



MECHANISMS FOR OBTAINING ASSISTANCE RELATED TO SPECIFIC FACULTY MATTERS

OVERVIEW

Managing unprofessional behaviors or other faculty and clinician matters can be complicated and will often require or benefit from the engagement of other administrative offices and processes at the UNM Health Sciences Center (HSC). To support faculty, Division Directors, Chairs, and Deans, the Office of Academic Affairs has recruited a Director of Faculty Relations, Shirley Alexander, to assist with identifying the appropriate path to take when issues affecting faculty performance are of concern. The role of the Director of Faculty Relations is to initiate documentation of concerns, and to provide guidance on appropriate next steps. This may include the provision of policy process and advisement, engaging with referral for mediation, and/or professionalism development. The Director of Faculty Relations is the first point of contact within the Office of Academic Affairs. Contacts and communications with the Director are confidential to the extent permitted by University policy or federal or state law. . The Director of Health Sciences Faculty Relations reports to the HSC Vice President of Academic Affairs.. The role of this office does not replace or supersede provisions, processes, or responsibilities of units or individuals articulated in policies in Sections C and E of the UNM Faculty Handbook or UNM human resources or compliance policies.

KEY MEMBERS AND ROLES

The EVP, CEOs, Deans, and Health Sciences Office of Academic Affairs are accountable for clarifying the process for managing faculty, physicians, and house-staff. The HSC Office of Academic Affairs, HSC Office of Clinical Affairs, and Chief Medical Officer offices provide support and information on policy issues related to the impact of the issue on the academic/faculty review process, medical staff issues, and are a resource for triaging. Within the HSC, the Director of Faculty Relations provides consultation to faculty, department chairs, division leaders, and other senior administrators on academic employment and policy matters. Roles include: working with HSC leaders and supervisors in all Departments for provision of educational workshops to promote management of behavioral concerns; preliminary mediation and conflict resolution services; help with drafting settlement agreements, evaluations and reviews; and may need to work with other leaders in response to charges by external state and federal agencies. This role can provide advice on policies and procedures pertaining to academic grievances, layoffs, misconduct, and related administrative and personnel issues. The Director can help as a resource on academic personnel publications and policies, including providing training, informational, and educational programs.

HSC ACADEMIC AFFAIRS

Shirley Alexander
 ShAlexander@salud.unm.edu
 (505) 272-0855

HSC COMPLIANCE OFFICE

hsc.unm.edu/admin/compliance
 compliance@salud.unm.edu
 (505) 272-7371

OFFICE OF COMPLIANCE ETHICS & EQUAL OPPORTUNITY

oeo.unm.edu
 oeounm@unm.edu
 (505) 277-5251
 Fax: (505) 277-1356

ETHICSPPOINT HOTLINE

unm.ethicspoint.com
 1-888-899-6092



Resource Guide

Some matters will simultaneously affect multiple mission areas (clinical, research, education) and may reflect multiple interpersonal relationships. This resource guide will assist with providing the available resources to help manage faculty matters, including disruptive or unprofessional behaviors. In the HSC, Amy Levi, Vice President of Academic Affairs, and Shirley Alexander, Director of Faculty Relations, oversee the management of the response to managing faculty matters covered in this resource guide. In addition, the HSC Academic Affairs Office works closely with the Interim Associate Dean for School of Medicine Academic Affairs, Donna Sigl; the HSC Vice President for Research, Richard Larson; UNM Senior Vice Provost, Barbara Rodriguez; the UNM Office of Academic Personnel and other campus and HSC offices. The HSC Office of Academic Affairs can provide assistance as well as referrals to other offices for resources and support.

DEPARTMENT CHAIR LEADERSHIP ROLE

Chairs in each of the HSC Colleges and School of Medicine have primary accountability for managing their Department faculty, physicians, and house-staff. Together with their Division Leaders, Department Administrators, and Clinical Chiefs they have the primary responsibility for managing incidents, other than those reported for further investigation to the Office of Compliance, Ethics and Equal Opportunity (CEEO), of all faculty, physicians, and house-staff in their Department. They must coordinate information and inputs from clinical and academic organizations. They may be able to manage some faculty matters on their own when they become aware of them (first reported to them or that they personally witness). They may also receive information from the Medical Staff Office, Department Administrators, or other faculty and staff, and be asked to participate in managing issues. **Chairs must document the incidents and relevant communications, including emails, and may engage the Faculty Employee Relations staff to support them with any case.** More complicated and severe cases may also be tracked by the Department, Medical Staff, and Health Sciences leadership. Smaller issues, except for civil rights and/or sexual harassment concerns, can be handled by departments/delegated down, but faculty matters should still be documented. Issues should be addressed and resolved at the lowest level quickly and with the least formality possible.

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DOCUMENTATION & REPORTING

FACULTY PERFORMANCE MATTERS

Documentation is an essential component of any matters related to faculty performance. In brief, all notes pertaining to faculty matters should include the date, who was present in the conversation, the primary issues in the discussion, a summary of the individual's response, and next steps for each participant in the meeting, including a timeline for each step. All referrals to other entities or offices, with dates and outcomes, need to be noted. All notes should be kept in the personnel files for those whom you supervise, and there should be clarity in each Department on how personnel matters are tracked at the department level. Further information about documentation is included in [Faculty Handbook Policy C70](#).

The Director of Faculty Relations will assist in clarifying matters, such as where to report, related to whistle-blower protections, sexual discrimination or harassment, research misconduct, clinical concerns, and actions in violation of civil rights. These are to be reported directly to the following entities:

- Whistle-blower protections as provided by University Administrative Policy (UAP) 2200 are to be directed to the [HSC Compliance Office](#)
- Any action in violation of Federal Civil Rights Law, New Mexico Civil Rights Law, Title IX, Title VII, Clery Act, Americans for Disability Act or involving a protected class as outlined in

[University Administrative Policies 2720](#) or sexual discrimination or harassment as outlined in [University Administrative Policies 2720](#) and [2740](#) (Policy 2740: Sexual Harassment Including Sexual Assault (Interim) is to be reported to the [Office of Compliance, Ethics and Equal Opportunity: Compliance, Ethics & Equal Opportunity](#)

- › **Mandatory reporting** is part of the obligation as a designated Responsible Employee for Title IX that applies to all UNM employees per UAP 2740. Other mandatory reporting obligations may exist within other offices, e.g. medical staff offices for licensure matters.
- › Title VII also requires mandatory reporting by faculty, administrators, and supervisors when they witness or receive a written or verbal report or complaint of discrimination or harassment under UAP 2720.
- Research misconduct as described in Faculty Handbook Policy E40 is to be reported to the [HSC Vice President for Research](#)

Confidentiality cannot be assured in situations involving imminent physical danger or violation of law. In accordance with university policies, the Director of Faculty Relations is obligated to report allegations of sexual harassment or discrimination to the UNM Title IX Coordinator.

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HSC ACADEMIC AFFAIRS FACULTY RELATIONS:

I. RESPONSIBILITIES

Advising on faculty discipline cases and investigations of wrongdoing, including policy violations

- Advising departments and divisions to ensure proper initial fact-finding and analysis.
- Researching policies and past practices in order to suggest options and problem-solve with administrators.
- Working closely with administrators to provide ongoing guidance in the management of complex or disciplinary cases.
- Ensuring proper follow-up with offices and individuals if an investigation is conducted.
- Explaining administrators' responsibility for compliance with University and external regulations.
- Clarifying procedures and policies and assisting in drafting documents to reach an agreement or reasoned decision.

Facilitating informal mediation and negotiations

- Facilitating informal resolution of problems whenever possible to avoid the continuing consequences of complaints or grievances.
- Attending informal resolution meetings as appropriate if complaints are not resolved at an earlier stage.

Partnering with other campus offices on investigative and disciplinary cases

- Suggesting other offices help with cases if necessary, including external institutions and agencies.
- Coordinating efforts of these offices and ensures proper follow-up.

Responding to charges filed with state and federal agencies if requested

- Working with UNM Office of University Counsel (OUC) to respond to legal documents or questions about an academic employee's record at UNM when requested.
- Carefully reviewing department/division documents.
- Working with UNM Office of University Counsel to respond to subpoenas and related requests for information from external agencies or individuals.

Developing procedures and training for academic grievances, layoffs, and misconduct

- Working with the appropriate offices to review, update, and develop academic personnel policies.

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II. OFFICE OF HS CLINICAL AFFAIRS

Scope: The Health Sciences Office of Clinical Affairs provides a network of infrastructure and services for the Medical Staff and clinical teams of the UNM Health System. The Office of Clinical Affairs includes the Medical Staff Leadership, Credentials Verification Office, and the Medical Staff Affairs of all the clinical entities in the UNM Health System: UNM Hospital, including the Comprehensive Cancer Center; Sandoval Regional Medical Center, and the UNM Medical Group. Concerns related to clinical care in the UNM system are to be referred to the appropriate office of Medical Staff Affairs; and patient safety concerns for UNM Health System entities (UNM Hospital, UNM Medical Group, Sandoval Regional Medical Center) should be reported appropriately through the [Patient Safety Intelligence \(PSI\) System](#).

III. STUDENT CONCERNS

Management of student concerns is addressed in Student Handbooks for each School, College, and HSC Program. Student grievance procedures are detailed in Faculty Handbook policies: D175 Undergraduate Student Conduct and Grievance Procedures: [D175 Undergraduate Student Conduct and Grievance Procedures](#) and [D176 Graduate and Professional Student Conduct and Grievance Procedures](#).

IV. OFFICE OF COMPLIANCE, ETHICS AND EQUAL OPPORTUNITY (CEEEO)

Scope: The UNM Office of Compliance, Ethics and Equal Opportunity (CEEEO) addresses claims of

discrimination based on a protected status (Title VII), sexual harassment (Title IX), and sexual misconduct. It also provides oversight of the University's compliance with Title VII, Title IX, the Clery Act, the Americans with Disabilities Act (ADA), ADA accommodations, and affirmative action. CEEEO can provide training and education on all these issues. CEEEO serves the entire UNM community and works with offices across campus to ensure the University's commitment to promoting equal access and treatment for all. CEEEO works to resolve complaints of discrimination and harassment through formal investigation or informal resolution, facilitates supportive measures, and explains and clarifies university policies and procedures regarding discrimination, harassment, and retaliation. The office also collaborates with other UNM offices in resolving complaints when appropriate and offers a variety of training programs and workshops in the prevention of sexual violence, sexual harassment, and all forms of discrimination for students, faculty and staff. **Mandated Reporting:** Current UNM policies (UAP 2720 and 2740) identify all HSC employees as Responsible Employees with mandated reporting obligations for Title IX purposes. As a designated Responsible Employee, you are required to promptly notify CEEEO of instances of sexual harassment, sexual assault, dating violence, domestic violence, stalking or other prohibited behavior committed by or against any other UNM employee or student that you become aware of in the course of your work.

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HSC faculty, administrators, and supervisors are also designated as Mandatory Reporters under Title VII. UAP 2720 requires Mandatory Reporters to notify CEEO of disclosures of discrimination and/or harassment based on a protected status. Reports of bias, harassment or discrimination can be made by contacting CEEO directly by phone, fax, or email for non-Title IX concerns.

CEEEO Office Contacts:

Phone: 505-277-5251

Fax: 505-277-1356

Email: oeounm@unm.edu

Website: <https://oeo.unm.edu>

Reporting Link: <https://app.smartsheet.com/b/form/2d27c7ec9c824940abf4e34ae23843f6>

V. UNM CAMPUS COMPLIANCE OFFICE / WHISTLEBLOWER REPORTS

Hotline: The system wide UNM Whistleblower Hotline provides an avenue for anonymous reports. Reports can be made by calling the Hotline at [1-888-899-6092](tel:1-888-899-6092) or submitting an online report via the [Ethics Point website](#).

VI. HSC OFFICE OF RESEARCH

Academic employee matters might include issues of research integrity, conflict of interest, postdoctoral scholars and staff working in a lab interacting with faculty. If there is a concern related to research, HSC's Office of Research Compliance should be promptly contacted to review and assess any actual or potential research affairs matters:

- **Postdoctoral and Research Scholar Affairs**
- **Research Compliance and Integrity:** Provides oversight and responsibility over the following areas:
 - › **Conflict of Interest (COI):** provides confidential assistance to faculty, staff, non-senate academics, and postdoctoral trainees to assess situations in which financial or other personal considerations may compromise, or have the appearance of compromising, their actions or judgments in the administration, management, teaching, research or performance of any professional activities at HSC.
 - › **Export Control:** Identifies and manages export risks for national security and foreign policy reasons and provides export licensing in support of the research activities for university faculty, staff and students.
 - › **Institutional Animal Care and Use Committee (IACUC):** Oversees the university's animal care and use program and is responsible for reviewing all animal use protocols, ensuring compliance with federal regulations, inspecting animal facilities and laboratories and overseeing training and educational programs.
 - › **Research Misconduct:** is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Quality and ethical research requires adherence to the highest standards of integrity in proposing, conducting and reporting research. All individuals affiliated with HSC have an ethical responsibility to act if they suspect research misconduct has occurred.

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UNM & HSC RESOURCES

UNIVERSITY ADMINISTRATIVE POLICIES AND PROCEDURES MANUAL:

- [Policy 2200 “Whistleblower Protection and Reporting Suspected Misconduct and Retaliation”](#)
- [Policy 2210 “Campus Violence”](#)
- [Policy 2220 “Freedom of Expression and Dissent”](#)
- [Policy 2240 “Respectful Camp”](#)
- [Policy 2720 “Equal Opportunity, Non-Discrimination, and Affirmative Action”](#)
- [Policy 2740 “Sexual Harassment Including Sexual Assault”](#)
- [Policy 3220 “Ombuds Services and Dispute Resolution for Staff”](#)
- [Policy 3750 “Counseling, Assistance, and Referral Services”](#)

FACULTY HANDBOOK:

- [Policy C05 “Rights and Responsibility at the University of New Mexico”](#)
- [Policy C07 “Faculty Disciplinary Policy”](#)
- [Policy C70 “Confidentiality of Faculty Records”](#)
- [Section B, Section 5.5. “Suspension” and “Appendix V”](#)

UNM PATHFINDER:

- [Student Code of Conduct](#)
- [Visitor Code of Conduct](#)

CAMPUS WIDE RESOURCES:

- I. Office of Compliance, Ethics and Equal Opportunity (formerly the Office of Equal Opportunity) (CEEEO)
- II. Office of the Provost and/ or EVP for Academic Affairs
- III. Office of Research Compliance

HEALTH SCIENCE CENTER SPECIFIC:

- IV. HSC Academic Affairs
- V. HSC Office of Compliance
- VI. HSC Office of Research
- VII. HSC Office of Faculty Contracts
- VIII. UNMH Medical Staff Office

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INCIDENT REPORTING GUIDE

UNIVERSITY ADMINISTRATIVE POLICIES AND PROCEDURES MANUAL:

Check out common issues and who to contact.

HSC Faculty Matters

HSC Office of Academic Affairs

Phone: [505-272-5849](tel:505-272-5849)

Email: SHAlexander@salud.unm.edu

Oversees the provision of faculty employee relations matters, including the provision of administrative, consultation, and advisement services to UNM Health Science Center (HSC) faculty leaders, including Deans, Chairs and Division leaders. Develops and conducts training and education on faculty employment matters to support faculty leaders.

HSC Compliance Violations

Health Sciences Center Institutional Compliance

Program: HSC ICP

Phone: [505-272-7371](tel:505-272-7371)

Website: Compliance@salud.unm.edu

Oversight of maintaining compliance with all applicable federal, state and local law and regulations.

HSC Research Compliance Issues

HSC Office of Research:

Phone: [505-272-6950](tel:505-272-6950)

Website: hsc.unm.edu/research/

Provides information, guidance, expertise and administration support in order to meet the laws, rules and policies governing research in the most efficient and effective way.

Patient Safety, Concerns or Incidents

Patient Safety Intelligence (PSI) System:

Phone: [505-272-8639](tel:505-272-8639)

Website: goto.unm.edu/psi

Report any occurrence that is not consistent with the routine operation or routine care of a patient along with any unusual or unexpected response by a patient to standard treatment or medical intervention. This system is administered by the **Quality Outcomes department**, at [505-272-0140](tel:505-272-0140)

Mistreatment Involving MD/DO Learners

SOM Learning Environment Office (LEO):

Phone: [505-272-7867](tel:505-272-7867)

Website: goto.unm.edu/leo

Promotes an inclusive learning environment where teachers, staff, and learners thrive, and relationships are mutually respectful and beneficial to each other and to institutional climate.

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Resource Guide

Fraud & Abuse

Compliance Office Hotline

Hotline: [1-888-899-6092](tel:1-888-899-6092)

Website: unm.ethicspoint.com

Guidance on ethical and compliance issues, and reporting situations such as miscoding of services, duplicate billing, payments or kickbacks, or referrals with a financial interest.

Faculty Matters Involving Main and Branch Campuses

Office for Academic Personnel:

Phone: [505-277-4528](tel:505-277-4528)

Website: ofas.unm.edu

Serves as a central service center for administrators and faculty. It specifically supports the recruitment, selection, appointment, promotion, retention and oversight of a diverse, highly talented faculty within academic units on UNM Main and Branch campuses.

Staff & Faculty Matters

Division of Human Resources Labor & Employee Relations

Phone: [505-277-6947](tel:505-277-6947)

Website: LER@unm.edu

Work with employees and supervisors in support of promoting a respectful and fair workplace, conduct investigations regarding employment concerns submitted through the University's Hotline system, interpret and negotiate staff union contracts, provide guidance throughout the union grievance process, and manage UNM's drug testing program for all mandated federal DOT employees.

Additional Contacts

HSC Office of Research

Phone: 505-272-6950

Website: Hsc.unm.edu/research

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