, faculty starting at the beginning of the Spring semester shall receive the five equal installments on the last day of each month from January through May that they would have received had they started at the beginning of the academic year. If the faculty member starts on a day-of-the-month other than the first working day of the month, payment for the first month is prorated by the number of working days missed during that month. Faculty may request to receive their academic year salary in twelve equal installments. To do so, a deferred pay agreement must be completed in the Human Resources office prior to the first day of work in the Fall semester and is irrevocable for the academic year to which it applies.

In the event a faculty member retires or resigns prior to the end of the academic year, salary will be earned in proportion to the fraction of the academic year in which services were actually rendered. The salary amount per day is calculated by multiplying the Academic Year Salary amount at 100% effort by 0.00541 and by the number of days between the first day of work and last day of work, including paid holiday days, but not including 5 days of Winter Research if the period worked includes the academic winter break.

For faculty performing research during the Winter Research period or during the Summer, the maximum amount paid per day equals the Academic Year Salary amount at 100% effort multiplied by 0.00541. Total salary is the per day amount multiplied by the days worked.

A summary of pay calculations is provided below:

Academic Year:

Maximum 37 weeks = 185 days

Salary at 100% effort / 185 days = 0.00541 of Salary at 100% effort

$X_number_of_days * 0.00541 * Salary_at_100\%_effort = TOTAL_ACADEMIC_YEAR_PAY$

Winter Research:

Maximum of 1 week = 5 days

$Salary_at_100\%_effort * 0.00541 * Nnumber_of_days_worked = TOTAL_WINTER_RESEARCH_PAY$

Summer Research:

Maximum of 14 weeks = 70 days

$Salary_at_100\%_effort * 0.00541 * Number_of_days_worked = TOTAL_SUMMER_PAY$

Includes paid holiday days

Last Revision:

April 3, 2017

3.2 REQUESTS TO ENGAGE IN ADDITIONAL PROFESSIONAL WORK

Governing Policies:

Section 6, Faculty Handbook – Performance of External Work and Professional Activities
Section 6.4.3, Faculty Handbook – Procedure for Obtaining Approval of Additional Work

Procedure:

There are three types of additional work request forms:

- *Request to Engage in Professional Consulting Form (Handbook section 6.4.1 A);*
- *Request to Engage in Nonprofessional, External Commitment Form (Handbook sections 6.4.1 B and 6.4.1 C); and*
- *Request to Perform Extra CSM Services for Additional Remuneration Form (Handbook section 6.4.1 D).*

These forms correspond to the type of additional work being sought as defined in the Faculty Handbook. These are available on the Academic Affairs web site at:

<http://inside.mines.edu/ACAD-Request-to-Engage-in-Additional-Professional-Work-Forms>.

The approval process for additional work is defined in the Faculty Handbook, section 6.4.3. Following this process, the completed form, signed by the employee and his or her Department Head/Division Director, signifying departmental approval, should be forwarded to the Associate Provost for review, and approval if required by the Handbook. Approval for work that has already begun, or that has completed, will not be provided. The Office of Academic Affairs must receive the request for approval in sufficient time that a denial of the request will not put an undue burden on either the faculty member or the entity for whom the work will be done. Faculty members are encouraged to request approval for *all* additional activity a full semester in advance. Academic Affairs will distribute final executed copies of the approved requests to both the Department and the faculty member.

If payment from CSM is due to the employee after completion of the work, the employee should complete an *Additional Payment Request Form*, which is available at the link above. This form is to be submitted to initiate payment by CSM for additional work when an individual is already an employee of the school. After the work is completed, the employee should fill out this form, obtain the appropriate fund manager's signature and submit it to the Human Resources Office for processing.

Last Revision:

March 3, 2015

3.3 FUNDS FOR WHICH FACULTY MEMBERS HAVE RESPONSIBILITY AND ACCOUNTABILITY

Governing Policies:

Fiscal Policies - <http://inside.mines.edu/POGO-Financial>

Educational Business Activities Policy - <http://inside.mines.edu/POGO-Financial>

Procedure:

At Mines, faculty often have access to and responsibility for administering School funds. These funds can advance the research and instruction mission of the School, fulfill the School's public service mission, or promote the professional development of faculty by advancing his/her instructional, scholarly and professional service achievements to better serve students and the community at large.

Fund Types, Sources and Administration:

Professional Development Fund - A Professional Development Fund is created by the deposit of "start-up" funds into an account under the name of a faculty member at the time of initial appointment to Mines. Additional deposits of start-up funds may be made at the beginnings of subsequent fiscal years, normally up to and including the third year of appointment. The total amount of start-up funding committed, and the projected apportionment of deposits in the three fiscal years, is negotiated during the process of hiring the faculty member.

These funds are established to enable a new faculty member to enhance their academic and intellectual development and performance by promoting opportunities such as: (a) engaging in research and curriculum development; (b) acquiring books, data and equipment; (c) publishing the results of his/her research; (d) supporting undergraduate and graduate students; (e) obtaining professional technical assistance; and, (f) interacting with the professional/academic community through participation at professional conferences and workshops.

Start-up funds are budgeted in accordance with the negotiations that have been agreed upon in hiring new faculty members. The institution treats these funds as investments in the academic potential of new faculty members, and therefore expects that the funds be expended appropriately and in a manner that advances the faculty member professionally, and implicitly advances the mission of the institution. The faculty member's supervisor provides appropriate oversight of these funds and is responsible for conducting periodic reviews of their use; capital expenditures require supervisor approval. Department Heads have the responsibility to monitor expenditure of start-up funds, all faculty will be required to provide an accounting and/or justification of expenditures each year during the annual FDR/evaluation process. Certification reports will be distributed to all faculty that have active accounts. Abuse or substantial unapproved deviation from the intended use of these funds will result in the freezing of the account and the discontinuance of further start-up deposits.

Start-up funds that are not expended within a time period of two years greater than the number of years of start-up disbursement negotiated upon hiring for tenured and tenure-track faculty will be reverted back to the funding source and the account closed. PD accounts will be reviewed and those due to be closed will be closed at the beginning of each academic year. Extensions to this time period can be reviewed and approved, if appropriate, by the Provost or his/her designee. Within the first five years, if the tenure clock has stopped, the clock on the start-up funds will also stop. Start-up funds for teaching faculty do not expire and PD accounts will remain open.

Any unspent start up funds remaining at the end of a given fiscal year (subject to the terms in the above paragraph) shall roll into the subsequent fiscal year for expenditure.

Research Development Fund – A Research Development Fund is created by the calculated return of indirect cost provided to each Principal Investigator pursuant to the Indirect Cost Return policy or, for example, the roll-over of unexpended funds from fixed price research contracts (after appropriate overhead has been taken out), or proceeds from transfer of research equipment. These funds are provided to enhance a faculty member’s research, academic, and intellectual development. The faculty member must obtain his/her supervisor’s concurrence for expenditures made. Unexpended funds at the end of a given fiscal year will roll into the subsequent fiscal year. There are no time restrictions on the use of these funds.

Sponsored Project Funds - Sponsored projects arise from awards from an external sponsor that restricts the use of funds and stipulates conditions with which the School must comply. The Principal Investigator is responsible and accountable for ensuring that the direct charges to any given sponsored project are appropriate, allowable and in accordance with the sponsor terms and any School, State or Federal regulation. These funds are subject to the overhead rate negotiated between the sponsor and the School.

Gift Funds - Gifts arise when an item of value is given to the School and the donor neither expects nor receives anything of value in return from the School. The School has no “deliverables” but provides the donor recognition of the gift and uses the gift in accordance with the donor’s wishes. The faculty member is responsible and accountable for ensuring that the use of the funds are appropriate and are in accordance with the restrictions set forth by the donor. A faculty member may not make gifts into a fund for which he/she has financial management responsibility. These funds are subject to the overhead rate administered by the CSM Foundation.

Auxiliary Funds – An Auxiliary Fund is created from awards made by an external party for activities engaged in by the faculty member on behalf of Mines which are not classified as sponsored project or gift. The services provided must fulfill the School’s public service mission that includes professional and technical services (including consulting) contributing to economic growth by enabling companies to expand their business. These activities must comply with the *Educational Business Activities Policy*. Typically, these funds are used to provide the direct and indirect costs of performing the service, and are subject to the auxiliary overhead rate of the School. Unexpended funds at the end of a given fiscal year will roll into the subsequent fiscal year. There are no time restrictions on the use of these funds.

Responsibilities and Practices:

The funds noted above are not part of a faculty member’s income; no taxes are paid on them. Thus, they may only be used for approved School and professional purposes; they may not be used to meet the non-professional, personal goals of the individual or those of family members and friends. They may not be used to cover permanent residence status or other immigration expenses for the faculty member who controls the funds (see Academic Procedures Manual Section 4.3 for the procedures on visa and immigration protocols). In the use of these funds, faculty are responsible for following all applicable federal, State of Colorado and Mines policies and procedures, procurement and expenditure rules. The use of these funds is subject to Mines budget, accounting and auditing procedures and reviews.

Equipment purchased using these funds remains the property of the Colorado School of Mines. Special circumstances related to the ultimate disposition of such property may be considered by CSM.

At no time shall any of the Funds be over-expended. At the end of a given fiscal year, for the fund types noted above, unexpended funds roll forward for use in the next fiscal year (subject to the time limits noted above). If any fund goes into deficit, it will be the responsibility of the faculty member along with their department head (or dean when necessary) to find additional funds to cover these deficits.

The Disposition of Balances Upon Departure:

At the point of a faculty member's departure from Mines (e.g., completion of a transition appointment; resignation to secure a position elsewhere), the balance of a Professional Development Fund and Auxiliary Funds remaining reverts/revert to Academic Affairs which may or may not elect to provide this balance or a portion thereof to the faculty member's department/division. Research Development Funds remaining revert back to the research center within which the funds were generated. If the research that generated the funds was performed as an independent investigator, the funds revert to faculty member's department. Gift funds and sponsored project accounts will remain in the department/division in which the restriction on the use of funds applies.

Further, upon notification of a pending resignation, the denial of tenure, or upon Mines' action that places an individual on administrative leave, the balance(s) of a faculty member's professional development, auxiliary and research development fund will normally be frozen and/or activity on the account(s) monitored, and thereafter may be used only with the approval of the faculty member's department head/division director and the Provost or his/her designee.

Last Revision:

August 23, 2016

3.4 INSTRUCTIONAL USE OF GRADUATE STUDENTS

Governing Policies:

Assistantship Policies - <http://inside.mines.edu/GS-Assistantship-Policies>

Graduate Contracts - <http://inside.mines.edu/GS-Grad-Contracts>

Procedure:

Mines is a relatively small, technical university with a reputation for teaching excellence. Consequently, it is important for Mines to establish policies that will maintain the pedagogical benefits of a small-university environment, while at the same time promoting prominence in identified research areas. The staffing of undergraduate and graduate programs is a particularly important aspect of meeting these sometimes-competing challenges.

It is Mines' policy that regular, full-time faculty should be instructors of record for all undergraduate and graduate classes. Given variability in student populations and budgetary distributions, the difficulty in some disciplines of attracting faculty, and finally, the importance of instructional experience for doctoral students seeking future academic employment, situations may arise where it makes sense to deliver some of our curriculum by qualified graduate students. This recognition, however, does not obviate the requirement that regular, full-time faculty have overall responsibility for all classes.

The following guidelines define the terms and conditions under which a graduate student may be employed to assist in instructional delivery.

Graduate Hourly Appointments:

To allow faculty to manage their time efficiently, undergraduate and graduate students may be hired on an hourly basis to assist faculty in laboratory setup and grading. Such appointments may be given to graduate students under the policies and procedures currently in place (<http://inside.mines.edu/GS-Grad-Contracts>), including:

1. All full-time graduate students are eligible. Students are selected and appointed on the basis of the needs of the departments or divisions and the capabilities of the students.
2. The duties of a Graduate Hourly Appointee in a classroom role are strictly limited to setting up laboratory facilities and grading assignments. Hourly Appointees may not have direct, day-to-day contact with students. They may not deliver lectures, supervise laboratory exercises, or be given any instructional duties or responsibilities.
3. Departments and divisions may make the appointments at any time using the standard Graduate Hourly contract forms and processes

Graduate Teaching Assistants:

To allow faculty to manage their time efficiently, and to provide graduate students experience in a teaching role, it is appropriate for the institution to support the notion of Graduate Teaching Assistants. Such appointments may be given to graduate students under the policies and procedures currently in place (<http://inside.mines.edu/GS-Grad-Contracts>), including:

1. All full-time graduate students are eligible. Students are selected and appointed on the basis of the needs of the departments or divisions and the capabilities of the students.
2. The duties of a Teaching Assistant are limited to setting up laboratory facilities, providing assistance to students with problem sets and laboratory exercises, supervising laboratory and recitation sections,

grading homework and exams, and other duties as appropriate but under the direct supervision of faculty in charge of the course. Teaching Assistants may not have primary responsibility for delivering lectures, lead in the preparation of laboratory exercises or be given broad teaching duties or responsibilities.

3. Departments or divisions may make the appointments at any time using the standard Graduate Assistant contract forms and processes.

Graduate Teaching Fellows:

Neither Graduate Hourly Appointees nor Graduate Teaching Assistants are instructors of record for any courses in which they are involved. It may, however, be appropriate for a doctoral student to be an instructor of record in a course. Teaching Fellowship Appointments acknowledge a student as being an instructor of record. Materials for contracting students as Teaching Fellows are available by contacting the Dean of Graduate Studies. The Dean of Graduate Studies has authority to approve Teaching Fellows on a case-by-case basis.

To be approved as a Teaching Fellow, the Department Head should submit to the Dean of Graduate Studies documentation that certifies the following conditions have been, or will be met:

1. The appointee must be a PhD student in good standing who has completed the basic course work and minimum number of credit hours required for the degree and have an approved Admission to Candidacy form on file in the Graduate Office.
2. The appointee must have the demonstrated expertise to teach the given course.
3. The appointee must have had some teaching experience or have completed, or be concurrently enrolled in, SYGN600, Fundamentals of College Teaching.
4. A full-time permanent faculty member must be assigned as mentor and agree to:
 - Review and approve syllabi, homework assignments, laboratory instructions and exams.
 - Observe selected classes and provide feedback.
 - Monitor grading practices and assignment of grades.
5. The course mentor should not be the student's academic advisor and further must certify that it will not cause a conflict of interest when they give the graduate student grades in their own courses or vote on the student's performance on the comprehensive exam or thesis defense as part of a thesis committee.
6. At the end of the semester, the faculty mentor must submit a written analysis of the appointee's performance to the department head or division director. The analysis should be based on factors that include the student teaching evaluations, the mentor's personal observations in class, and the written material prepared and distributed by the instructor.

Last Revision:

June 2, 2014

3.5 HIRING UNDERGRADUTE STUDENTS

Procedure:

Undergraduate students (i.e., those that are fully admitted into a undergraduate degree program at CSM) are eligible for employment to assist in office, teaching or research environments. To receive and maintain an undergraduate employment appointment, candidates must meet the following criteria:

1. Appointees must be making satisfactory progress toward degree completion as defined in the Undergraduate Bulletin and have an overall GPA of no less than 2.0.
2. During the regular academic year, appointees must be enrolled.
3. During the summer term, appointees do not need to be enrolled.
4. Appointees must meet all eligibility requirements for employment in the United States and the State of Colorado.

Students may concurrently hold multiple employment appointments across campus. However, as student employees are expected to continue to devote an appropriate amount of time and energy to completing their degree requirements and additionally their work assignments, Academic Affairs limits the total hourly time commitment from all on-campus employment sources, including formal work study, to no more than 20 hours per week during the academic year. During the summer terms, students who are not enrolled in course work may be employed with hourly commitments of up to 40 hours per week.

The Implementation Agreement form for hiring undergraduate students is available at:
https://inside.mines.edu/HR_Forms

Once completed these agreement forms should be emailed to student.contracts@mines.edu.

Last Revision:

August 26, 2014

3.6 SUMMER PROGRAM GUIDELINES

Governing Policies:

Section 6.1.5, Faculty Handbook – Summer Services

Procedure:

Early in the Spring semester, the Office of Academic Affairs will forward to the College Deans a request for offering courses, both regular and field, during the Summer I and Summer II sessions. The Deans will work with Department Heads to determine summer course needs and opportunities and return a list of proposed summer offerings back to the Dean's Office by mid-March. Exact distribution and return dates are published in the Academic Affairs Annual Calendar of Deadlines as described in Section 2.1 of this Procedures Manual. The Dean will review these requests and approve based on the conditions defined below.

Regardless of term of offering (i.e., Summer I or Summer II), regular classroom offerings are treated differently – both in terms of requirements for approval and in terms of faculty compensation – than programs understood to be part of the institution's field requirement.

Regular Classroom Offerings:

Regular classroom offerings will usually only be approved by the Dean if enrollment in the course is sufficient to cover the cost (i.e., both direct and indirect) of delivering the course. The appropriate College Office will provisionally approve a summer course offering based on enrollment estimates and early registration information. As the start of each Summer term nears, however, the appropriate College Office will continue to monitor enrollment and may cancel courses that were provisionally approved based on low student enrollment.

Faculty salary for summer courses is computed based on a faculty member's academic year salary and the number of credit hours the faculty member teaches. Assuming a full-time teaching load for a faculty member engaged in nothing but teaching during the academic year is 8 (4+4) 3-credit hour courses, a faculty receives as compensation 4.1667% of his/her AY salary for every credit hour delivered. During the summer, maintaining this expectation, a faculty member's summer pay can be computed as:

$$\text{Faculty_Salary} = \text{Faculty_AY_Salary} * \text{Credit_Hours} * 0.041667$$

A faculty member's daily rate of pay during the summer may be computed from a faculty member's daily rate of pay during the academic year ($\text{Faculty_AY_Salary} / 185$ days) as:

$$\begin{aligned} \text{Faculty_Salary_Daily} &= \text{Faculty_AY_Salary_Daily} * \text{Credit_Hours} * 0.2569^1 \text{ (Summer I)} \\ \text{Faculty_Salary_Daily} &= \text{Faculty_AY_Salary_Daily} * \text{Credit_Hours} * 0.1927 \text{ (Summer II)} \end{aligned}$$

where Summer I is 30 days long, and Summer II is 40 days long. As the summer terms are compressed, however, faculty compensation calculated on a daily basis may not exceed a faculty member's AY daily rate; unless approved as an overload. During Summer I, the summer daily rate exceeds the AY daily rate

¹ Each credit hour represents 16 contact hours. Based on 8, 3-credit hour courses during the AY, a full-time load during the AY represents 2.0757 contact hours per day ($16 * 24 / 185$). Thus, during a compressed Summer I term, 16 contact hours in 30 days represents 0.5333 contact hours per day, or $0.5333 / 2.0757 = 0.2569$ of a total full-time contact hour load per day. Similarly, for Summer II, 16 contact hours in 40 days represents 0.4 contact hours per day, or $0.4 / 2.0757 = 0.1927$ of a total full-time contact hour load per day.

at credit hour delivery above 3.5 total credit hours. During Summer II, the summer daily rate exceeds the AY daily rate at credit hour deliver above 5 credit hours.

Below credit hour commitments of 4 and 6 credit hours respectively, faculty may also engage in other funded activities (e.g., sponsored research). The number of days available during the Summer for any other sponsored activity when the faculty member is teaching part-time in Summer I or Summer II is calculated using the formulas below:

$$\text{Days_Available} = 30 - \text{Credit_Hours} * 7.7083 \quad (\text{Summer I})$$

$$\text{Days_Available} = 40 - \text{Credit_Hours} * 7.7083 \quad (\text{Summer II})$$

Field Offerings:

Unlike the classroom offerings defined above, field offerings are required components of a program's curriculum that cannot be delivered at any other time during the academic year. As such, support for these offerings is formally budgeted and the Office of Academic Affairs does not use the formal criterion defined above to determine whether or not a field course is running fiscally in the black. The Dean will, however, work with the Department Heads to review and evaluate Field program budgets to ensure these offerings are run as efficiently as is academically possible.

Faculty salary derived from a field program offering is computed using the following formula:

$$\text{Faculty_Salary} = 1 / 185 * \text{AY_Salary} * \text{Days_in_the_Field} * \text{Percent_Effort}$$

Last Revision:

February 28, 2017

3.7 LEAVES OF ABSENCE

Governing Policies:

Section 5.4, Faculty Handbook – Leave Benefits

Section 8.1.1, Faculty Handbook – Request for Extension of Probationary Contract Period

Procedure:

Various types of leaves of absence are defined in Section 5.4 of the Faculty Handbook (Unpaid Leave, Sick Leave, Family Medical Leave, Parental Leave, etc.). With the exception of short-term leaves such as Annual Leave, Sick Leave, and Holiday Leave, approval for a leave of absence must be obtained prior to taking the leave. The intent and requirements for each type of leave are defined in the Faculty Handbook.

As defined in section 5.4.2 of the Faculty Handbook, requests for unpaid leaves of absence should be submitted in writing to a faculty member's immediate supervisor. Unpaid leave is granted at the discretion of the Dean, or in the absence of the Dean, the appropriate Vice President.

The general approval process for paid leaves of absence is as given below:

1. As soon as possible, the faculty member should provide her/his immediate supervisor informal notification of the need to take leave. As part of this interaction, the immediate supervisor should refer the faculty member to the Office of Human Resources to discuss leave options as defined in the Faculty Handbook.
2. The faculty member is responsible for contacting the Office of Human resources to schedule an appointment to discuss leave rights, benefits and options given their situation and needs.
3. At the conclusion of these discussions, the Office of Human Resources will follow up with the faculty member's immediate supervisor regarding any leave for which the faculty member is eligible as well as any approval granted for FML.
4. The faculty member should then provide formal, written notification to his/her immediate supervisor and the Office of Human Resources to exercise any leave benefits.
5. As defined in the Faculty Handbook, when a leave of absence extends partially through an academic semester, a faculty member may request teaching relief for that semester. Department Heads are authorized to provide this relief, and in addition to work with the faculty member to craft a plan that defines non-teaching expectations for the remainder of the semester. It is presumed that these expectations will in total constitute an anticipated workload that is appropriate given the nature (i.e., full-time or part-time) of the faculty member's appointment. It is inappropriate to shift workload expectations that a faculty member missed while on leave to another semester (e.g., to increase the expected teaching load in the immediately subsequent semester).
6. The Department should verify that leave has been accurately recorded in any applicable leave reporting system. Questions regarding leave coding should be referred to the Human Resources Office.

Under no circumstances are Department Heads authorized to approve or deny any form of long-term leave including but not limited to extended Sick Leave, Medical Disability Leave and Parental Leave,

without direct involvement of the Office of Human Resources. Further, Department Heads are not authorized to reduce workload expectations in lieu of formally approved, long-term leave.

For tenure-track faculty, extended leave may be used as justification for a request to extend the probationary contract period. Faculty in this situation should consult the Handbook, section 8.1.1, regarding the requirements of, and the process for requesting a probationary contract extension.

Last Revision:

October 27, 2015

3.8 OFFICE SPACE FOR TRANSITIONAL AND EMERITUS FACULTY

Governing Policies:

Section 4.1.4, Faculty Handbook – Transitional Faculty Appointments

Section 4.1.5, Faculty Handbook – Emeritus Faculty Appointments

Procedure:

Faculty retirees on transitional appointments and fully retired emeritus faculty will be provided with office space to the extent possible according to the following guidelines. Space assignments and reassignments for faculty are at the discretion of the department head/division director and are made with broad consideration of optimization of facilities use within that unit's allocated space. Faculty on transitional contracts will be provided with office space, however, they may be asked to relocate to a different room, and/or to share their office with another member of the department. Fully retired emeritus faculty may be provided with office and/or lab space, if the DH/DD has space available, including within a suite shared by several individuals. At any time, reallocation of space within the unit may result in fully retired faculty being asked to vacate their offices and/or lab space.

Last Revision:

October 5, 2011

3.9 SABBATICAL REQUESTS

Governing Policies:

Section 10.2, Faculty Handbook – Sabbatical Leave Policy

Procedure:

Once per year, Academic Affairs will solicit sabbatical requests from faculty and department heads. Sabbatical requests are evaluated by the Board of Trustees on the basis of their merit, supported by the completeness of the required supporting documentation.

The request should be clearly articulated and submitted as a formal proposal from the faculty member and accompanied by a letter of support from her/his Department Head. The faculty member's request should contain the following:

1. Faculty member's name, department/division, area(s) of expertise, length of service at CSM (start date), date of last sabbatical (if any), length of sabbatical requested.
2. A clear and complete description of the activities to be pursued should a sabbatical be granted.
3. A discussion of how the sabbatical will be of benefit to 1) the faculty member, 2) to the department/division and CSM more generally as appropriate, and 3) CSM students.
4. The hardship imposed on the faculty member's colleagues or department/division should the sabbatical be granted, along with a detailed explanation of how the hardship will be ameliorated, and
5. A completed Sabbatical Request Summary.

The Sabbatical Request Summary is available online at:

<http://inside.mines.edu/UserFiles/File/academicAffairs/Forms/Sabbatical%20RequestSummary%20template.doc>

Please note that the Board of Trustees (BOT) has developed this form and mandates that it accompany all sabbatical requests. The form should be filled out completely (i.e., it should not contain one line answers that simply refer to the faculty member's or Department Head's memoranda) and it must be kept to one page. In addition, please submit the form in **Word format (not PDF)**.

The letter of support from the Department Head should clarify and add perspective to the requested sabbatical(s). Additionally, if more than one sabbatical is being recommended in the same department, the Department Head's letter of support should detail the number of requests for sabbaticals currently outstanding in the department/division, the areas of expertise involved, and how the department/division will handle multiple faculty absences over upcoming year.

All three documents must be submitted **electronically** to Academic Affairs by the date published as part of the Academic Affairs calendar.

Finally, the *Faculty Handbook* requires that a sabbatical report be filed in a timely manner after the conclusion of the sabbatical. At the BOT's request, faculty may be invited to make a presentation to the Board about their sabbatical.

Last Revision:

May 29, 2014

3.10 BUSINESS CARD PROTOCOL

Business cards should only be used if the holder of the cards has a current appointment. Business cards should indicate the rank of the appointment for both tenure-tenure-track and non tenure-line faculty, as described in the appointment or contract letter, and adhering strictly to the ranks described in Section 4 of the Faculty Handbook. Faculty holding a PE license wishing to include this certification as part of their business card must also include an indication as to the state from which the license was granted.

Institutional requirements of, and the procedure for purchasing business cards are defined on the Public Relations website (<http://inside.mines.edu/Business-cards-letterhead-and-envelopes>).

Business cards for graduate students should only be used if the student is registered in a graduate program at CSM. Business cards must indicate that the holder is a graduate student and must identify the degree program and department of residence. The Graduate Student Government Association facilitates the purchase of business cards for graduate students.

Last Revision:

May 29, 2014

3.11 GIFT BAN

Amendment 41 (also known as Article XXIX of the Colorado Constitution) was passed by Colorado voters in 2006 and bans legislators, government employees and their immediate family from accepting gifts worth more than \$50. Colorado's Independent Ethics Commission (IEC) issued a position statement to clear up confusion over the gift ban provisions of Amendment 41.

In its position statement, the IEC found the following items permissible, notwithstanding the gift ban, on the basis that there is "lawful consideration of equal or greater value" exchanged:

- **Scholarships** granted to public employees' and officials' spouses or dependent children
- **Insurance proceeds**
- **Honoraria** provided to public employees and officials for speaking before "business or civic groups" and writing publications, provided that:
 - Delivering the speech or writing the publication is not part of the public official/employee's official duties;
 - Public resources are not used in the preparation of the speech or publication (including computers, telephones, staff, etc.);
 - Government time is not used for the preparation or delivery of the speech or publication;
 - The amount of the honorarium is reasonably related to the services the employee/official is being asked to perform; and
 - Neither the sponsor of the speech nor the source of the honorarium is a person or entity with whom the public employee/official has had, or reasonably expects to have, dealings in his or her official capacity

The IEC also found the following permissible on the basis that accepting such items "is not a breach of public trust" because they are offers or benefits given to the general public or a class of people under circumstances where others receive the same opportunity, and public employees/officials should not be penalized because they hold government positions:

- **Prizes** (including scholarly recognitions such as the Nobel Prize)
- Items won in **raffles, lotteries and silent auctions**

Finally, the IEC found the following permissible on the basis that gifts made in the context of family or personal relationships are "not a violation of the public trust" because it is the close personal relationship between the parties that is the controlling factor in such situations, not the potential to influence official action:

- **Inheritances**
- **Gifts or other things of value given by relatives or personal friends, provided that**:
 - It can be shown that it is a family or personal relationship rather than the governmental position that is the controlling factor; and
 - The public employee/official's receipt of the gift would not result in or create the appearance of: using his or her office for personal benefit; giving preferential treatment to any person or entity; losing independence or impartiality; or accepting gifts or favors for performing official duties.

If you have specific concerns or questions regarding the gift ban, please bring them to the attention of counsel in the Legal Services Office so that they may assist in resolving those.

Last Revision:

May 29, 2014