NEW MEXICO TECH
SCIENCE • ENGINEERING • RESEARCH UNIVERSITY

Policy on Development, Amendment, and Rescindment of Policies

Office of the President
Policy Document Number: OP-01.1-2024

Adopted by the Board of Regents: 09/20/2024
Policy Updates: 02/14/2014
　　　　　　　05/11/2018
　　　　　　　12/12/2018
　　　　　　　07/18/2019

Policy Purpose: This policy establishes processes for developing, amending, and rescinding administrative policies and procedures governing New Mexico Tech, including obtaining input from appropriate constituents that may be affected by changes in policies.

Policy Statement　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　3

POLICY STATEMENT

A University Policy is a written statement approved by the President of the University and, when applicable, the Board of Regents (BOR), outlining appropriate actions, activities, and behaviors with University-wide applicability. A University Policy should:

1. Ensure compliance with applicable laws, regulations, and the President's Executive Directives.

2. Direct the University, its constituents, and affiliated entities in alignment with its vision, mission, and goals outlined in the Strategic Plan.

3. Guide the University's governing board, administration, faculty, staff, and students in fair and ethical behavior.

4. Reduce the University's risk, such as financial, health and safety, compliance, and reputational risks.

Policies are subordinate to the President's Executive Directives (PEDs); the bylaws, rules, and regulations of the Board of Regents; and state and federal regulations and statutes.

All New Mexico Tech policies are available on the Office of the President's Policies and Procedures webpage.

GENERAL POLICY

Policies Requiring Approval of the President

- All policies (interim or permanent) require the President's approval.

- An interim policy only requires approval by the President, and it must note in its title that it is interim. Such short-term policies should be replaced by regularly developed and approved policies within one year of their adoption.

Policies Requiring Approval of the Board of Regents

Some policies require approval by the Board of Regents in addition to the approval of the President. The President and the Chair of the Board of Regents determine whether or not a policy requires such approval. The Board will typically consider policies that govern the financial health and overall quality of the Institute (i.e., New Mexico Tech). Examples of policies that usually require Board approval include:

1. Policies governing tuition and business practices that, for example, can significantly impact the Institute's financial health.
2. Policies that govern NMT's academic and research quality, including, but not limited to, tenure and promotion of faculty and sabbatical leave.
3. Any policy that has the potential to expose New Mexico Tech to (or is intended to protect NMT from) significant legal risk.
4. Substantial revision or repeal of policies that were previously approved by the Board.
5. Policies that have a considerable impact on the governance of New Mexico Tech.

Policy Maintenance and Review

Each division head is responsible for maintaining a current and complete set of policy documents that are easily accessible to all faculty, staff, and students. Vice Presidents should regularly create, review, update, and, when necessary, rescind policies within their divisions, ensuring this process occurs at least once every three years.

Rescinding an Established Policy

The President has the right to rescind an established policy for which they had terminal approval when it is in the best interest of the University. The Board of Regents also has the right to rescind an established policy for which it had terminal approval.

Guidelines for Development, Review, and Rescindment of Policy

To ensure the development and review process provides the appropriate degree of autonomy and integration for each division, the following guidelines apply:

- Division heads should make reasonable efforts to solicit input from other division heads when policy subject matter impacts multiple areas of the University.
- When policies substantially impact specific groups, division heads should provide opportunities for these groups to offer feedback.
- Procedures and Process Documents are to be developed or revised in collaboration with key constituents, groups who are either affected by or responsible for implementing the Policy Document. For example, a Procedure and Process Document for an academic Policy Document should include the VP of Academic Affairs, academic deans, Council of Chairs, Faculty Senate, etc. as key constituents.

These guidelines aim to foster collaboration and inclusivity while maintaining the University President's authority to establish or revise University policy as necessary.

Contents of Policy Document

Each Policy Document (PD) shall contain the following subsections:
- Title
- Purpose
- Definitions (may be utilized or omitted as necessary)
- General Policy

Except in special circumstances, such as this PD, Policy Documents shall not include specific procedures or forms to support policy implementation. Procedures and forms shall be developed as needed and maintained in the central repository with links to the appropriate policy.

Labeling and Management of Policy Documents.

Each Policy Document shall be labeled and assigned to a division of the University as follows:
   A. Office of the President: e.g., OP-01.1-2024 (Division - PD#.version# - approval date)

B. Academic Affairs: e.g., AA-01.1-2024
C. Administration and Finance: e.g., AF-01.1-2024
D. Student Affairs: e.g., SA-01.1-2024
E. Office of Research: e.g., OR-01.1-2024

Conflicts

If a policy or portion of a policy conflicts with another Institute policy or with state or federal regulation, law, statute or rule, the higher-ranking policy takes precedence in the order of ranking from lowest to highest: PDs, PEDs, any PD approved by the Board of Regents, state legislation, or federal legislation. The Institute must defer to state or federal law if no policy exists regarding a particular issue.

Procedures for Development, Revision, Rescindment, and Approval of Policy Documents

To preserve the integrity of campus policies, including any changes to the procedures themselves, must follow:

1. A University office or group proposing a new policy shall draft a document in the correct format and prepare a statement outlining the background and rationale for the new policy. The draft and supporting documents (e.g., corresponding procedure forms) should be submitted to the division VP for a preliminary review by the appropriate dean, director, or administrative head (see Figure 1). Similarly, for policy revisions or rescindment, the office or group should document the precise revision(s) needed and provide a justification for the proposed change or rescindment.

2. Upon initial review and approval, the division VP informs the Office of the President.

    a. If the President deems that the proposed policy or policy revision requires additional review and input, the President shall appoint a committee comprised of University constituents affected by the policy or its changes.

3. After a discussion with the President, the VP will identify appropriate key constituents for further review. Whenever possible, broad review and consensus by key constituents should be obtained before submitting the policy to the President for final approval.

    a. Some of the key constituents are:

        i. Faculty Senate or its subcommittees

            • To preserve adherence to shared governance, academic catalog information, and other policies affecting academic issues, germane matters must be brought through the Faculty Senate approval process for consideration by the President or their designee (e.g., Provost) (required for academic policies, catalog information, and other policies affecting academic issues)

        ii. President's Cabinet

        iii. Council of Chairs

       iv. Graduate Council

       v. Center Directors and Managers

       vi. Student Government Association (SGA) and Graduate Student Association (GSA)

       vii. Legal Counsel (required for personnel policies, polices that invoke personnel policies, and policies that implement regulatory/legal requirements)

4. Before it is officially approved, the draft policy must be posted on the website for ten (10) business days for the campus community to review and comment on.

5. After reviewing all submitted comments, the policy originator and the appropriate VP should consider all comments and make any pertinent and reasonable revisions for a final draft.

    a. Legal review, where applicable.

6. The President reviews and approves the policy in writing. The President may also remand the proposed policy to the originating party with recommendations for revision or reject it outright. Prior to any final approval process, the President will confer with the Chair of the Board of Regents to determine whether or not the proposed policy requires Board approval.

7. The president also has the option of remanding the proposed policy to the originating party with recommendations for revision or rejecting it outright. Prior to any final approval process, the President will confer with the Chair of the Board of Regents to determine whether or not the proposed policy requires Board approval.

8. Board of Regents review and approval, if required.

9. The final approved policy document (with appropriate PD number/version/date) shall be posted on the Policies and Procedures webpage with a link to the document under the appropriate office.
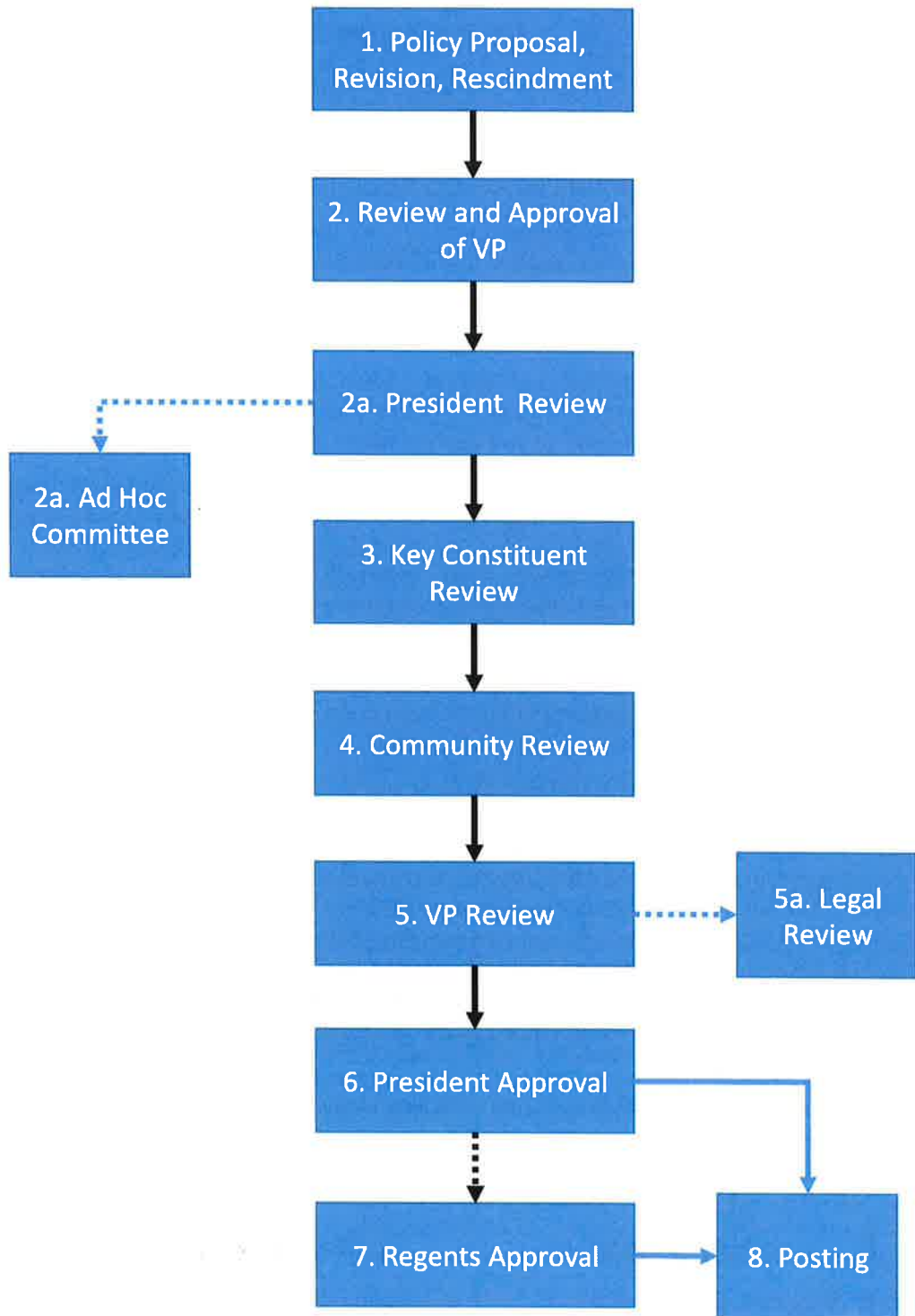
Figure 1: Process Flowchart

DEFINITIONS

- **Division:** A unit of New Mexico Tech with a unique and defined mission or purpose led by a Vice President. The University as a whole is a division headed by the President. The Office of the President and the following divisions are permitted to issue Policy Documents: Academic Affairs, Student Affairs, Administration and Finance, and Research.

- **Division Head:** The President, or their designee, or Vice President who is responsible for the programmatic, functional, or administrative areas addressed by the policy and procedure.

- **Employees:** All faculty, staff (full-time and part-time), administrators, undergraduate and graduate assistants, and student employees.

- **Interim Policy:** A temporary policy to address immediate needs or issues until a permanent policy can be developed and implemented. An interim policy should be replaced by a regularly developed and approved policy within one year of its adoption when feasible.

- **Policy Document (PD):** A formal written statement that outlines the principles, rules, and guidelines governing the actions and decisions within New Mexico Tech. It is an authoritative reference that provides clear protocols and instructions for consistent decision-making and behavior. It is designed to ensure that all members of New Mexico Tech, including, but not limited to students, faculty, staff, and administrators, understand and adhere to the established standards and practices, promoting order, compliance, and accountability. This definition does not include procedures relating solely to single-unit (e.g., Department) administrative matters.

- **Procedures and Process Document (PPD):** Written document that provide guidelines for operationalizing New Mexico Tech policy documents.

- **President's Executive Directive (PEDs):** Defines and clarifies the University's day-to-day operations and provides instructions for processes and procedures. Occasionally, a PED makes temporary exceptions or adjustments to an established policy or a portion thereof. PEDs and PPDs are *not* considered University policy (as defined in this document) and do not require development and approval following the steps outlined herein. Any PED that makes exceptions or temporarily adjusts an established policy should be replaced by a regularly developed and approved policy within one year of the adoption of the PED. An example of a PED is the promotion process for instructors. A PED will allow the promotion process for instructors to be implemented while the "Policy and Procedure for Appointment, Promotion & Tenure" document is reviewed and revised by the campus community.

- **Unit Management Directives:** Statements reflecting single-unit administrative (e.g., division, college, department, or research center) matters. An example of a Unit Management Directive is the Dean's Research Scholar.

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