



**NEW MEXICO STATE UNIVERSITY**

**POLICY MANUAL**

*As Modified by the Board of Regents 05.09.14*

# TABLE OF CONTENTS

INTRODUCTION .....	
CHAPTER 1	
Governance Authority, Organizational Structure, and Policy Development and Approval .....	1
CHAPTER 2	
General Operating Policies .....	2
CHAPTER 3	
Employee, Student and Visitor Codes of Conduct .....	3
CHAPTER 4	
Human Resources - General Policies .....	4
CHAPTER 5	
Human Resources-Faculty Policies .....	5
CHAPTER 6	
Academic - Related Policies .....	6
CHAPTER 7	
Human Resources-Employee Benefits .....	7
CHAPTER 8	
Human Resources-Staff Policies .....	8
CHAPTER 9	
Facilities and Services .....	9
APPENDICES .....	A

## **Introduction**

New Mexico State University was founded in 1888 as Las Cruces College. The Territorial Legislature of 1889 established the land-grant Agricultural College and Experiment Station, which officially opened on January 21, 1890. During its first full academic year, the college became known as the New Mexico College of Agriculture and Mechanic Arts, the first degree granting institution in the Territory. Under the provisions of the Morrill Act of 1862 and subsequent federal legislation, the special mission of land-grant institutions has been to provide a liberal and practical education for students and to sustain programs of research, extension education, and public service.

In 1960, New Mexico College of Agriculture and Mechanic Arts became New Mexico State University. Since that time, while sustaining excellence in those programs traditionally associated with land-grant institutions, New Mexico State has become a comprehensive doctoral level university offering a wide variety of programs through the Graduate School and the colleges: Agriculture and Home Economics, Arts and Sciences, Business Administration and Economics, Education, Engineering, and Health and Social Services.

New Mexico State University is the state's land-grant university, serving the educational needs of New Mexico's diverse population through comprehensive programs of education, research, extension education, and public service.

The New Mexico Constitution establishes New Mexico State University as one of the state's post secondary educational institutions, and requires the legislature to provide for the control and management of the institution through a five member Board of Regents, which serves as the governing body for both New Mexico State University as well as for the New Mexico Department of Agriculture. (*See [Appendix 1-A](#) for a partial listing and description of relevant constitutional and statutory provisions.*)

# Chapter 1

## Governance Authority, Organizational Structure and Policy Development and Approval

- 1.05 Governance/Authority/Organizational Structure
  - 1.05.10 Board of Regents Bylaws
  - 1.05.20 Board of Regents - Other Policies
  - 1.05.30 President of New Mexico State University
  - 1.05.40 Organizational Chart (*See* Appendix 1-C)
  - 1.05.50 University Administrative Council
  - 1.05.60 Academic Deans Council
  - 1.05.70 Faculty Senate (*See also* Appendix 1-D for Constitution)
  - 1.05.80 NMSU Employee Council (*See also* Appendix 1-E for Constitution, Bylaws)
  - 1.05.85 Associated Students of NMSU (ASNMSU)
  - 1.05.90 University Boards
  - 1.05.95 NMSU Community Colleges (*See also* subject matter headings such as Promotion, Tenure)
  - 1.05.96 Community College Faculty Council
- 1.10 Policy Development and Approval
- 1.14 Succession Planning
- 1.15 Non-Academic Units-Creating, Reorganizing, Relocation, Eliminating
- 1.20 Gender Equity Policy and Statement of Principles

## CHAPTER 1 - GOVERNANCE AUTHORITY, ORGANIZATIONAL STRUCTURE AND POLICY DEVELOPMENT AND APPROVAL

### 1.05 Governance/Authority/Organizational Structure

#### 1.05.10 Board of Regents Bylaws *[Amended by Board of Regents 09.26.08][Amendment adopted by Administrative Council 04.14.09; ratified by the Board of Regents 07.29.09][Amendment recommended by Administrative Council 04.08.14; approved by Board of Regents 05.09.14]*

##### A. ARTICLE I - Membership of the Board of Regents:

1. Name: The name of the board shall be The Board of Regents of New Mexico State University.
2. Membership, Appointment, Qualifications and Terms of Members; Removal and Replacement: The membership, appointment, qualifications and terms of the members of the board and their removal and replacement shall be governed by the constitution and laws of the state of New Mexico.
3. Student Member: The governor shall nominate and by and with the consent of the senate shall appoint a student member to serve a 2-year term. The governor shall select, with the advice and consent of the senate, a student member from a list provided by the president of the institution. In making the list, the president of the institution shall give due consideration to the recommendations of the student body president of the institution. (Laws of 1993 - Constitutional Amendment 3)

##### B. ARTICLE II - Ex Officio Members of the Board of Regents:

1. Statutory Members: The board shall consist of such statutory regular and ex officio members as provided by law.
2. Faculty Representative: At the pleasure of the board, the chair of the Faculty Senate shall serve as the faculty, ex officio, nonvoting representative on the board.
3. Student Representative: At the pleasure of the board, the president of the Associated Students of New Mexico State University (“ASNMSU”) shall serve as the student, ex officio, nonvoting representative on the board. The ASNMSU president’s designee may serve in this capacity if the ASNMSU president is unable to attend a meeting of the board.

##### C. ARTICLE III - Meetings of the Board of Regents:

1. Compliance with Sunshine Laws: All meetings of the Board of Regents shall be conducted in compliance with the New Mexico Open Meetings Act, NMSA 1978, § 10-15-1 *et seq* and with the board’s Annual Resolution Establishing Notice. All records of the board shall be open to inspection by the public at reasonable times, and in accordance with the New Mexico Inspection of Public Records Act. NMSA 1978, § 14-2-1 *et seq* and with NMSA 1978, § 21-1-16.
2. Regular Meetings: A minimum of five regular meetings of the board shall be held each year on such dates, places and hours as may be fixed from time to time by the board.
3. Special Meetings: Special meetings, normally reserved for matters that require action before the next regular meeting, may be called by the chair of the board or at the request of two regents.
4. Emergency Meetings: Emergency Meetings will be called only for unforeseen circumstances that demand immediate attention to protect the health, safety and property of citizens or to protect the university from substantial financial loss. The Board of Regents will avoid emergency meetings whenever possible. Emergency meetings may be called by the chair of the board, or at the request of two regents.

5. Telephonic Attendance at Meetings: Consistent with the Open Meetings Act, members of the board shall be permitted to attend any meeting of the board by telephone, when it is otherwise difficult or impossible for the member to attend the meeting in person, provided that each member participating by conference telephone can be identified when speaking, all participants are able to hear each other at the same time and members of the public attending the meeting are able to hear any member of the board who speaks during the meeting.
6. Notice of Meetings: The board shall provide reasonable notice to the public of its regular, special and emergency meetings, in accordance with its Annual Resolution Establishing Notice Requirements. See NMSU Board of Regents 2013/2014 Annual Notice Resolution. The meeting notice shall indicate how a copy of the agenda may be obtained.
7. Notice to Persons With Disabilities: In addition to the information specified above, all notices shall include the following language:

*If you are an individual with a disability who is in need of a reader, amplifier, qualified sign language interpreter, or any other form of auxiliary aid or service to attend or participate in the meeting, please contact the Office of the Chief of Staff at (575) 646-1727 at least three (3) calendar days prior to the meeting or as soon as possible. Public documents, including the agenda and minutes, can be provided in various accessible formats. Please contact the Office of the Chief of Staff at (575) 646-1727 if a summary or other type of accessible format is needed.”*
8. Closed Meetings: The Board of Regents may close a meeting to the public only if the subject matter of such discussion or action falls within one of the exceptions in the Open Meetings Act, § 10-15-1(H).
  - a. If any meeting is closed during an open meeting, such closure shall be approved by a majority vote of a quorum of the board taken during the open meeting. The authority for the closed meeting and the subjects to be discussed shall be stated with reasonable specificity in the motion to close and the vote of each individual member on the motion to close shall be recorded in the minutes. Only those subjects specified in the motion may be discussed in the closed meeting.
  - b. If a closed meeting is conducted when the board is not in an open meeting, the closed meeting shall not be held until public notice, appropriate under the circumstances, stating the specific provision of law authorizing the closed meeting and the subjects to be discussed with reasonable specificity is given to the members and to the general public.
  - c. Following completion of any closed meeting, the minutes of the open meeting that was closed, or the minutes of the next open meeting if the closed meeting was separately scheduled, shall state whether the matters discussed in the closed meeting were limited only to those specified in the motion or notice for closure.
  - d. Except as provided by Section 10-15-1(H) of the Open Meetings Act and New Mexico case law interpreting same, any action taken as a result of discussions in a closed meeting shall be made by vote of the board in an open public meeting.
9. Minutes: The board shall keep written minutes of its regular, special and emergency meetings. The law does not require minutes to be maintained for closed sessions. Any record kept of a closed session shall not be subject to public inspection. Minutes shall state at a minimum the date, time and place of the meeting; the names of the members in attendance and those absent; the substance of any proposals considered, and a record of any decisions and votes taken that show how each member voted. The minutes become official upon approval by the board. The Board of Regent’s chair signs the minutes on behalf of the Board of Regents.
10. Agenda: The meeting agenda sets the order of Board of Regents’ business. A proposed agenda shall be prepared for each regular meeting of the board and mailed to each member at least 5 days before the meeting. Any member of the board and the chair may, prior to the deadline for public notice of the agenda, request placement of an item on the agenda. If any individual or group wishes to have an action item considered by the Board of Regents, all pertinent documentation must be submitted in advance of the meeting to the Office of the President in order to allow for staff review. As necessary, the chair of the board or designee

will correspond with the individual or group to obtain additional information if needed, and to inform whether or not the item will be placed on the agenda. If the item is not placed on the board's agenda, the requestor will be informed regarding the opportunity to address the Board of Regents during the time allotted for general public input.

11. Quorum: A majority of the board shall constitute a quorum for the transaction of business, but a lesser number may convene from time to time until a quorum is in attendance.
12. Rules of Order: Except where they may be in conflict with these bylaws, the *Robert's Rules of Order*, revised, shall govern the conduct of the meetings of the Board.
13. Attendance: Board of Regents members shall make every effort to attend all meetings of the board.
14. Compensation: Members of the Board of Regents are not remunerated for their services; they are however, entitled to receive travel reimbursement.
  - a. Travel Reimbursement: Travel reimbursement for board members shall be paid in accordance with NMSU Business and Finance Policies and Procedures, consistent with the New Mexico Mileage and Per Diem Act. (See NMSU Business Procedures Manual for all other current mileage and per diem rates)
  - b. Insurance: The board authorizes the administration to annually secure travel accident insurance for appointed and *ex officio* members of the board and their legal spouses while traveling on university business at a total cost not to exceed \$1,000 annually.

D. ARTICLE IV - Officers of the Board of Regents:

1. Election of Officers: The Board of Regents shall meet and elect officers at the March meeting of each year, unless a new member, or members, of the board have not been appointed by the governor in which case the election of officers shall be held at the first meeting following such appointment. All officers so elected shall hold office until their successors are elected and qualified. At such elections they shall elect a chair, a vice chair, and a secretary-treasurer from their number. The chair and vice chair may also be referred to as the board's president and vice president. Officers and members shall be covered under the New Mexico State Faithful Performance Blanket Bond.
2. Eligibility: Any member of the board shall be eligible for any office of the board; *ex officio* members are not eligible to hold any office on the board.
3. Tenure and Vacancy: Each officer of the board shall be elected for a one-year term and shall serve until a respective successor is elected and qualifies. A vacancy in any of the above designated offices, other than one caused by removal, shall be filled by election at the next meeting of the board following its occurrence, and if caused by removal, may be filled at the same meeting at which the vacancy occurred. If because of a vacancy an officer of the board is elected and qualifies for a different position on the board, acceptance of this election will constitute resignation from the previous position. Election to a vacant office shall be for the balance of the unexpired term.
4. Duties of the Chair: The chair of the board shall perform such duties as devolve upon the office by law and which may be pertinent to the office. The chair of the Board of Regents shall direct the president of the university to issue calls for all meetings of the Board of Regents. The chair of the Board of Regents shall preside at its meetings, with full power to vote on and to second any motion, and to discuss all matters, with the same authority as any other board member, notwithstanding any provision of the *Robert's Rules of Order*. The chair of the Board of Regents shall sign the official minutes of all board meetings after the board has approved them. The chair's signature shall be affixed to all diplomas for degrees and all other documents requiring board approval. The chair of the Board of Regents shall perform such other duties as may be specified in these bylaws and as may be from time to time determined by the Board of Regents.

5. Duties of the Vice Chair: In the absence or incapacity of the chair, the vice chair shall assume the duties and obligations of the chair.
6. Duties of the Secretary-Treasurer: The secretary-treasurer shall serve as the recording secretary for meetings of the board. The secretary-treasurer shall sign board minutes when officially approved. The secretary-treasurer's signature shall be affixed to all diplomas for degrees, and all other legal documents requiring board approval. The secretary-treasurer shall perform such other duties as the board may direct and require.

E. ARTICLE V - Functions/Operating Principles of the Board of Regents:

1. Functions of the Board of Regents:

- a. To exercise control and management over the university and to exercise all other powers, authority, responsibilities, obligations, immunities and duties granted to it by law and the Constitution of New Mexico.
- b. To provide educational opportunity to prospective students, particularly those prospective students residing in this state, and to provide a high quality education to all students of the university.
- c. To serve the interests of the students, faculty, and administration and the citizens of New Mexico, and to institute policies, facilities, and programs for their benefit.
- d. To obtain adequate financial support.
- e. To select a chief executive officer for the institution and the director/secretary of the New Mexico Department of Agriculture.
- f. To promulgate rules and regulations for the university and for the New Mexico Department of Agriculture: to enforce statutes, rules and regulations pertaining to the university and to the New Mexico Department of Agriculture.

2. Principles of Board Operation: The Board of Regents exercises its control over the institution through its policies as administered by the administration. Decisions of the Board of Regents shall be made by the board acting as a body in a duly constituted meeting; individual members of the board may, however, discuss the affairs of the university and obtain information pertaining thereto from any other members of the board and from any employee or student of the university. Policies of the board shall be maintained in written form, but failure to do so shall not affect their validity. A member of the board shall not be interested pecuniarily, either directly or indirectly, in any contract for building or improvement of the university, or for the furnishing of supplies, services or materials to said institution. Contributions to the university, in any form, by a member of the board are not in violation of these bylaws. No one member should enter into correspondence as a member of the board. This is a group operation and not an individual one; therefore, it is undesirable to have a letterhead specifically for the board. Any change in organization or structure of any subdivision of this university from the level of dean and higher and any other organizational change which the administration deems of sufficient importance shall be approved by the board before it is implemented.

F. ARTICLE VI - Amendments:

1. Amendments: The power to make, alter, amend, or repeal these bylaws is vested in the board by the affirmative vote of at least 3 of its members.
2. Notice of Amendments: Copies of proposed amendments shall be submitted to the Board of Regents members at least 5 days prior to the meeting at which the proposal is to be acted upon, unless waived by unanimous consent of the board.



**1.05.20 Board of Regents - Other Policies** *[Amendment recommended by Administrative Council 07.13.10; approved by Board of Regents 07.20.10][Amendment recommended by Administrative Council 04.09.13; approved by Board of Regents 05.10.13]*

- A. NMSU Foundation, Inc.: The Board of Regents shall elect one of its members to serve on the board of directors of the NMSU Foundation, Inc. during the annual election of officers in even-numbered years.
- B. Arrowhead Center, Inc.: Annually, the board shall also name two of its members to the board of directors of the Arrowhead Center, Inc, formerly called the NMSU Technology Transfer Corporation, Inc., and as merged with the NMSU Research Park Corporation, Inc.
- C. Regents' Committees: The Board of Regents may establish regents' committees to assist it in fulfilling statutory and fiduciary obligations to New Mexico State University and to the New Mexico Department of Agriculture. A regents' committee may be comprised of no more than two voting regents, appointed by the chair, and any other individual(s) appointed by the Board. Regents' committees are distinct from university boards addressed in Policy 1.05.90 NMSU Boards. Regents' committees include, but are not limited to: the Regents' Budget Committee, the Regents' Audit Committee, and the Regents' Real Estate Committee. (See Appendix 1-G.)
- D. Regents' Medal: The Regents' Medal shall be awarded on suitable occasions and with appropriate ceremonies to persons who have made outstanding contributions to the university, to the State of New Mexico, or to the United States. Documented nominations may come from any group or individual, through the administration, for consideration for this honor by the board.
- E. Autonomy of Regents: The local autonomy of each Board of Regents should be strengthened and the number of regents on each board should remain the same. The board opposes any super Board of Regents or one central board of operation; further, the New Mexico Higher Education Department should be purely a coordinating financial review body and not involved in any kind of day-to-day business or administration of the university.

**1.05.30 President of New Mexico State University** *[Amended by the Board of Regents 07.29.09]*

- A. Delegation of Authority: The president is the chief executive officer and is directly responsible to the Board of Regents for the overall programs of the university. The president is responsible for execution of such measures as the board may enact regarding administration of all approved measures presented by the Faculty Senate or the various councils; however, the president may delegate administration of these matters. The president's further delegation of the board's authority to other appropriate administrators, for the purpose of institutional efficiency, will be documented and be available for viewing on line at: Signature Authority Table 2013.
- B. Personnel Administration: The employment, advancement, and dismissal of all administrators, faculty, and other university personnel are delegated to the president and to whomever the president delegates such authority.
- C. Role of EVP/Provost: The executive vice president and provost serves as the chief administrative officer in the absence of the president.
- D. Board's Role in Personnel Matters: Although the board should never actively nor directly participate in the actual hiring of university personnel, with the exception of the president and the director/secretary of the New Mexico Department of Agriculture, the board should always be at liberty to review any particular hiring by the administration, to determine compliance with the board's hiring policies.
- E. Operational Authority: The board delegates authority for the internal management of the institution to the president. All key policy decisions are made by the president in consultation with the appropriate administrators. All administrators serve at the pleasure of the president. The president is authorized to sign contracts for the university, on behalf of the Board of Regents.

**1.05.40 Organizational Chart** (See Appendix 1-C)

**1.05.50 University Administrative Council** *[Amended by Board of Regents 09.08.06][Amendment recommended by Administrative Council 12.14.10; approved by Board of Regents 01.31.11]*

- A. Recognition of Council and Purpose: The Board of Regents recognizes the University Administrative Council as an advisory body, to be utilized at the university president's discretion, for discussion and/or recommendations on matters of university business.
- B. Membership of Council: At the discretion of the university president, the membership includes the executive vice president and provost, senior vice presidents, community college presidents, vice presidents, associate vice presidents, athletics director, deans, faculty senate chair, ASNMSU president, graduate student council president, chair of the Employee Council, university general counsel, chief audit executive (*ex officio*) and others as may be invited by the president.
- C. Conduct of Meetings: The university president chairs the University Administrative Council. In the president's absence, the executive vice president and provost acts in this capacity. Minutes of each meeting will be distributed to the council members prior to the next meeting, or as soon as practicable.

**1.05.60 Academic Deans Council**

- A. Recognition and Purpose: The functions of the Academic Deans Council are as follows:
  1. Provide an administrative vehicle for the dissemination of information, provide ready pooling of ideas, and provide a testing ground for the matters of concern to the administration of the university.
  2. Make recommendations and discuss with the president problems relating to improvement in the administration of the institution.
  3. Act as a sounding board and evaluation body for new ideas emanating from the staff or administration.
  4. Consider ways and means of improving the academic quality and other aspects of the institution, including proposals dealing with academic policies and programs.
  5. Coordinate efforts of the various deans and provide for desirable uniformity in carrying out institutional policy.
  6. Provide administration-level coordination between the various agencies, colleges, and schools of the university.
  7. Stimulate other official groups in the full development of action within respective areas.
  8. Establish, from time to time, special committees and groups to render specialized service in developing recommendations in given areas.
  9. Consider recommendations emanating from the NMSU Employee Council when appropriate.
- B. Membership: The Academic Deans Council is composed of the president, the executive vice president and provost, the vice president for research, the academic deans, the dean of the university Library, the community colleges campus executive officers, and the chair of the Faculty Senate.

**1.05.70 Shared Governance and the Role of the Faculty Senate** *[Amendment (FS Proposition 07-10/11A) passed by Faculty Senate 01.13.11 and 03.03.11 as amended; recommended by Administrative Council 03.09.11; approved by Board of Regents 08.22.11]*

- A. Shared Governance: Shared governance refers to the governance of the university in which responsibility is shared among the Board of Regents, the faculty and the administration. As used in this policy, "faculty" refers to the general faculty, defined as all tenured, tenure track and

college faculty at all of the university's campuses. For purposes of this policy, the university president and the executive vice president and provost, and their respective direct reports, shall be collectively referred to as "administration". Shared governance shall remain a central tenet of academic decision making at New Mexico State University.

1. By law, the Board of Regents governs the NMSU system, under the advice of faculty, by the enactment of policies and by its delegation of operational authority through the university president.
  2. Consistent with the principles of the American Association of University Professors (AAUP), the faculty, represented through the Faculty Senate and other faculty representatives, shall be involved in personnel decisions, selection of administration, preparation of budget, and determination of educational policies. The faculty shall have primary responsibility for curriculum and subject matter and methods of instruction, research, faculty status and those aspects of student life which related to the educational process. Faculty shall have primary responsibility for developing and applying policies affecting the university's academic mission in regard to education, research, and service, subject to the authority of the Board of Regents, the university president, and the executive vice president and provost.
  3. The faculty shall also be involved in administrative planning processes. To facilitate this, faculty members serve on the many and varied administrative committees.
    - a. The chair of the Faculty Senate shall be a member of the Academic Deans Council and of the Administrative Council.
    - b. The vice chair of the Faculty Senate shall be a member of the Associate Deans Academic Council.
    - c. As directed by administration, members of the general faculty serve on other advisory committees, including but not limited to: the University Budget Committee, the University Research Council, and the President's Associates Board. Moreover, the Faculty Senate may select the requisite faculty representative; in addition, administration may select a member of the faculty directly.
- B. Faculty Senate: The Faculty Senate has legislative jurisdiction over policies affecting the university's academic mission in regard to education, research, and service, including the definitions of purpose and objectives. The Faculty Senate is elected by the faculty at large. The Faculty Senate Constitution provides specifications relating to the Faculty Senate's composition, elections, terms of office, officers, committees, meetings, legislative processes, and methods to amend the constitution. See Appendix 1-D. Additional details about the operation of the Faculty Senate are contained in the Faculty Senate Bylaws. The chair of the Faculty Senate will have 50 percent assigned time for Faculty Senate work, based on the teaching load. The vice chair of the Faculty Senate will have 25 percent assigned time.
1. The Faculty Senate shall key its propositions that affect academic policy to the corresponding provision in the *NMSU Policy Manual* or other policy document(s).
  2. Propositions affecting academic policy approved by the Faculty Senate are subject to acceptance or veto by the university president.
    - a. If the president approves a proposition, it will be placed on the next agenda of the Board of Regents for consideration and approval.
    - b. If the university president does not accept or vetoes the proposition within 40 working days from the receipt, the proposition will be placed on the next agenda of the Board of Regents for consideration and approval.
    - c. If the university president vetoes a proposition, a two-thirds vote of the present and voting Faculty Senate may return the proposition to the university president and, if the president does not rescind the veto within five (5) working days, the proposition will be placed on the next agenda of the Board of Regents for consideration and approval.
  3. Faculty Senate legislation will become effective upon approval by the Board of Regents, or upon such other date as may be specified in the legislation or by the university president's provisional authority.

**1.05.80 NMSU Employee Council** fka Advisory Council on Administrative Policy (ACAP) (See also Appendix 1-E for Constitution and Bylaws)

- A. Recognition of Council and Purpose: The NMSU Employee Council exercises the following functions:
1. Investigates matters involving the policies and procedures of the administration.
  2. Makes recommendations based on such investigations to the president of the university.
  3. Establishes and maintains an organization of staff for providing communication between the staff and the administration and for providing communication among the several parts of the staff.
- B. Membership: Members of the NMSU Employee Council are elected from the full-time staff and represent various groups, *i.e.*, faculty and staff employees, both on and off main campus.

**1.05.85 Associated Students of New Mexico State University (“ASNMSU”)**

All main campus students are members of the Associated Students of New Mexico State University (“ASNMSU”). The ASNMSU government is divided into the executive, legislative, and judicial branches. Members of the legislative branch (student senate) are elected; the executive offices of president and vice president are elected; and members of the judicial branch are appointed by the president of ASNMSU. The dean of students and the Student Legal Aid Program attorney serve as advisors to ASNMSU. The vice president for student affairs and enrollment management, in cooperation with student leaders and other appropriate university officers, shall advise and administer university policy, regulations, and procedures established and necessary to achieve the goals and objectives of ASNMSU and the university. ASNMSU's constitution and law book outlines the organization and responsibilities of ASNMSU. University regulations establish procedures within which ASNMSU funds are expended and accounted for and activities are conducted. ASNMSU has supervision over budgeting and expenditure of all activity monies allocated to ASNMSU; the Publications and Communications Board; the Intramural Board; the Student Activities Committee and other such boards and committees which are created from time to time. All of ASNMSU's accounts are channeled through the ASNMSU Comptroller's Office under the supervision of the Office and Administration and Finance. All recognized student organizations, except for fraternities and sororities, must conduct their financial affairs through the Office of the ASNMSU Comptroller.

- A. Leadership Scholarships: [*Amendment adopted by Administrative Council 12.13.05; ratified by Board of Regents 12.08.06*]

Students who meet the criteria outlined below and who are either: (a) elected to ASNMSU student senate in a campus-wide, student body election, or (b) elected by their respective college councils and recommended to serve as a semester-long appointee to fill a vacant ASNMSU student senate position are eligible each semester to receive a financial award amounting to at least 75 percent of the dollar value of an academic semester in-state tuition and fees scholarship. This financial award is subject to the conditions and processes governing all financial aid awards administered by the Office of Financial Aid and Scholarship Services. As such, students may be awarded only one tuition scholarship in any given semester.

The criteria for the initial award of the Leadership Scholarship are:

1. Undergraduate students must have an overall grade point average of at least 3.0 and, in the semester previous to taking office, have successfully completed 12 or more grades credits with at least a 2.5 grade point average.
2. Graduate students must have an overall grade point average of at least a 3.5 and have, in the semester previous to taking office, successfully completed 9 or more grades credits with at least a 3.0 grade point average and must serve the entire semester as a senator.
3. Undergraduate students must be currently enrolled in at least 12 credits and graduate students in at least 9 credits. Both undergraduate and graduate students must serve the entire semester

as a senator to remain eligible for existing and future awards. Resignation, termination, or impeachment from the student senate prior to the completion of the semester voids any award made for that semester and holds the student liable for repayment of the amount awarded.

4. Renewal awards:
  - a. Undergraduate students must have an overall grade point average of at least 3.0 and must have successfully completed 12 credit hours the previous semester.
  - b. Graduate students must have an overall grade point average of at least 3.5 and must have successfully completed 9 credit hours the previous semester.

Policy exceptions for termination and repayment of an award include cooperative education programs, medical withdrawals from the university, death, or any situation approved as an exception by the Office of the Associate Vice Provost for Student Affairs and Community Colleges.

- B. ASNMSU - Students Club Endowment Policy: Establishes a policy for maintaining a Club Endowment and a separate Club Account.
  1. Purpose of Policy: The Club Endowment is established to provide stable funding for recognized organizations. The income earned from this endowment is to be allocated to recognized organizations to provide consistent funding for them regardless of the financial picture of the ASNMSU.
  2. Deposits: Beginning Fall 1991, \$1 for each full time student, and \$.50 for each part-time student shall be deposited in the Club Endowment each fall and spring semester.
  3. Endowment Management: The Club Endowment shall be a permanently treated endowed fund of the NMSU Foundation, Inc. The principal shall be invested and reinvested in a common investment trust fund for endowments in accordance with the investment policies of the Foundation. The principal shall remain permanently invested and cannot be withdrawn without board's approval. Income earned from the Club Endowment shall annually be transferred to the Club Account in the student account business office according to the policy of the NMSU Foundation.
  4. Withdrawals: The ASNMSU senate, by a simple majority, may withdraw funds from the Club Account for recognized organizations. This shall be done through the normal appropriations process.
  5. Transfers: The ASNMSU senate, by a 3/4 vote, may transfer money out of the Club Account to the Activity Surplus Account or the Major Expense Fund, providing the July 1 balance of the Club Account is a minimum of \$20,000. An amount no greater than the July 1 balance minus \$20,000 can be transferred. This shall be done through normal appropriation methods.

**1.05.90 NMSU BOARDS** *[New policy recommended by Administrative Council 12.14.10; approved by Board of Regents 01.31.11]*

Much of the work of the university is accomplished through committees or other bodies consisting of the diverse and dedicated members from the university and local community. This policy provides guidance relating to the creation, "lifespan", and cessation of these bodies that serve NMSU in advisory, investigatory, adjudicatory or other capacities. For purposes of this policy, the term "board" refers to any official body established to serve a university business purpose, whether it is referred to as a board, commission, committee, council, panel, task force, or other title. Because these boards are typically informal, advisory in nature, made up of volunteers or employees taking on duties in addition to their regular job duties, and not incorporated, they are not separate legal entities from the university.

- A. Types of NMSU Boards: Due to the great number of boards utilized for a variety of functions, they will be distinguished by whether or not they serve the entire university community or a part thereof.

1. University Board: A university board is a body formally established by university policy or by directive from the Board of Regents, university president, or executive vice president and provost.
  2. College and Departmental Boards: A college, departmental or administrative unit board is a body appointed by a community college president, dean, vice president, associate dean, division or department head or other executive or academic administrator, whose work furthers the interest of the college, department or administrative unit by providing collective work product, advice, and/or recommendations.
- B. Role in Policy Development: Any policy recommendations made by NMSU boards will be subject to the policy adoption protocol outlined in Chapter 1 of the *NMSU Policy Manual*.
- C. Formal Creation of Board: At the time any university board is created, the following shall be indicated:
1. The name of the board, and the authorizing body or official;
  2. The type of board and scope of work (i.e. whether standing or *ad hoc*, and whether the scope of the board's work will impact the NMSU System or only a particular campus);
  3. The purpose and authority of the board;
  4. The membership, including whether the members are appointed by position or by individual, any special selection procedures (i.e. election by another university constituency or selection by that constituency's chair), the term of each member's appointment, whether terms are staggered, whether there are any *ex-officio* (non-voting) or other continuous members, and whether the appointed member may utilize a designee who will vote on the member's behalf;
  5. How the board's chair is to be selected;
  6. Whether or not a particular office will provide administrative support to the board;
  7. Guidance relating to meetings, if appropriate.
  8. The date at which the board creation is effective

For university boards, this creation document shall be distributed to all members of the University Administrative Council.

D. Upkeep:

1. All university boards, which include neither those sub-committees of the Faculty Senate, Employee Council or other university boards, nor those corporate entities which may be affiliated with NMSU, shall be listed in the NMSU Official List of University Boards, maintained by the Office of the Chief of Staff. The Office of the Chief of Staff is responsible for ensuring processes are in place to update the listings to keep them current as of 30 September each year. See Official List of University Boards
2. All *ad hoc* university boards shall have a term of no longer than one year, and within that year shall be reviewed by the official(s) who established it, to determine whether or not the board's term should be extended. When it has been determined that the task for which the board was created has been completed or otherwise discontinued, the authorizing body or official shall direct the cessation of the board in writing to members of the University Administrative Council and reference to the board will be removed from the Official List of University Boards.
3. If there is any doubt regarding the status of any university board, and after consultation with the chair of the Board of Regents or key personnel (as appropriate), the university president or the executive vice president and provost (as appropriate) will provide direction to the Office of the Chief of Staff.

4. All standing university boards shall provide an annual report to the authorizing board or official no later than June 30 of each year, including the most current list of members.
5. All college, departmental and other administrative unit boards shall be maintained by the office of their respective appointing officials. The college, departmental and other administrative unit boards shall not be listed in the Official List of University Boards.
6. The chair of each university board is required to ensure that all positions are properly filled in accordance with the guidance provided at the time of board creation. Chairs are to notify the Office of the Chief of Staff immediately upon a position vacancy and assist in nominating names of appropriate individuals for consideration to the authorizing body or official.
7. The authorizing body or official is free to alter or change the nature, membership, role or responsibility of any university board at any time by notifying the University Administrative Council and current board members in writing.

**1.05.95 NMSU Community Colleges** (*See also* policy headings such as Promotion, Tenure, etc) [*Amendment recommended by Administrative Council 07.13.10; approved by Board of Regents 07.20.10*]

- A. Land Grant Mission: The special mission of the university as a land-grant institution established under the provisions of the Morrill Act is to provide a liberal and practical education for students and to sustain programs of research, extension education and public service. The provisions of the Branch Community College Act of the State of New Mexico (NMSA 1978 Sec. 21-14-1 *et seq*) enable institutions of higher education to establish branch community colleges at the request of communities to meet their educational needs. The university has a long history of success in serving the citizens of New Mexico through its community colleges. The benefits to students for access to quality education through the NMSU community colleges have been documented and recognized. The Board of Regents supports, endorses, and recognizes the reciprocal benefits of its relationship to its community colleges and recommends the continuity of this partnership as one which contributes significantly to the educational and economic development of the state of New Mexico.
  - B. Policy Statement: The NMSU Board of Regents pledges full cooperation in the further development of its community college programs to ensure that the higher educational needs of the several communities are fully met. Each of the community colleges will develop its own mission and purpose statement, which shall be brought forward periodically for review by the Board of Regents.
  - C. Administration of Community Colleges: Each community college is administered by a campus president under the cognizance of the NMSU president. Community college academic issues are administered by their respective campus president, with oversight by the executive vice president and provost. (*See also* Policy 5.06, Administrative Reviews).
1. Responsibilities of Community College Presidents: The community college campus presidents are responsible for providing leadership for their campuses in the following areas:
    - a. Educational Programs
    - b. Faculty and Staff Appointments
    - c. Student Services
    - d. Community Relations
    - e. Maintenance and Care of Physical Plant
    - f. Facility Planning (*See* Policy 9.50 Use of Facilities)
    - g. Assessment/Accreditation
    - h. Campus Budgeting (a shared responsibility with the main campus Office of Administration and Finance)
  2. Course Approvals: All new and revised community college courses are submitted for approval to the executive vice president and provost, who circulates the proposed changes to the appropriate Las Cruces campus colleges and committees.

3. **Program Approvals:** New designated associate degree programs proposed by the university's community colleges are submitted for approval to the executive vice president and provost, who prepares the proposal for review and approval by the appropriate Las Cruces campus college, the Associate Deans Academic Council, the Academic Deans Council, the Faculty Senate, and the Board of Regents.
  4. **Semester End Dates:** Whenever possible, the end of semester in the community colleges shall be coordinated with the end of the semester on the Las Cruces campus so that it is possible to report grades of students simultaneously.
  5. **Faculty Credentials:** (*See Policy 5.15.60, Appointments-Qualifications*)
  6. **Transfer of Students to NMSU Las Cruces Campus:** Community college students who meet the admission requirements may transfer to the Las Cruces campus at any point or at the completion of the freshman and sophomore years.
  7. **Use of Community College Facilities:** *See Policy 9.50, Use of Facilities*
- D. **Regents' Award for Outstanding Service to Its Community Colleges:** The Regents' Award for Outstanding Service to its community colleges is a means to honor distinguished citizens, within a community college district, who have made outstanding contributions to one or more of the university's community colleges. It shall be awarded on suitable occasions and with appropriate ceremonies. Documented nominations may come from any group or individual, which have been forwarded through the administration, including the appropriate community college campus president, for consideration for this honor by the Board of Regents. The award will be in the form of a plaque.

**1.05.96 Community College Faculty Council** [*Amendment recommended by Administrative Council 07.13.10; approved by Board of Regents 07.20.10*]

The purpose of the Community College Faculty Council is to provide a forum for communication among the faculties of the four NMSU community colleges and with the executive vice president and provost. Membership is comprised of nine faculty members: four faculty senators representing the community colleges, one additional faculty representative from each community college, and a chair elected at large from the four community colleges. The executive vice president and provost is an *ex officio* member of the Community College Faculty Council. The four faculty representatives may be college (full-time, regular), tenure-track, or tenured teaching faculty.

**1.10 Policy Development, Review and Approval** [*Amendment, consolidating and revising policy adoption protocol provisions, recommended by Administrative Council 07.13.10; approved by Board of Regents 07.20.10*][*Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents on 06.20.13*]

- A. **Purpose:** The purposes of this policy include: To clarify the university's policy development, vetting, deliberation and recommendation, and formal approval processes required for university policy applicable to students, employees and visitors throughout the NMSU system. Also, to grant authority to the identified Policy Administrator(s) to issue supplemental specific supplemental procedures or administrative directives, to aid with policy implementation. Lastly, to clarify that departmental operational policies and procedures are not subject to this policy.
- B. **Scope:** This policy, and any corresponding administrative directives which may be subsequently issued consistent with this policy, shall apply throughout the NMSU System.
- C. **Policy Administrator:** The executive vice president and provost, with the concurrence of the NMSU President, or respective designee, will administer this policy on behalf of the Board of Regents.
- D. **Definitions:**
  1. **Policy Action Proposal:** Any proposal to establish new, or modify an existing, university



policy. This does not include departmental operational policies required for employees to operate within their department, provided that only those employees within the department will be subject to them. *See* Section E. below.

2. **Representative Organization:** A representative organization, as used in this policy, is one of the organizations identified in Section E. 5. below that represents the interests of a university constituency in its interactions with policy proposers and deliberative advisory bodies. A representative organization reviews policy proposals, provides comment, and otherwise participates in the policy development process.
3. **Deliberative Advisory Body:** A deliberative advisory body, as used in this policy, is one of the two entities that interacts with the representative organizations and deliberates to provide a formal recommendation to the NMSU President, as chair of the University Executive Council. *See* Section E. 6. below.
4. **University Executive Council:** The University Executive Council consists of the executive management members of the university's administration, who report directly to the NMSU President.

E. General Principles:

1. ***NMSU Policy Manual:*** The *NMSU Policy Manual* contains policies and essential procedures which govern the various NMSU components and entities throughout the NMSU system. Policies from the following documents are incorporated into the *NMSU Policy Manual* by reference: *NMSU Undergraduate Catalog*; *NMSU Graduate Catalog*; *NMSU Student Handbook*; and the *NMSU Business Procedures Manual*.
2. **Policy Manual Distinct from Employment Contract:** Except for provisions which may be expressly incorporated by reference into an employment contract, the provisions contained in the *NMSU Policy Manual* do not create any type of contract, implied or otherwise, between the regents of NMSU and its employees. The provisions of the manual reflect the general operating policies and essential procedures of the university, are not all inclusive, and may be amended or revoked at any time by the university, in accordance with this policy.
3. **Authority for Departmental Operational Policies/Procedures:** Policies and procedures intended to provide guidance relating to internal departmental operations, rather than to regulate other departments, students, employees or members of the public throughout the university community, are not subject to the requirements of this policy or supplemental procedures that may be subsequently issued and posted by the Office of the Executive Vice President and Provost. Departmental operational policy and procedures may be issued by the department head, with approval from the appropriate dean, vice president or equivalent administrator.
4. **Authority for Policy Administrators to Issue Supplemental Procedural Guidelines:** With approval from the appropriate dean, vice president or equivalent administrator, the policy administrator for each NMSU policy may issue supplemental procedures, illustrative flowcharts or other diagrams/tables, and forms, consistent with the policy, in order to facilitate implementation and community education regarding the policy.
5. **Policy Action Proposal/ Commencement of Policy Development Process/Representative Organizations:** The policy development or revision process is commenced with a recommendation being made to the appropriate representative organization(s) from the list below, followed by dialog and interaction between the interested parties. *See* *NMSU Policy Change Data Flow Diagram*. The representative organizations include those listed below:
  - a. ASNMSU Senate (*represents all student interests*);
  - b. Associate Deans Academic Council, Faculty Senate Standing Committee, assigned per the Faculty Senate procedures, Community College Faculty Council, (*each may represent faculty/academic administrators' interests*)
  - c. Academic Deans' Council, or Community College Presidents' Council (*each may represent academic administrators' interests*)

- d. Employee Council (*represents non-bargaining unit staff interests*)
  - e. University Research Council (*represents faculty and staff research interests*)
6. Policy Action Proposal/Review by Deliberative Advisory Bodies: The Faculty Senate and the University Administrative Council are the two deliberative advisory bodies. (*See Also Policies [1.05.50 University Administrative Council](#) and [1.05.70 Shared Governance and the Role of the Faculty Senate](#)*). Policy action proposals shall be submitted to at least one of these bodies, and possibly to both, if so indicated by the NMSU President, in consultation with the University Executive Council.
  7. Policy Action Proposal/Early Guidance from the University Executive Council: It is recognized that the policy development and vetting processes may vary between policy action proposals, based on the nature of the proposed policy action, and the number of involved interested parties, representative organizations and deliberative bodies. *See [NMSU Policy Change Data Flow Diagram](#)*. The parties involved with developing or revising policy action proposals are encouraged to seek input and guidance from the University Executive Council as early in the process as possible relating to the concept being presented; which representative organizations should be involved; and which deliberative advisory bodies will be asked to provide a recommendation to the NMSU President once the policy action proposal has been finalized. For example, the standing committee assigned by the Faculty Senate's Committee on Committees may seek the guidance on a pending proposition, in order to coordinate presentations to each deliberative advisory body that will be asked for a recommendation by the NMSU President.
  8. Policy Action Proposal/Recommendation To NMSU President by Deliberative Advisory Bodies: The deliberative bodies shall follow their internal procedures to review, comment, revise and vote to make a recommendation to the NMSU President. If recommended for approval, the NMSU President, in consultation with the University Executive Council, will provide direction relating to finalization, any additional deliberation deemed necessary at the discretion of the NMSU President, and formal consideration and action by the Board of Regents. *See [NMSU Policy Change Data Flow Diagram](#)*.
  9. Policy Action Proposal/ Formal Approval: After recommendations from the appropriate deliberative body or bodies, and with the approval of the NMSU President, the matter shall be placed on the Board of Regents' agenda for consideration and action.
  10. Policy Action Proposal/Effective Date and Provisional Authority of NMSU President: A policy approved by the Board of Regents will become effective on the date of approval, or on such other date as reflected in the policy action proposal. An exception to this general rule is that on occasion, provisional modification of a policy may be implemented to ensure effective operation of the university. The president of the university is hereby given the authority to modify current policy and to implement the modification, provided that it is presented to the board at its next regular meeting, or until such meeting as the board is able to consider it.
  11. Policy Action Proposal/Role of Office of General Counsel: Any interested party, representative organization, deliberative advisory body or other official may consult with the Office of General Counsel regarding policy action proposals. The Office of General Counsel may provide comment at any stage in the policy development, review and comment, and formal approval processes. The Office of General Counsel or other office, as may be designated by the Office of the President, will track the proposed policy action item through the formal approval process, as well as maintain the NMSU Policy Manual. As policies are revised throughout the year, they will be incorporated into the *NMSU Policy Manual*. The *NMSU Policy Manual* may be viewed or downloaded from the university's home page website at [www.nmsu.edu](http://www.nmsu.edu). A summary list of the policy revisions and their approval histories will also be posted on line each year. A copy of the *NMSU Policy Manual* and the annual revisions summary list will also be filed at Zuhl library.
- F. Procedures: For applicable procedural guidelines and other administrative guidance, *See [Office of the Executive Vice President and Provost](#)*

**1.14 Succession Planning** *(See Also Chapter 4, General HR Policies) (New policy approved by Board of Regents 12.13.13)*

The Regents of NMSU recognize that one of the university's greatest assets is its employees. To enhance the strength and the continued growth of the institution, the Board of Regents seeks to continuously hire, develop, and retain highly talented individuals, as well as to provide mechanisms which will further enhance their talents, maximize their value to the institution, and maintain a culture of advancement, in alignment with the strategic goals of the institution. Whether selected and identified by management or by self-nomination, incumbent employees shall be provided the encouragement to aspire to advance into leadership positions in multiple roles in leading NMSU. By maintaining an environment of motivation and engaging service, NMSU will continue its extensive history of successes.

**1.15 Non-Academic Units - Creating, Reorganizing, Relocating, Eliminating** *(See Policy 6.05 for Academic Units - Creating, Reorganizing, Relocating, Etc.)*

For the purpose of this policy, a non-academic unit is defined as a unit that is **not** within a college, an undergraduate major, a graduate degree program or the library, whether these units are located on any NMSU campus. Any proposal to create, reorganize, relocate and/or eliminate a non-academic unit must be submitted for review and approval through the appropriate vice president, vice provost or dean and the executive vice president and provost (refer to chart of approval process, [Appendix 5-B](#)).

If a change results in a structural change to the organizational hierarchy, the change will be effective January 1 or July 1 following the approval. Structural changes are defined as changes that affect the hierarchical organizational and reporting structure. Changes to organizational attributes may be processed at any time throughout the year. These changes are defined as: department long title, acronym, mail stop code, PO Box number, street address, city, state, zip code, building name (*See Policy 2.50 Naming Policies*), room number, telephone number, fax number and departmental e-mail address.

Procedure: After the appropriate administrative approvals are obtained, the requesting department head/director must submit an Organization Request Form to the Office of Human Resource Services for processing. The form must be submitted with all relevant documentation attached no later than November 30 (for January 1 effective date) and May 31 (for July 1 effective date).

**1.20 Gender Equity Policy and Statement of Principles** *[Policy adopted by Administrative Council 06.10.07; ratified by Board of Regents 10.22.07] See Also Policies 3.25 Discrimination, Harassment and Sexual Misconduct on Campus,*

New Mexico State University (“NMSU”) is committed to promoting and improving gender equity by adjusting its policies and implementing concrete actions designed to improve gender equity throughout the university community. To this end, NMSU adheres to the following principles:

*NMSU affirms the sex and gender equality of all individuals in the NMSU community. Gender Equality among faculty, students, staff and associated workers is a source of human excellence, cultural enrichment and social strength. NMSU recognizes that a harmonious climate in relation to gender is essential to the academic, professional and personal development of its members.*

*NMSU acknowledges its ongoing responsibility to develop and support a responsive and open environment that is gender inclusive; to promote anti-sexism; and to create a study, work and living environment that is free of discrimination and harassment on the basis of sex, gender or gender identity.*

*NMSU is committed to the objective of ensuring sex and gender equity in the NMSU community. NMSU is committed to improving the status of women at NMSU to achieve sex and gender equity.*

*NMSU acknowledges its ongoing responsibility to develop and support a university community whose diversity reflects the students it educates; to support equity and full*

*participation by women in the issues such as compensation and distribution of resources; and to support a work environment in which individuals with family responsibilities are not disadvantaged.*

## Chapter 2

### General Operating Policies

- 2.03 Art, Archives and Other Cultural Collections
- 2.05 NMSU Athletics
  - 2.05.05 Athletic Programs Offered at NMSU
  - 2.05.10 Gender Equity and Title IX Compliance
  - 2.05.15 The Athletics Council
  - 2.05.20 NCAA and Conference Participation and Compliance
  - 2.05.25 Faculty Athletics Representative
  - 2.05.30 Ticket Sales
  - 2.05.35 Fund Raising for NMSU Athletics
  - 2.05.40 Media Relations Relating to NMSU Athletics
- 2.10 Auditors, External
- 2.11 Auditors, Internal - Office of Audit Services
- 2.15 College Budget Committee
- 2.20 Distribution Lists (ABCD) for Printed/Electronic Material
- 2.25 Emergency Preparedness and Response
- 2.30 Fire Safety, Prevention and Emergency Services
- 2.35 General NMSU Information and Communications Technology Policies
  - 2.35.1.1 General Policies**
    - 2.35.1.1.1 Acceptable Use
    - 2.35.1.1.2 Computer Accounts
    - 2.35.1.1.3 NMSU Account Purge
    - 2.35.1.1.4 Distribution of Information to NMSU Employees and Students
    - 2.35.1.1.5 NMSU Official Email Address
    - 2.35.1.1.6 NMSU Office Software Standards
    - 2.35.1.1.7 Employee Access to Data and Potential Conflict of Interest
    - 2.35.1.1.8 Emergency Notification
    - 2.35.1.1.9 Telephone Equipment Use
  - 2.35.1.2 Security Policies**
    - 2.35.1.2.1 NMSU Password Maintenance
    - 2.35.1.2.2 Computer Virus Scan Software
    - 2.35.1.2.3 NMSU Institutional Data Security
    - 2.35.1.2.4 NMSU Server Administration and Operation
    - 2.35.1.2.5 Computer Operating System Critical Updates
  - 2.35.1.3 ICT Administration**
    - 2.35.1.3.1 Acquisition of Software Systems
    - 2.35.1.3.2 NMSU Records Access
    - 2.35.1.3.3 Caller ID
    - 2.35.1.3.4 Mobile Communication Device Usage
    - 2.35.1.3.5 High Speed Data Connectivity in Employee's Home
    - 2.35.1.3.6 Bandwidth Management
    - 2.35.1.3.7 Network Connection
    - 2.35.1.3.8 NMSU Wireless Network
    - 2.35.1.3.9 Alarm Systems
- 2.36 Payment Card Industry Data Security

- 2.37 Investments
- 2.40 Legal Services
- 2.45 Lobbying
- 2.50 Naming University Property and Academic Units
- 2.53 Police (University)
- 2.56 Purchasing
  - 2.56.05 Professional Services Contract
  - 2.56.10 Procurement of Professional Design Services
- 2.57 Reserves
- 2.60 Environmental Health and Safety
  - 2.60.10 Safety and Health - Environmental Health and Safety Office
- 2.64 Security Cameras on University Premises
- 2.65 Social Security Numbers, Use of
- 2.68 New Mexico State University Technology Transfer Corporation, Inc. (Arrowhead Center, Inc)
- 2.69 Travel
  - 2.69.1 International Travel, Generally
  - 2.62.2 International Travel in Countries Subject to U.S. Travel Warnings
- 2.70 United Way
- 2.75 University Advancement - Gift Income, NMSU Endowments, NMSU Foundation, Inc.
- 2.80 University Communications and Marketing Services
- 2.85 University Logo
- 2.90 University Records
  - 2.90.10 Records Integrity and Retention
  - 2.90.20 Student Educational Records - Compliance with FERPA
  - 2.90.30 Protection of Non Public, Personal Information
  - 2.90.40 Inspection of Public University Records
- 2.91 Identity Theft Protection Program
- 2.92 University Research Park
- 2.94 Weather, Inclement (Closings)
- 2.95 Parking and Traffic Regulations
  - 2.95.1 Statutory Grant of Authority
  - 2.95.2 Delegation of Board's Authority
  - 2.95.3 Jurisdiction/Scope of Application
  - 2.95.4 General Guidelines
  - 2.95.5 NMSU Permit or Placard Issuance Requirements
  - 2.95.6 Parking Fees

- 2.95.7 Requirements for Display of Permit
- 2.95.8 Parking Requirements
- 2.95.9 Vehicle Operation Requirements
- 2.95.10 Establishment of Controlled Access Areas for Motorized Vehicles
- 2.95.11 Establishment of Utility Cart Safety Program
- 2.95.12 Fraudulent Practices Prohibited
- 2.95.13 Methods for Enforcement of Parking and Vehicle Operation Regulations
- 2.95.14 Booting and/or Towing of Vehicles
- 2.95.15 Citations: Fines and Fees; Citation Appeal Process

## CHAPTER 2- GENERAL OPERATING POLICIES

### 2.03 **Art, Archives and Other Cultural Collections** *[Amendments to Policies 2.03 and 2.04, merging and substantively revising the two (repealing 2.04), were recommended by Administrative Council 03.09.11; approved by Board of Regents 03.14.11]*

- A. Purpose: To ensure the proper acquisition, inventory, professional care and use of the university's art, archives and other cultural collections.
- B. Scope of Application: This policy applies throughout the NMSU System; it addresses all art owned by NMSU, including art acquired to become part of the university's permanent art collection (i.e. those works of art in the custody or control of the Art Gallery), art acquired via the Art in Public Places Act, art donated to or acquired by any NMSU entity.
- C. Policy Administrator: This policy is administered by those officials with continuous position appointments to the Art Gallery Acquisitions Committee and the University Cultural Collections Committee, the University Museum, University Archives, as well as by appropriate state personnel and committees formed pursuant to the New Mexico Art in Public Places Act.
- D. General Guidelines:
  1. **Art Belonging to NMSU**: Works of art for museums or for display in public buildings or places are distinct from other types of personal property owned by the NMSU Board of Regents. The acquisition of art is exempt from the New Mexico Procurement Code, but is subject to other state requirements and other university requirements relating to gifts in kind. For the purpose of this policy, "art acquisition" includes the receipt of artwork through any means, including purchases using publicly appropriated or privately donated funds, commission, gift, trade, transfer, exchange, or bequest. The Art Gallery coordinates the management of all university owned art. It is the Art Gallery's charge to exhibit, maintain, and preserve the university's art consistent with current professional standards. The Director of the Art Gallery serves as the curator of the NMSU System art collections.
  2. **Mission of the Art Gallery**: Through the exhibition, research, and interpretation of original works of art, the Art Gallery supports the University's pedagogical goals and endeavors to educate its audience and raise its awareness to the diverse and valuable experience available in the visual arts.
  3. **Art Committees**: The following committees are hereby recognized:
    - a. The Art Gallery Acquisitions Committee, a standing committee charged with identifying and recommending acquisition of artwork for the NMSU permanent collection, as well as making recommendations for the conservation and presentation of art in the cultural collections owned by the university. The Art Gallery Acquisitions Committee is the committee granted the authority to approve expenditures from the NMSU Permanent Art Collections Account, in collaboration with other members of the university community and in accordance with the provisions outlined herein. *See* subsection E. below.
    - b. The University Cultural Collections Committee, a standing committee charged with approving the acquisition of art and other cultural collections available or offered to NMSU, and with decisions relating to the conservation and presentation of art and other objects in the cultural collections owned by the university.
  4. **NMSU Archives and Special Collections**: NMSU Archives (Hobson-Huntsinger University Archives) selects, preserves, houses, and makes accessible all records of enduring value created by administrators, faculty, students and alumni of New Mexico State University. Through its programs the University Archives seeks to illuminate the history, evolution, and societal role of the institution.
    - a. **Political Papers Archives**: Political paper archives consist of the congressional, selected gubernatorial and personal papers of senators and members of both the state and U.S. House of Representatives and U.S. Senate from New Mexico serving from 1916-present,



- highlighting their political careers at the local, state, national, and international levels.
- b. **Reprographics/Digital Duplication:** This division responds to internal and external reproduction requests, as well as coordinates regarding conservation and cataloguing photographic materials and audio and video recordings that are added to the collections.
  - c. **Rio Grande Historical Collections (RGHC):** The RGHC division acquires, preserves, and makes available for research records of organizations, personal papers, and other unpublished materials which document the cultural heritage and history of New Mexico and the Spanish Borderlands.
  - d. **Special Collections:** The Special Collections division houses published research materials including books, periodicals, maps and newspapers. The most heavily used of these materials relate to the history, culture, peoples, and resources of New Mexico; the broader Southwest and the Borderlands; and materials supporting specialized university programs.
- E. **Art Acquisition:** This subsection does not address the acquisition of art for capital improvement projects, which is governed by state law. *See* subsection I. below.
1. **Funding:** The university shall set aside a sum each year in the NMSU Permanent Art Collections Account, an amount equivalent to \$1 for each student enrolled full time each academic year, for the restricted use of funding the acquisition, conservation and presentation of works of art. The Art Gallery Acquisitions Committee is the entity authorized to approve expenditures from this account.
  2. **Criteria:** All works of art proposed for acquisition, conservation or presentation for the benefit of the university may be evaluated by the Director of the Art Gallery, the Department Head for the Department of Art, or any other interested individual member of either the Art Gallery Acquisitions Committee or the University Cultural Collections Committee. All recommendations shall be considered by the University Cultural Collections Committee, which shall make the final decision on behalf of the university, based on the following criteria:
    - a. **Quality, Condition and Aesthetic and Academic Value:** The quality and condition of the object, aesthetic value and appropriateness to the academic environment and the department to which it is donated. The object under consideration should be relevant to an existing collection or should be capable of forming the nucleus for a new collection. The value of the object for scholarly use within an established collection on campus should be considered.
    - b. **Care and Maintenance Requirements:** The university is committed to properly care for and maintain the objects in its cultural collections in accordance with acceptable professional standards. The director of the Art Gallery, a representative of the Art Gallery Acquisitions Committee (other than the director of the Art Gallery), and the chair of the University Cultural Collections Committee are also charged with bringing issues such meeting professional standards for adequate storage, protection, and preservation to the attention of the two committees for resolution.
    - c. **Security and Logistical Concerns:** The security and appropriateness of the location for installation of the object. Considerations for protection of the object through security systems and insurance restrictions should also be considered.
    - d. **Purpose for Acquisition:** The intention is that an object shall remain in the collection so long as it retains its authenticity, pertinence to the collection, and physical integrity. Short range acquisition for the purpose of later sale, as well as speculative acquisition for short-range sales should be discouraged and then only entered into with the express approval of the Art Gallery Acquisitions Committee and the University Cultural Collections Committee.
    - e. **Legality:** NMSU will operate with due diligence in researching the background of any art objects to be acquired in order to assure compliance with applicable state and federal laws.
  3. **Decision making Authority:** The responsibility to search for accessions is shared between the director of the Art Gallery, the Art Gallery Acquisitions Committee and the University Cultural Collections Committee. University officials, faculty, staff and other support groups of the Art Gallery shall not obligate the university to any acquisition; prospective donors or

sellers should be advised that all objects proposed for acquisition by the university are subject to review and recommendation from the director of the Art Gallery and the Art Gallery Acquisitions Committee, and approval from the University Cultural Collections Committee, subject to this policy and other gift acquisition protocols which may apply.

4. Valuation of Gift Art: NMSU officials, faculty, staff or other agents shall not participate in the appraisal of gifts of art, archival material or other special collectible offered to the university for the purpose of establishing the tax deductible value.
5. Acquisition by Gift or Bequest:
  - a. Donor Restrictions: The university prefers to receive gifts free of restrictions that might affect the university's ability to utilize the gift in the most efficacious manner on behalf of the students and the NMSU community. There can be no commitment to permanent display, nor can the university commit to retain ownership in perpetuity. Every effort should be made to limit restrictions to a reasonable period, after which they will expire. Any restriction shall be documented and maintained with the records pertaining to the gift and kept on file at the Art Gallery.
  - b. Gift Agreement: The gift of objects or works of art needs to be formalized in a deed of gift agreement which includes statement of transfer of legal title and where applicable, copyright and literary rights and signature of the donor. The deed of gift or a copy of the deed of gift should be kept on file at the Art Gallery. Documentation should include:
    - i. Name and address of donor and intermediary, if any;
    - ii. Description of the object in sufficient detail to enable easy identification and a photograph;
    - iii. Date of acquisition by the donor and method of acquisition;
    - iv. The original cost or appraisal of the object at the time of original acquisition;
    - v. Any records, receipts or other documents that provide proof of ownership;
    - vi. Date of donation to the university and date of acknowledgment;
    - vii. A history of the object and any information that may have bearing in its authenticity or enhance its educational value;
    - viii. A current appraisal by an independent qualified appraiser;
    - ix. Factors used to arrive at the current value;
    - x. De-accession of the object, if not retained by the university; and
    - xi. Any restrictions or conditions placed on the gift by the donor and the expiration date of the conditions.
6. Acquisition by Purchase: The purchase of a work of art for the university, either through commission or purchase, will be formalized by a written contract for commission or bill of sale. Proposals will be reviewed by the director of the Art Gallery, the Art Gallery Acquisitions Committee and the University Cultural Collections Committee. Contracts will follow the template created by these committees, if any, in consultation with the university's general counsel.
7. Acquisition by Incoming Short Term Loan: Under ordinary circumstances, the university does not accept deposits of objects or works of art unless there is reason to believe that the deposit will be changed to a permanent gift to the university or that it is unlikely that the object of value will be preserved in any other way. The university will provide professional care for art objects received on loan, but will not assume responsibility for any loss or injury to the deposit which may occur. Should an object be received for long-term loan, the specific period of the loan shall be defined in a written loan agreement at the outset. Loan agreements shall follow the template created by the Art Gallery Acquisitions Committee and the University Cultural Collections Committee, if any, in consultation with the university's general counsel.
8. The following documentation will be maintained for all incoming loans: copies of all loan forms; incoming and outgoing condition reports, to include any special requirement for the object; all records of transport; any records that pertain to the work with regard to value and insurance.

F. Art Inventory, Custody and Conservation:

1. **Designation of Art Custodian and Duties:** Any NMSU entity physically in possession of a work of art shall assign a specific person to serve as custodian of the art and liaison to the director of the Art Gallery. At least once annually, as directed by the director of the Art Gallery, the designated unit art custodian shall annually verify the object is secured in accordance with standards for insurance against risk of loss, and document its physical condition and location. The art custodian shall send the results of this art inventory to the director of the Art Gallery.
2. **Art Conservation:** All proposals for necessary restoration and repair to works of art shall be presented to the Art Gallery Acquisitions Committee and the University Cultural Collections Committee for consideration. Professional conservators should be consulted when feasible. If restoration work is needed, requests for funding should be submitted through normal administrative channels. University administration is responsible for the cost of conservation of university art. Should conservation be unfeasible and the poor condition of a work of art impugn the integrity of the piece, the work should be removed from view, or in the case of murals, be appropriately covered, upon consultation with the Art Gallery Acquisitions Committee and the University Cultural Collections Committee.

G. Outgoing (Short Term) Loans from the University's Permanent Art Collection:

1. **Short Term Loans to Other Public Institutions:** In keeping with its traditional support of scholarly and educational exhibitions, the Art Gallery may loan NMSU works of art to qualified educational and exhibiting institutions for up to one year. Prior to lending, the following conditions must be met:
  - a. The object to be loaned must be able to survive, intact, the rigors that will be imposed by transportation and handling.
  - b. The borrowing institution shall have proper environmental controls, qualified handlers, and adequate security for the protection of the object. Facilities reports will be required.
  - c. The director of the art gallery shall ascertain that there will be no immediate need for the work within the NMSU community.
  - d. The borrowing institution will provide wall to wall insurance; a certificate of insurance will be required.
2. **Long-Term Loans from Collection to Other Public Institutions:** Loans to institutions for extended tours, exceeding 1 year, may be made at the discretion of the art gallery director, on the condition that all institutions involved in the tour meet the above qualifications for loan. Long-term loans from the permanent collection may be made from time to time to other institutions at the discretion of the art gallery director. Objects selected for such loan should not be of primary importance to the NMSU art collection, nor be of substantial value.
3. **Record of Outgoing Loans:** For all short and long term outgoing loans, the following records will be maintained: copies of all loan forms; incoming and outgoing condition reports, to include any special requirement for the object; all records of transport; any records that pertain to the work with regard to value and insurance.

H. De-accession: A de-accession is the removal of an object from the university's art collection with legal transfer of title or other appropriate action. The following de-accession process applies in the event any university department wishes to dispose of a university owned work of art.

1. **Requests for De-accession:** The director of the Art Gallery shall present a written request for de-accession to the Art Gallery Acquisitions Committee and the University Cultural Collections Committee. The request should include a justification and a proposed destination for the work of art. Written outside appraisals will be sought for any object of significant value that is being considered for de-accession. The Art Gallery Acquisitions Committee and the University Cultural Collections Committee shall make its recommendation(s) to the NMSU Board of Regents. An object should not be de-accessioned on the grounds of taste, current or otherwise. The Art Gallery Acquisitions Committee and the University Cultural Collections Committee should discourage the sale of objects without clear justification and

deter the sale of objects for revenue.

- a. **Reservation for Distinct Special Collection:** If the director of the university museum, or the library's archives and special collections department head desire the object for a collection, the Art Gallery Acquisitions Committee and the University Cultural Collections Committee should release the object for approval by the acquisitions committee of the established collection. If the object is not desired for an established collection, the de-accession process shall continue.
  - b. **Current Restrictions on Gift of Art:** Objects with mandatory donor restrictions may not be de-accessioned prior to expiration of any time limitation or until permitted by a court of competent jurisdiction. If it is practical and reasonable to do so considering the value, the Art Gallery should notify the donor if it intends to dispose of such objects within 10 years or the donor's lifetime, whichever is shorter. If there is any question as to the intent or force of the restrictions, the Art Gallery will seek advice from the university's general counsel.
  - c. **De-accession of Objects:** The manner of de-accession chosen will be in the best interest of the Art Gallery and its collection. Any profit from the de-accession will be applied to acquisitions and/or art conservation. Consideration may be given to placing the object through gift, exchange, or sale with another tax-exempt public institution. If the object is to be sold to a non-public entity, a public auction or other publicly noticed sale should be conducted. Staff and officials of the university are ineligible to purchase or otherwise acquire NMSU works of art. If any profit is accrued through the sale of an object, it shall be deposited into the NMSU Permanent Art Collections Account.
  - d. **Respect to Artist:** The de-accession of works will be accomplished in such a manner that it will not impugn the reputation of the artist or the artist's body of work. Should the de-accession of works by living artists be required, the feelings of the artist should be respected and whenever possible, the artist should be consulted regarding the de-accession of the work of art.
  - e. **Documentation of De-accessioned Objects:** Full record of all exchanges and sales will be maintained. Records of the Art Gallery shall document the de-accession process and the final destination of the object.
2. **Museum Items:** In the absence of a specific de-accession procedure for items in the University Museum, the above art de-accession procedure shall apply. The Dean of the College of Arts and Sciences is authorized to promulgate a policy for the de-accession of museum items.

I. Art Acquisition for Capital Projects:

1. New Mexico law, at NMSA 1978, § 13-4A-1 *et seq*, known as the Art in Public Places Act, requires one percent of the amount appropriated for new construction or major renovation or \$200,000, whichever is less, to be allocated for the acquisition and installation of works of art. New Mexico Arts, a division of the New Mexico Office of Cultural Affairs administers such acquisitions. Expenditures for works of art are required by law to be contracted for separately from all other items in the new construction of the public building.
2. The state's guidelines include the involvement of a Local Selection Committee, consisting of members reflecting the cultural diversity of the community and with an interest in the project. The membership typically includes a representative from the users of the building, the owner representative or designee, an architect, an arts professional or community art representative, an artist not competing for the project, and up to two community or student representatives or a member of the Board of Regents.
3. The university architect, the director of the Art Gallery, and the head of the Department of Art shall serve on all Local Selection Committees as position appointments, as long as permitted by applicable state regulations. The Local Selection Committee is responsible for selection of art for the identified public building, using the public selection process and adhering to the procedures developed by the New Mexico Arts division. Those procedures may be viewed at NMAC 4.12.11.2 through 11.16.

- J. Additions to the University's Archives: This subsection establishes a set of standard guidelines by which records proposed for addition to the NMSU archives collection will be appraised during the acquisition process.
1. Ownership and Disposal Authority: The records of the official activities of the units and staff of NMSU are the property of the institution. Their de-accession is controlled by the NMSU Board of Regents or subject to state and federal law. Proposals to dispose of records should be reviewed by and receive the concurrence of the Department Head for Archives and Special Collections.
  2. Appraisal Guidelines: *See NMSU Archives Appraisal Guidelines for records.* NMSU Library: Policies and Procedures - Policy #012
  3. Authority to Accept: The NMSU Board of Regents has delegated authority to the Archives and Special Collections Department, with the approval of the dean of the University Library, to accept on behalf of the university, collections of documents of 100 cubic feet or less. Other larger collections may only be accepted by the university president or the executive vice president and provost in accordance with other applicable NMSU gift acceptance policies. Such larger collections shall be reported to the Board of Regents.

**2.05 NMSU Athletics** *[Amendments to Policy 2.05, substantively revising all subsections were recommended by Administrative Council 03.09.11; approved by Board of Regents 03.14.11]*

- A. Mission Statement: To support the vision of NMSU by providing an inter-collegiate athletics program of local and national acclaim in an equitable diverse environment that supports student-athlete excellence in academics and athletics, and that engages the university community and stakeholders is achieving and celebrating Aggies' success. To support this mission, the Department of Athletics will strive:
1. To graduate every student-athlete at NMSU;
  2. To provide an athletics environment that is conducive to academic success;
  3. To seek to educate each student-athlete not only in how to earn a living, but also in how to live a meaningful life;
  4. To provide the people of New Mexico competitive athletics programs with student-athletes who reflect the State's multi-cultural heritage;
  5. To maintain a diverse coaching and support staff of men and women who represent the best in instruction and who possess the ability to motivate and inspire the student-athletes to maximize the student-athlete experience in a positive way;
  6. To provide the student-athlete with the finest athletics facilities and equipment available within the financial means of the department;
  7. To adhere to the letter and spirit of the rules and regulations set forth by the National Collegiate Athletic Association (NCAA) and the Conference in which it is a member;
  8. To act as a rallying point for students, faculty, staff, and alumni, generating enthusiasm and the "college spirit" for a positive bonding effect;
  9. To be an integral part of the university environment, structure, goals, and objectives.

**2.05.05 Athletic Programs Offered at NMSU**

NMSU offers various athletic programs reflecting the interests of the university. Upon the recommendation of the director of athletics, the Board of Regents may add or delete athletic programs. The following are the varsity athletic programs offered at NMSU:

- Baseball
- Men's Basketball
- Women's Basketball
- Men's Cross Country
- Women's Cross Country
- Women's Equestrian
- Football
- Men's Golf
- Women's Golf
- Softball
- Women's Swimming and Diving
- Men's Tennis
- Women's Tennis
- Women's Indoor Track & Field
- Women's Outdoor Track & Field
- Volleyball
- Women's Soccer

### **2.05.10 Gender Equity and Title IX Compliance**

NMSU and the Department of Athletics are committed to gender equity in its intercollegiate athletics program. As an institutional commitment, the maintenance of gender equity requires broad based participation from various campus constituencies.

The Department of Athletics maintains a Gender Equity Plan that provides gender equitable opportunities for participation for both men's and women's sport programs. Specific goals identified to comply with Title IX provide equitable opportunities for all participants, as well as create a positive atmosphere for intercollegiate athletes. Specific areas addressed in the plan are: athletic scholarships, accommodation of interests and abilities, equipment and supplies, scheduling of games and practice time, travel and per diem, allowance, tutors, coaches, locker rooms, practice and competitive facilities, medical and training facilities and services and recruitment of student-athletes.

The gender equity subcommittee of the Athletics Council reviews the initiatives and progress made in the pursuit of the implementation of the Gender Equity Plan.

### **2.05.15 The Athletics Council**

- A. Creation and Purpose: The Athletics Council was created to serve in an advisory capacity to the university president, the faculty athletics representative, and to the director of athletics.
- B. Composition and Appointment: The Athletics Council is composed of eleven voting members and three or more position appointments who shall serve on the Council as *ex officio*, non-voting members:
  1. Six elected faculty members, one from each undergraduate college at NMSU-Las Cruces, and not to serve more than two consecutive three-year terms;
  2. Two students from ASNMSU, not to serve more than two consecutive one-year terms;
  3. One staff member from the Employee Council; not to serve more than two consecutive two-year terms;
  4. One faculty representative to the NCAA and the Conference selected by the university president, after nomination by the Faculty Senate's standing Committee on Committees; and
  5. One Faculty Senate representative, not to serve more than two three-year terms.
  6. Director of Athletics. (*ex officio*)

7. Senior Woman Administrator. (*ex officio*)
- C. **Purpose:** At the discretion of the university president, the Athletics Council shall perform the following functions:
1. The Athletics Council shall provide advisory guidance relative to the rules, regulations and administration of intercollegiate athletics;
  2. The Athletics Council shall formulate and present to the Faculty Senate for its consideration recommendations regarding policies and programs, keeping in mind that the primary purpose of the athletic program is to further the educational goals of the university and to serve the students both as participants and spectators;
  3. The Athletics Council shall submit an annual report of its activities to the Faculty Senate; and
  4. The gender equity subcommittee of the Athletics Council shall be responsible for coordinating efforts to review the athletics department initiatives of gender equity. The committee will include an appointed chair, and two additional members. The subcommittee will work with athletics administration for the purpose of reviewing progress made in the pursuit of the implementation of the Gender Equity Plan. An annual report will be presented by the Faculty Athletics Council to the president and director of athletics.

### **2.05.20 NCAA and Conference Participation and Compliance**

- A. **NCAA and Conference Requirements:** NMSU is committed to compliance with NCAA rules and regulations, to institutional control for the conduct of its athletic programs, and to monitor and guide all individuals and organizations that promote the athletic interests of NMSU. It is the responsibility of each employee interacting with the Department of Athletics, coach, and/or student-athlete to be aware of and follow these regulations and to report any possible NCAA or Conference infractions to the director of athletics and/or the Office of Athletics Compliance and Eligibility. Any questions should be brought to the attention of the Office of Athletics Compliance and Eligibility, director of athletics, or senior woman administrator. Violations of NCAA or Conference rules and regulations in any way will not be tolerated.
- B. **Authorized Liaisons for NCAA and Conference Compliance:** Although numerous persons may be involved in maintaining and assuring compliance with NCAA and Conference rules, the Office of Athletics Compliance and Eligibility administers all NCAA, Conference, and NMSU rules and regulations. In order to streamline the compliance function and avoid duplication of effort, certain NMSU officials and representatives have been designated to serve as liaisons to the NCAA or the Conference. They are authorized to contact these associations for interpretation or clarification of the applicable rules and regulations. The authorized NMSU representatives include the Office of Athletics Compliance and Eligibility, the director of athletics, the faculty athletics representative, and the senior woman administrator. Coaches or other administrators who support compliance activities do not have authorization to make such calls to the NCAA or to the Conference Office.

### **2.05.25 Faculty Athletics Representative**

- A. **Qualifications:** The faculty athletics representative shall be a member of the institution's faculty or an administrator who holds faculty rank. The faculty athletics representative shall not hold an administrative nor coaching position in the Department of Athletics.
- B. **Appointment:** The faculty athletics representative is appointed by the university president for an unspecified term, and shall report directly to the university president.
- C. **Duties:** The responsibilities of the faculty athletics representative are guided by the *NCAA Faculty Athletics Representative Handbook*, and may be tailored by NMSU, provided any such amendment is documented as part of the Department of Athletics' operations manual. The faculty athletics representative duties at NMSU include but are not limited to:
1. To serve as advisor to the university president and the director of athletics on all matters

related to intercollegiate athletics.

2. To serve as the institutional representative to the NCAA and Conference.
3. To serve as liaison between faculty, administration, and the Department of Athletics regarding rules interpretation, compliance, and policy.
4. To serve as a member of the Athletics Council.
5. To make inquiries of the NCAA or Conference staff regarding interpretation of association and Conference rules.
6. To certify the NCAA and Conference eligibility status of each student-athlete.
7. To assist student-athletes in Conference-level hardship petitions.
8. To represent the university on compliance issues before appropriate NCAA and Conference committees
9. To serve on any required committee to investigate alleged and real violations and assist in recommending corrective action.
10. To provide oversight for the NCAA Coaches Certification testing program.

**2.05.30 Ticket Sales** *[Amendment recommended by Administrative Council 10.09.12; approved by Board of Regents 10.15.12]*

- A. Season Tickets Reduced Rate for Faculty, Staff and Retirees: The Department of Athletics provides football and basketball season tickets, in reserved sections, at a reduced rate to faculty, staff and retirees. Each employee is eligible to purchase a maximum of six football and four men's basketball season tickets at the reduced rate. The same privileges afforded to university employees shall be extended to official university retirees and their surviving spouses or domestic partners. All employee and retiree tickets are for the use of the employee and retiree and their family, and shall not be transferred. Tickets are issued on a season by season basis. Both employee and retiree tickets are subject to taxation, as well as required donation levels.
- B. Season Tickets for University President: The Board of Regents hereby authorizes the annual purchase of 30 football tickets and 30 basketball tickets for use by the Office of the University President, for friends and supporters of the university.
- C. Post-Season Tournament Tickets:
  1. Distribution of Post-Season Tournament Tickets: Post-season tournament tickets shall be distributed as follows:
    - a. At the end of the regular season and prior to the commencement of the post-season tournament, the director of athletics or designee shall decide how many tickets may be purchased by each person in advance of the event. University regular full-time faculty, staff and students will generally be limited to two tickets per individual, as long as tickets to the post-season tournament are available.
    - b. The director of athletics or designee shall decide when tickets will go on sale and shall promptly communicate this decision to the manager of the ticket office.
    - c. Tickets for the following groups will be allocated at the discretion of the director of athletics to the following:
      - i. Office of the President (Board of Regents, president, executive vice president and provost, Administrative Council, and elected officials).
      - ii. Office of Applicable Sport (i.e. basketball: team's student-athletes, parents, legal spouse or domestic partner of student-athletes, coaches and staff).
      - iii. Department of Athletics (working game personnel: director of athletics, associate



- athletic directors, sports information director, and trainers).
  - iv. Band and Spirit Squads (cheerleaders and mascot).
  - v. Athletics Council and Department of Athletics' personnel.
  - vi. Special Guests (selected by the director of athletics or designee).
  - vii. Aggie Athletic Club Members.
  - viii. Full-time Students.
  - ix. Season ticket holders.
- d. Distribution of remaining tickets for the post-season tournament will be made to NMSU full-time students, regular full-time employees, and to the general public on a lottery basis (if needed). Lottery numbers must be obtained in person at the ticket office.
  - e. Distribution of tickets for the post-season tournament to the Aggie Athletic Club will be handled by the director of athletics or designee. It will be necessary for the Aggie Athletic Club to establish a method, in writing, of determining who will be allowed to purchase tickets to the post-season tournament.
- 2. Coordination by the Department of Athletics: All activities pertaining to the purchase of tickets for the post-season tournament obtained by the university from other universities participating in said tournament will be coordinated through the Department of Athletics. All other parties will be responsible for getting their own post-season tournament tickets from the host institution.
  - 3. Official Spokesperson: The director of athletics shall designate one official spokesperson to answer questions pertaining to the distribution of tickets to the post-season tournament.
  - 4. Ticket Transference Prohibited: Tickets for the post-season tournament must be for personal use and picked up in person at the ticket office or at the game site.
  - 5. Ticket Scalping Prohibited: Ticket scalping consists of selling, offering for sale or attempting to sell any ticket, privilege, license, admission or pass to any college athletic event at a price greater than the price charged at the place of admission or printed on the ticket.
- D. Student Admission: Students who are not employed by the university in a regular position and who are enrolled in at least one credit hour for an NMSU-Las Cruces course, shall be admitted to NMSU athletic events free of charge, with the exception of conference or NCAA tournaments. Enrollment status may be verified through an electronic scan of each student ID. The provisions of this Section D. shall be reviewed prior to June 30, 2015, and if not renewed, shall expire.

### **2.05.35 Fund Raising for NMSU Athletics**

- A. Aggie Athletic Club: The Aggie Athletic Club (AAC) serves as the fund raising office for the Department of Athletics. The Aggie Athletic Club provides oversight and acts as a resource to the individual booster, or "fund-raising clubs", for each athletic sport and some administrative units. Donations to these clubs are restricted for the use of the related sport or unit. A list of Aggie Athletic Club sponsored booster organizations is available at [Aggie Athletic Club](#).
- B. NMSU Sports Enterprises: NMSU Sports Enterprises, Inc. is a 501 (c.)(3) corporation overseen by the NMSU Foundation. It secures sponsorships (both cash and trade) for NMSU athletic events and venues. Net revenues and trade agreement resources derived from these sponsorships are generally delivered to the Department of Athletics.

### **2.05.40 Media Relations Relating to NMSU Athletics**

- A. Radio and TV Broadcasts: The Department of Athletics holds all broadcast rights, including distribution of events, format, announcers, air times and advertising inventory on all radio and television events. Permission to broadcast is granted on a game-by-game or season basis through contracts issued by the Department of Athletics, the NCAA, or the Conference to which NMSU is a member. All television events produced by NMSU are done in cooperation with the Special Production Unit of KRWG and branded as AggieVision events.

- B. Coaches' Shows: NMSUSE produces television and radio coaches' shows and post-game shows to promote the university, to assist with recruiting, and to highlight each week's game(s).

## 2.10 Auditors, External

The university external auditors shall be selected and retained according to the guidelines provided in the state auditor's rules currently in force. The Board of Regents reserves the right to apply stricter guidelines in selecting and retaining external auditors than those required by the state auditor's rules.

## 2.11 Auditors, Internal – Office of Audit Services *[Amendments approved by Board of Regents 07.23.07]*

- A. Purpose: This policy establishes and authorizes the Office of Audit Services as the administrative unit tasked with performing internal audit functions, and reporting to the various NMSU components, the Audit Subcommittee of the Board of Regents, and the university president and/or the Board of Regents.
- B. Mission and Internal Audit Function: The Office of Audit Services provides university-wide, independent, objective assurance and consulting services designed to add value to, and improve university operations. It helps the university community accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. The Office of Audit Services assists members of management in effectively carrying out their respective responsibilities by determining whether the organization's network of risk management, control and governance processes are adequate to ensure that:
  - 1. Risks are appropriately identified and managed;
  - 2. University policies and procedures, and external laws and regulations are followed;
  - 3. Resources are acquired economically, used efficiently, and are adequately protected;
  - 4. Significant financial, managerial and operational information is accurate and reliable;
  - 5. Program objectives are achieved and are consistent with university objectives.
- C. Authority: The internal audit staff is authorized full, free and unrestricted access to all university records in any form; to all facilities and real estate; and to all personnel relevant to an audit. With approval from the NMSU affiliated organization, internal audit staff may review records of affiliated organizations in conjunction with a specific university audit. Internal audit staff is correspondingly responsible for handling documents and information obtained in a prudent and ethical manner.
- D. Neutrality: Internal auditors will avoid participating in activities that might reasonably appear to compromise their independence or objectivity. They will have no direct responsibility or authority over any of the operating activities examined, and their review does not relieve operating personnel of their responsibilities.
- E. Internal Audit Duties: The chief audit executive and staff of the Office of Audit Services have responsibility to:
  - 1. Develop a flexible annual audit plan using appropriate risk-based methodology, including concerns identified by management, and submit the plan to the audit committee for review and approval;
  - 2. Operate in accordance with the International Standards for the Professional Practice of Internal Auditing and the Code of Ethics of the Institute of Internal Auditors;
  - 3. Provide audit reports and memoranda that contain reasonable and cost-effective recommendations for control issues identified, and facilitate the resolution of audit issues with

- appropriate managers;
4. Suggest the need for policies and procedures where appropriate, or changes to existing policies and procedures;
  5. Perform appropriate assurance and consulting services to assist management in meeting its objectives;
  6. Assist in the investigation of significant suspected fraudulent activities within the university;
  7. The chief audit executive serves as an *ex officio* member of the Administrative Council.
- F. Reporting Structure: In order to maintain independence, the staff of the Office of Audit Services reports to the chief audit executive, who reports administratively to the university president and functionally to the Board of Regents. The chief audit executive shall meet with the Board of Regents' Audit Subcommittee periodically, as outlined in the Audit Subcommittee Charter and will present an annual report on the activities and operations of the department.
- G. Scheduling Audit Projects and Reporting Results: With the exception of emergency audits and those requiring an element of surprise, audit clients will receive advance notice of planned audits and the Office of Audit Services staff will make reasonable efforts to accommodate client needs in terms of scheduling.
1. Audits involving suspected fraudulent activities are processed differently from other internal audits, so as not to compromise a police investigation or personnel action.
  2. At the conclusion of an audit project, the chief audit executive will issue a formal report or audit memorandum to the audit client and appropriate members of senior management.
  3. On an annual basis or as time permits, the Office of Audit Services staff will perform a follow-up on formal recommendations included in audit reports and memoranda. Follow-up reports will summarize the status of audit issues and any actions taken by management to resolve the issues. Any items not resolved at the conclusion of a second follow-up, will be referred to the university president and to the Budget and Audit Subcommittee for resolution.
  4. Results of audit work are shared with Budget and Audit Subcommittee members and with the Board of Regents on an annual basis, or more often if appropriate.

## 2.15 College Budget Committee

Each college will establish a standing College Budget Committee. The majority of the members of each College Budget Committee will be elected from that college's faculty. The College Budget Committee will review the college annual operating budget both past and projected and provide input to the dean. In addition, all budget proposals that flow to the university Budget Committee from each college will be reviewed by the Faculty College Budget Committee which will then provide a written recommendation to the dean of the college.

## 2.20 Distribution Lists (ABCD) for Printed/Electronic Materials (*See also Chapter 3 Employee, Student and Visitor Codes of Conduct*)

Printed memoranda and materials regarding university business may be circulated to groups of individuals on campus by requesting distribution through Printing and Duplicating and Mail Services addressing programs. Designations from the list below -- A B C D -- may be used. Electronic mail may provide an avenue for communication of significant administrative information to key administrators, with the following guidelines:

- A. Composition of the List:
1. President, executive vice president and provost, and senior vice presidents/provosts.

2. Associate and assistant vice presidents/provosts, presidents of community colleges, academic deans, associate and assistant deans.
  3. Administrative department heads and directors.
  4. Academic department heads (main campus only).
- B. Posting to the List: Only list members or their designees may submit announcements to ABCD. Distributions may be made to A or B or C or D or any combination of these. Posting to the list(s) should be restricted to significant administrative announcements. Other communications, such as announcements of workshops, receptions, etc. might be posted via other communication vehicles managed by the Office of University Communications and Marketing Services.
- C. ABCD-Copy: Individuals wishing to receive electronic copies of electronically mailed ABCD postings may subscribe to ABCD-Copy. ABCD-Copy subscribers will receive only electronic announcements which are addressed to all four groups: A, B, C, and D.

## 2.25

**Emergency Preparedness and Response** *(See Also NMSU-Las Cruces AHEOP; and Policies 2.30 Fire Safety, Prevention and Emergency Services; 2.35.1.1.8 Emergency Notification; 2.53 Police-University; 2.60 Environmental Health and Safety) [Amendment superseding former Policy 2.25 "Emergencies" adopted by Administrative Council 05.12.09; ratified by Board of Regents 07.29.09] [Amendment adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09] [Amendment recommended by Administrative Council 02.13.13; approved by Board of Regents 03.11.13]*

- A. Purpose: To comply with state and federal laws relating to emergency preparedness and response. This policy clarifies the Board of Regents' delegation of authority relating to emergency planning and preparedness, as well as to disaster consequence and recovery management functions for the entire NMSU system. This includes the authorization of NMSU personnel to plan and take action as necessary for the protection of the university community and university assets, in the face of potential and actual emergencies. This policy in no way limits the authority granted by state or federal law to public safety entities and their employees and representatives who may be serving as incident commanders or other emergency responders.
- B. Scope: This policy applies throughout the NMSU System, including but not limited to the NMSU community colleges, the New Mexico Department of Agriculture, and to other external entities which may be located on university premises. The actual emergency operational protocols to be followed in the field by the incident commander(s) and emergency responders, while authorized by this policy to be utilized as needed, are not within the scope of this policy intended to address primarily the planning and preparedness and the consequence and recovery aspects relating to the different type of emergencies that may occur.
- C. Policy Administrator: This policy, addressing emergency planning and preparedness and disaster consequence and recovery management, is administered by the NMSU System President, in coordination with appropriate advisory bodies and/or officials.
- D. Definitions, Roles, and Responsibilities:
1. "AHEOP": "AHEOP" refers to the All Hazards Emergency Operations Plan(s) that are required to be developed and maintained by each NMSU Component to maximize the preparedness for unforeseen emergencies, including coordination with police, fire and emergency medical service providers who might be involved in the event of such emergencies.
  2. "CART": "CART" refers to the university's "Central Administration Response Team", which serves the entire NMSU System, and consists of the NMSU System President and other executive management personnel. The CART consists of three distinct subsets:
    - a. CART Command: The primary responsibility of the CART Command is to make decisions relating to disaster/emergency consequence and recovery management for the

NMSU system.

CART Command consists of:

- i. President
- ii. Executive Vice President and Provost
- iii. Senior Vice President for Administration and Finance
- iv. Senior Vice President for External Relations and Chief of Staff
- v. Vice President for Student Affairs and Enrollment Management
- vi. Associate Vice President for University Communications & Marketing Services
- vii. University General Counsel

- b. CART Operations: The primary responsibility of the CART Operations group is to advise and carry out directives given by CART Command.

CART Operations consists of:

- i. Assistant Vice President of Human Resource Services
- ii. Assistant Vice President for Facilities and Services
- iii. Dean of Students
- iv. Director of Procurement Services and Risk Management
- v. Associate Vice President for Administration and Finance
- vi. Chief Information Officer and Associate Vice President for Information Technology

- c. CART Resources: The primary responsibility of the members of the CART Resources group is to serve as either Incident Command or Emergency Responder as part of the active resolution of the emergent circumstances, and to provide information when feasible and as requested to CART Command and CART Operations.

CART Resources consists of:

- i. NMSU Police Department
- ii. NMSU Fire Department
- iii. Environmental Health and Safety
- iv. Facilities Operations and Utilities
- v. Information and Communication Technology
- vi. News and Media Relations
- vii. Campus Health Services
- viii. Counseling Services
- ix. Housing and Residence Life
- x. VPR Biosafety Officer

3. “Communicable Disease Preparedness Committee”: In conjunction with the Emergency Planning Committee, is responsible for planning and preparedness regarding Continuity of Operations, health disasters, and other disasters of long duration. This committee works directly with the various NMSU entities to accomplish this planning and preparedness.
4. “CoOP”: “CoOp” refers to Continuity of Operations Plan, which is plan developed by each NMSU Entity to identify its essential mission(s), and the mechanisms for continuing to achieve them during an emergency. Each CoOp should provide the information necessary to enable the NMSU Entity’s personnel to operate in a variety of circumstances, such as from a remote site, without electricity, without computer connections, etc. *See Also* Section G below.
5. “CRT”: “CRT” refers to Component Response Team, which is a team of key administrative leaders designated by each NMSU Component whose responsibility is to make decisions relating to disaster/emergency consequence and recovery management for that component. The CRT for the NMSU-Las Cruces Component consists of the same membership as that of the CART Command.
6. “Disaster”: As used in this policy, a “disaster” means a sudden event, such as an accident or a natural catastrophe that causes or has the potential to cause great damage or loss of life.
7. “EAP”: “EAP” refers to Emergency Action Plan and is a plan required by the Occupational

Safety and Health Act, administered by the U.S. Department of Labor to notify employees, students and/or volunteers of what to do in the event of a potential or actual emergency, including emergency training exercises. The EAP communicates emergency information in advance of an emergency and explains how to report a fire or other emergency, provides an evacuation route and reunification location, as well as protocols to ensure that all persons associated with each NMSU Entity are accounted for. *See Also* Section F. below.

8. “Emergency”: “Emergency” as used in this policy means a serious, unexpected, and often dangerous situation requiring immediate action.
  9. “Emergency Planning Committee”: The Emergency Planning Committee is a standing university board that advises and provides recommendations to the NMSU System President regarding emergency planning and preparedness for the system, the CART, and the CRTs, particularly related to the All Hazards Emergency Operations Plan. *See Also* Official List of University Boards.
  10. “Emergency Responder”: As used in this policy, an “emergency responder” refers to an employee or representative of a public safety entity who performs duties to save lives or property and/or to preserve order during an emergency. Emergency responders include the first responders, any non-NMSU involved public safety entities, and the official(s) designated to serve as the Incident Commander(s). *See Also* Section J. below.
  11. “Essential Personnel”: “Essential personnel” refers to those employees who perform job duties or functions deemed by the administrative head of their NMSU Entity to be critical to operations. Essential Personnel are required to work, and/or to be available to work, in the event of any emergency, and especially during emergencies of extended duration. *See Also* Sections G. 3. and H. below.
  12. “External Entity”: “External Entity” refers to any non-NMSU entity or agency located on NMSU premises, as a tenant or a business partner. *See Also* Section I. 1. below.
  13. “Incident Commander”: The “incident commander” is the person (or in unified command, the people) who are appropriately trained and responsible for decision making during the on-scene emergency resolution.
  14. “NMSU Component”: “NMSU Component” refers to the Las Cruces NMSU campus; to each community college (Alamogordo, Carlsbad, Dona Ana and Grants); as well as to the New Mexico Department of Agriculture, which has a dual reporting line to the NMSU Board of Regents.
  15. “NMSU Entity”: “NMSU Entity”, sometimes also referred to as “unit”, is a general term which may refer to a college, a department or any other individual administrative unit within the NMSU System, including but not limited to agricultural experiment stations. Private not-for-profit corporate entities recognized to be affiliated with NMSU for fundraising, research, public service, or student activity purposes, while subject to certain NMSU policies and procedures to maintain recognized status, are not considered “NMSU entities”, and if located on NMSU premises, are referred to as “External Entities”.
- E. Emergency Planning and Preparedness/All Hazards Emergency Operations Plan (AHEOP): Each NMSU Component, as defined above, shall develop and maintain an All Hazards Emergency Operations Plan (*See* Section D) to guide responders, administration, and that Component’s community during emergency situations. Each AHEOP shall identify and address the common hazards specific to their component.
1. The AHEOP for NMSU-Las Cruces also covers the Doña Ana Community College due to the overlap of the campuses, available for viewing at NMSU-All-HazEOP. There is not a requirement for DACC to maintain a separate and distinct AHEOP. The university’s Emergency Planning Committee and/or its individual members, are available to assist and provide guidance to the NMSU Components as they draft and maintain their AHEOPs.
  2. Each NMSU Component is encouraged to coordinate with the appropriate local law

enforcement, fire and emergency medical jurisdictions as its AHEOP is drafted; the National Incident Management System (“NIMS”) is the model for command and communications.

3. Prior to submission to the Office of the President, each NMSU Component shall obtain review and approval of its proposed AHEOP from the CART or appropriate CRT, and the Emergency Planning Committee.
  4. The NMSU System President shall review and give final approval on behalf of the university, for each AHEOP, for each NMSU Component.
  5. The NMSU Components shall review their respective AHEOPs every two years and update accordingly. Substantive changes made to the components’ AHEOPs require approval by that component’s president and the NMSU System President; non-substantive revisions do not require re-approval and signature. Examples of non-substantive revisions include but are not limited to illustrating or clarifying applicable procedures and/or updating contact or resource information.
- F. Emergency Planning and Preparedness/Emergency Action Plan (“EAP”): Each NMSU Entity shall develop and maintain an EAP to guide department/unit faculty, staff, students and others immediately following notification of an emergency situation and/or communication as part of an emergency training exercise. Examples of emergency situations that might trigger the need to invoke the EAP include natural disasters, hazardous material spills, or manmade disasters.
1. The goal of this plan is to get unit-level personnel and those in the area (to include students and visitors) to safety as quickly as possible. The EAP is not intended to address the actual response to the emergency or hazardous situation, which is carried out by incident command and emergency responders, respectively.
  2. The EAP shall require contact with each affected employee and/or student, as well as notification to the appropriate emergency responder, each time the plan is invoked.
  3. The EAP shall be updated as often as necessary, and shall be reviewed periodically with affected employees and/or students to ensure familiarity with it.
- G. Emergency Planning and Preparedness: Continuity of Operations Plan (“CoOp”): In coordination and consultation with the Communicable Disease Preparedness Committee, each NMSU Entity shall develop and maintain a Continuity of Operations Plan. Appropriate elements for this plan may include the following:
1. Line of Succession: Each NMSU Entity should keep an up-to-date listing of contact information for the employee in charge of the unit, and at least two others in order of succession. This line of succession and contact information shall be communicated within each NMSU Entity, as well as up to the entity’s next level of supervision.
  2. Intra-Unit Communications: Each NMSU Entity shall maintain a list of current contact information for all employees and volunteers, to facilitate communications in the event any type of emergency. The type of communication that may be required is likely to vary depending upon the nature and timing of the unforeseen emergency, and may involve the use of telephone trees, e-mail, personal visits to homes, etc. (NOTE: Intra-unit communication during an emergency should also be addressed within the EAP).
  3. Designations of Essential, Alternate Essential and Standby Personnel:
    - a. Each NMSU Entity shall determine the job duties and functions that would be critical to continuity of operations.
    - b. A list of the personnel who perform these duties and functions shall be transmitted to the chair of the Communicable Disease Preparedness Committee (by job position and incumbent employee), who shall review and submit to human resource services for designation as “essential personnel” in each job description.
    - c. Personnel identified to fill essential positions or alternates for essential positions will be listed on the CoOP for that NMSU Entity. Alternates for Essential Personnel will also be

identified, as well as any personnel that might be needed on a standby basis.

- d. Notwithstanding prior designations, any position may be designated as essential, alternate essential or stand-by as needed at any point during an emergency situation.

H. Personnel Considerations During Emergency: The following human resources policies shall apply when employees work as needed during emergencies:

1. Communication of Designation(s) to Employees: Each NMSU Entity shall communicate any special designations to its employees (e.g. “essential” “alternate essential” or “standby”). As noted above, designations may be changed by department head or other appropriate supervisor during an emergency, if needed.
2. Reasonable Flexibility: In an emergency, both employer and employee should be as flexible as possible to enable employees to work, including facilitating working from home and other remote locations (telecommuting); allowing full-time employees to work part-time; using flexible work schedules; and other appropriate solutions.
3. Extension of Deadlines: All probationary periods and other such deadlines will be extended for the duration of the declared university emergency.
4. Responsibilities of Essential, Alternate Essential and Standby Personnel: Essential personnel shall report for work unless specifically directed by supervisor or authorities not to report for health and safety reasons. Alternate essential personnel whose designations are changed to essential shall report for work upon notification of changed designation. Standby personnel, not designated as essential or alternate to essential, shall not report to work during a university State of Emergency and may only work if pre-approved by the NMSU Entity.
5. Work Outside Normal Scope of Employment Duties. Employees may be required to work outside their normal scope of responsibility as deemed necessary by appropriate NMSU administrator. This includes employees with the necessary skills that are needed to work outside their colleges/vp units. Base compensation will be at the individual’s regular base pay for their primary job unless other arrangements are approved by HR Services.
6. Compensation and Leave Time: Non-exempt/hourly employees will receive regular rate of pay and overtime compensation for time worked in excess of 40 hours per week. Exempt/salaried employees will receive regular base pay for time worked and be eligible for a hardship differential if excessive overtime is required. Employees not able to work at any location or not needed to work will not receive regular pay but may be granted paid or unpaid leave consistent with university policies.

I. Declaration of State of University Emergency/Notification/Authority to Act:

1. Declaration of State of University Emergency: The NMSU System President is authorized to declare a State of University Emergency for any of the NMSU Components, NMSU Entities and/or External Entities. When the NMSU System President is not available, the line of succession for said office shall be followed, with the successor having equal authority. Such a declaration is typically used when inter-agency assistance or relief is sought.
2. Emergency information shall be communicated to the university community as appropriate based on the decisions of the incident commander, the CART Command, or others pursuant to the Policy [2.35.1.1.8. Emergency Notification.](#)
3. Authorization for action by Administrator or Supervisor: Each administrator or other supervisor in charge of an NMSU Component or NMSU Entity is authorized to take action as may be necessary to preserve life or university property during an emergency situation without prior authorization, but such emergency response action should be followed by immediate notification to NMSU System President as soon as is reasonable under the circumstances.
4. Authorization for action by NMSU Employees: Each NMSU employee is authorized to act as may be necessary to preserve life or university property during an emergency situation, in the



absence of a supervisor, but such emergency response action must coincide with immediate notification to any member of CART Command, Resources or Operations teams, who shall notify the NMSU System President as soon as reasonable under the circumstances.

J. Incident Command and Emergency Response:

1. For emergencies and disasters occurring on the NMSU Las Cruces campus, the central campus of Doña Ana Community College, or surrounding university property, the NMSU Police and/or the NMSU Fire Department will serve as incident commander, as appropriate based on the type of emergency.
  - a. The incident commander (s) will coordinate with CART Command in the event that evacuations, shelter in place, building closures, etc. have been ordered for the immediate preservation of life and property.
  - b. The Incident Commander may invoke mutual aide agreements with other agencies, as appropriate, without the need for presidential approval or a formal declaration of university emergency.
  - c. Incident commanders (emergency or nonemergency) and other members of the CART may activate the Central Administration Response Team in support of their emergency operations.
  - d. The NMSU Police or the NMSU Fire Department shall maintain policies and procedures to provide their respective personnel with the necessary procedural guidance for routine and emergency situations.
2. For emergencies and disasters occurring on NMSU property other than the NMSU Las Cruces campus, the central campus of Doña Ana Community College, or surrounding university property, the appropriate local police or fire jurisdiction will serve as incident commander, as appropriate based upon the type of emergency.
3. For situations where there is not an immediate life-threatening emergency, other individuals and entities may act in the role of incident commander. These individuals will be designated as “nonemergency incident commander” and do not have the same training requirements as emergency incident commanders. Examples of nonemergency incident commanders include the assistant vice president for facilities and services when related to utility outages and the associate vice president for information technology when related to information system(s) or telecommunication outages.

- K. Disaster Consequence and Recovery Management/Follow Up (After Action Reviews): After any major emergency or disaster, the Emergency Planning Committee shall coordinate with the appropriate individuals and entities to ensure a formal after-action review is conducted in order to identify successes, policy or plan changes needed, and potential areas for improvement.

## 2.30

### **Fire Safety, Prevention and Emergency Services** *[Amendment adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09] (See also Fire Prevention Guidelines and Practices approved by Administrative Council 05.12.09)*

- A. Purpose and Scope: This amended policy, and corresponding Fire Prevention Guidelines and Practices, are established in order to protect and preserve the safety of the public and NMSU property. This policy and the Fire Prevention Guidelines and Practices apply to university students, employees, visitors and contractors working or conducting business on the NMSU Las Cruces (NMSU) and NMSU Doña Ana Community College (DACC) located on the NMSU Las Cruces campus.
- B. DFES Jurisdiction: Consistent with the university’s Emergency Preparedness Policy, the NMSU Department of Fire and Emergency Services:
  1. Serves as the primary response agency for NMSU-Las Cruces and NMSU-Doña Ana Community College for emergencies such as fire, medical, hazardous materials mitigation and confined space rescue operations.

2. Provides mutual aid assistance to City of Las Cruces and Dona Ana County's 15 fire districts.
3. Provides EMS services at special events conducted on campus or at the request of an NMSU entity.
4. DFES is also under the broader jurisdiction of the New Mexico State Fire Marshal's Office (FMO). The State of New Mexico has adopted the National Fire Protection Association (NFPA) Standards. DFES is granted Authority Having Jurisdiction (AHJ) from the New Mexico State FMO and is the authority in all matters dealing with fire safety for NMSU and NMSU-DACC. For other NMSU campuses and locations, the Authority Having Jurisdiction is the New Mexico State Fire Marshal, local county fire marshal or municipal fire department.
5. As delegated from the New Mexico State Fire Marshal's Office, the NMSU Department of Fire and Emergency Services is the Authority Having Jurisdiction (AHJ) and performs the fire safety inspections as requested or as determined for facilities located on the NMSU-Las Cruces and NMSU-Doña Ana Community College campuses. The inspections are conducted for the purposes of identifying and recommending corrective action to eliminate or reduce the potential for loss of life or property due to fire. The inspections are conducted utilizing State adopted National Fire Protection Association (NFPA) codes, with the International Building Code and International Fire Code as reference.
6. NMSU Office of Environment Health and Safety is responsible for occupational fire safety and shares fire inspection duties with the NMSU Department of Fire and Emergency Services.

C. Fire Prevention and Safety, Generally:

1. The National Fire Protection Association (NFPA), International Fire Code (IFC), International Building Code (IBC) and the Occupational Safety and Health Administration (OSHA) standards are the primary resources used in the development of the Fire Prevention Guidelines and Practices. Because the DFES is recognized as the Authority Having Jurisdiction (AHJ) in matters related to fire safety, interpretations and/or deviations may be allowed in some cases. Deviations will be evaluated and determined by DFES on a case-by-case basis. Specific issues not addressed in the *Fire Prevention Guidelines and Practices* may be referenced in one of the above standards, and will apply as determined by the DFES.
2. The *Fire Prevention Guidelines and Practices* is intended to facilitate the training of NMSU personnel and compliance by NMSU by restating some of the more fundamental requirements of the above referenced national and state standards and laws. Due to the risk of serious injury and/or death from fire or fire-related emergencies, students, employees, visitors and contractors shall comply with the *Fire Prevention Guidelines and Practices*. Any hazardous or emergency situation, even if only suspected, shall be reported to DFES.
3. Fire Emergency Action and Evacuation. The NMSU Office of Environmental Health and Safety and the NMSU Fire Department shall coordinate regarding the requirements of the Fire Prevention Guidelines and Practices relating to general and specific fire evacuation plans for the protection of university students, employees, visitors and contractors from the hazards associated with a fire-related emergency which may occur on university property. Examples of fire-related emergencies that would require initiation of building evacuation include and are not limited to:
  - The smell of smoke (regardless of how small an amount),
  - The sight of smoke (regardless of how small an amount),
  - The smell of gas or other hazardous chemical,
  - Electrical equipment that is sparking,
  - Any fire, regardless of how small, even if it has already been extinguished.

D. Roles and Responsibilities of NMSU Entities:

1. NMSU Administration: To provide NMSU, through support and funding, with a fire safety program which will provide staff, faculty, employees, students, and visitors the guidelines,

programs, and policies which will ensure their safety.

2. Deans, Directors, and Department Chairs: Responsible for implementing fire safety programs in areas under their control, and providing assistance to DFES in conducting fire safety inspections, correcting hazards and concerns, and implementing fire prevention and evacuation policies.
  3. Office of Environmental Health and Safety (EH&S): Responsible for the development, coordination, implementation, and training of safety programs. The EH&S is responsible for providing assistance to all NMSU staff, faculty and employees in correction of safety hazards and concerns.
  4. Managers and Supervisors: Responsible for ensuring that their areas of responsibility are compliant with approved fire safety practices, receive the required training and coordinate code violation corrections with DFES.
  5. Maintenance Personnel: Responsible for ensuring the proper maintenance, operation, and documentation of all emergency and safety devices under their control.
  6. Students, Employees, Visitors and Contractors: Shall become aware of and comply with fire safety programs, attend required training, and report any suspected fire safety hazard to DFES.
  7. Students: Although not specifically required to be trained in the same manner as faculty and staff, students are urged to become familiar with the safety policies of NMSU and should report any potential fire safety hazard to DFES.
  8. Contractors: Are responsible for compliance with local, state and federal safety standards. Contractors have the responsibility to ensure that their work does not create fire or other safety hazards.
- E. Other Considerations: Emergency Procurements: For purposes of the New Mexico Procurement Code, an emergency condition is a situation which creates a threat to the public's health, welfare, safety, or to property such as may arise by reason of floods, epidemics, riots, equipment failures or similar events. The existence of the emergency condition creates an immediate and serious need for services or construction that cannot be met through normal procurement methods. The Office of Purchasing and Materials Management may either initiate or authorize others to make emergency procurements, provided that such emergency procurements shall be made with such competition as is practicable under the circumstances. A written determination of the basis for the emergency procurement and for the selection of the particular contractor shall be included in the procurement file. Emergency procurements shall not include the purchase or lease-purchase of heavy road equipment. In the event of an emergency, as defined above, the Office of Purchasing and Materials Management may purchase without bids. During regular working hours, the Office of Purchasing and Materials Management should be informed at once of emergency purchases greater than \$2,500. When circumstances beyond the department's control prevent following established procedures or when delay would be detrimental or prove costly to the university, an emergency purchase may be made with the approval of the purchasing director.

## **2.35 General NMSU Information and Communication Technologies Policies**

*[Amendment superseding former Policy 2.35 and parts of former Policy 3.75 adopted by Administrative Council 04.14.09; ratified by Board of Regents 07.29.09]*

### **2.35.1.1 GENERAL POLICIES**

#### **2.35.1.1.1 Acceptable Use**

- A. Purpose: This policy defines appropriate and inappropriate use of NMSU-owned and controlled resources, such as electronic devices, software, computer systems and networks that are directly, or through a third party, used to transmit, receive, process or store information or data such as computers, servers, databases, Personal Data Assistants (PDAs), telephones, wireless devices, e-

mail systems, voice messaging systems and internet connectivity. Also included is the use of non NMSU-owned electronic resources storing or connecting to NMSU data.

In addition, the policy defines privacy of data, copyright/intellectual property rights to data, and data ownership and access.

B. Policy:

1. Ownership and Use: NMSU computing equipment and resources are owned and/or administered by the Board of Regents of New Mexico State University. Access to NMSU equipment and resources is a privilege granted to students and employees to facilitate instruction/learning, research and administration. All users of NMSU computing equipment and resources are required to affirm the following:

*I have read the Acceptable Use Policy, and I understand and agree to abide by the terms of the policy. I also understand that my use of NMSU equipment and resources must be in accordance with the policy. I recognize that violations of this policy may cause restriction or elimination of my access to NMSU computer resources, other disciplinary action, or civil or criminal penalties.*

2. User Responsibilities:

- a. NMSU computing equipment and resources are used to support the mission of the university and may not be used for commercial or profit-making purposes.
- b. NMSU computing equipment and resources may only be used by users in ways that do not violate the law or NMSU policies.
- c. The willful transmission of known destructive applications and viruses by a user is prohibited.
- d. Users whose activities place high loads on the NMSU system must conduct these activities in off hours or in low system demand times.
- e. Users are responsible for protecting university data and technologies from unauthorized uses and security threats.
- f. Users must be considerate of the rights of other users.

3. Copyright Compliance:

- a. NMSU shall comply with the Copyright Law of 1976 and its amendments (Title 17, United States Code), including the Digital Millennium Copyright Act of 1988. Faculty, staff, and students should be aware that copyright infringements occurring on university networks may result in termination of networking privileges as well as other penalties under federal law.
- b. Users must be in compliance with copyright laws and licensing agreements. The University's Office of Information and Communication Technologies may block access to information alleged to be in violation of copyright laws. If a user is found to be in violation of copyright laws, the information found to be in violation shall be deleted from the university's computing system(s). Also, the violator may be subject to other sanctions.

4. Misuse of Information and Technology Services: The university reserves the right to sanction a user for the misuse of university information and technology equipment and resources. In addition to other standards specified in NMSU Policy, examples of misuse include, but are not limited to:

- a. Intentionally altering, disabling, destroying or stealing electronic resources.
- b. Unauthorized access.
- c. Use of illegal software or data.
- d. The development and/or use of programs which impede the use or the network or cause damage.
- e. Attempting to defeat or circumvent any security measures, controls, accounts, or record-keeping systems.
- f. Using information and technology equipment and resources for unlawful purposes including fraudulent, defamatory or harassing acts, acts of violence, etc.

- g. Invading privacy and confidentiality rights protected under the law.
5. Incidental Personal Use of Electronic Resources by Employees: Incidental personal use of electronic university-owned resources is covered in NMSU Policy [3.75 Non Work Related Use of University Resources](#), which prohibits, in part:

*“...viewing, displaying, downloading, printing, procuring, or transmitting of sexually explicit material; nor of any other material that would violate university policy or the law, including but not limited to, those relating to sexual harassment, fraud, hostile workplace, obscenity, libel, defamation, or hate/violent misconduct.”*

6. Privacy: Notwithstanding users' rights to privacy, and any rights under the Electronic Communication Privacy Act of 1986, FERPA HIPAA and GLBA, users grant specific permission to university to inspect users' accounts and file space for investigation of violation of university policy or as needed for maintenance functions. When investigating a possible abuse of the system, Information and Communication Technologies has the authority to examine files, passwords, accounting information, printouts, tapes, or other material that may aid in the investigation. Investigations must follow university procedures. Use of university equipment or resources implies consent to this policy.
7. Access - Investigative Purposes: The university reserves the right to access a user's account when there is reasonable suspicion that a law or university policy has been violated.

The following steps for a request to access a user's account include:

- a. Requests for access based on a reasonable suspicion must be in writing and approved prior to access being granted by university president/chancellor, provost, general counsel, human resources, internal audit department or law enforcement.
  - b. Each request must specify the purpose for which access is being requested.
8. Access - Non-Investigative Purposes - Work Related: Access to work-related files is permitted as long as there is a work-related need and the users are, by the nature of their work, approved to access these files.

When an employee separates from the university, all work-related files remain the property of the university.

9. Sanctions: Use of information technology equipment or resources in violation of applicable laws or university policy may result in sanctions, which include, but not limited to, the sanctions listed below:
  - a. Withdrawal of use privileges.
  - b. Disciplinary action, up to and including, expulsion or discharge from a position.
  - c. Legal prosecution.

### **2.35.1.1.2 Computer Accounts**

- A. Purpose: This policy outlines the eligibility requirements associated with the four different types of accounts that ICT provides.
- B. Policy: It is the policy of the university that all active employees, students, and eligible NMSU retirees have an account managed by ICT. It is also policy that each department or unit and each chartered organization be provided one ICT-managed account.

### **2.35.1.1.3 NMSU Account Purge**

- A. Purpose: This policy outlines the normal account purge process with respect to persons no longer affiliated with NMSU.

- B. Policy: Former employees who have separated from the university but have not retired from the university, and former students without pending financial obligations, must have their NMSU account purged.

Once separation from NMSU occurs, the NMSU account shall remain active for one year. After one year, email notifications of the impending purge shall be sent to the NMSU account. Under certain circumstances, at the direction of the NMSU president, provost, senior vice presidents, CIO, or assistant vice president for human resource services, the NMSU account shall be terminated immediately. Data associated with the purged account shall not be retained by the university.

NMSU is not responsible for data lost due to an account purge and may not be capable of recovering the data once an NMSU account has been purged.

Employee access to institutional data is revoked immediately upon separation.

#### **2.35.1.1.4 Distribution of Information to NMSU Employees and Students**

- A. Purpose: This policy identifies the official university mass communication mediums for employees and students of the university.
- B. Policy: All official mass communications shall be transmitted via the university's email system. Official mass communications are memoranda or documents that are distributed to wide audiences, such as departments, colleges or all employees. Directors, supervisors and managers are responsible for insuring that all employees who do not access email regularly are provided this information through postings and distribution of the information in whatever means possible to reach each employee.

#### **2.35.1.1.5 NMSU Official E-mail Address**

- A. Purpose: This policy requires that a valid NMSU email address is assigned to each student, faculty and staff member to ensure that e-mail is a viable communication medium at NMSU.
- B. Policy: The official email address for NMSU students, faculty and staff shall be their <NMSU Username>@nmsu.edu. This address shall be populated as the official email address in the electronic records and shall be marked as the preferred address for official communication. If desired, students, faculty and staff may choose to forward emails from this address to an address of their choosing by changing their email settings.

The official e-mail address (ending in @nmsu.edu) for all non-student employees is required to be displayed in the official NMSU phonebook.

#### **2.35.1.1.6 NMSU Office Software Standards**

- A. Purpose: This policy specifies the official standard file formats for electronic documents that are shared between NMSU employees.
- B. Policy: The official standard file formats for electronic documents at NMSU shall be Microsoft Office application file formats: word processing - Word (.doc), spreadsheet - Excel (.xls), electronic presentation - PowerPoint (.ppt), and Adobe Portable Document Format (.pdf). All documents that are distributed for editing, collaboration or communication between employees shall use these file formats.

#### **2.35.1.1.7 Employee Access to Data and Potential Conflict of Interest**

- A. Purpose: This policy specifies the authorization requirements for NMSU employees who have access to the university's central computing systems, and through those systems, access to wide-ranging types of data that creates the potential for conflicts of interest
- B. Policy: In order to mitigate the risk of conflict of interest, any employee who has update/modify

capabilities to data, where those capabilities may result in a conflict of interest, must obtain authorization from the appropriate data custodian. The data custodian is authorized to grant employee access based on job responsibility.

**2.35.1.1.8 Emergency Notification** *[Recommended by Administrative Council 02.12.13; approved by Board of Regents 03.11.13]*

- A. **Purpose:** The purpose of this policy is to establish a consistent method for collecting and maintaining contact information, delineate responsibilities of specific university offices, and provide guidance for the use of collected contact/notification information.
- B. **Scope:** This policy applies throughout the NMSU System.
- C. **Policy Administrator:** The administrator of this policy is the associate vice president for information technology. The university's Emergency Planning Committee, established by the NMSU President, will also serve as an advisory body to the associate vice president for information technology, as needed for implementation and day-to-day management of this policy.
- D. **Policy:** Students, faculty, and staff within the NMSU System are required to provide emergency notification information to the university that shall be used to contact them in the event of an emergency.
  - 1. At their discretion, students, faculty and staff may also provide emergency contact information.
  - 2. Both emergency notification information and emergency contact information shall be collected via university central administrative systems.
  - 3. Official NMSU email shall be used as one method of contact.
  - 4. Depending on the availability of notification/contact information, additional communication methods, such as text messaging and cellular phone calls, shall be employed.
  - 5. Emergency contact/notification information provided to NMSU shall be used only by designated offices for notification of emergencies or for testing of the emergency notification system(s).
- E. **Procedures:**
  - 1. **Types of Information Collected:**
    - a. **Emergency Notification Information:** This information is used for mass notifications sent to the NMSU community. Examples of the use of this type of information include: tornado warning, active shooter alert, chemical release notice, etc.
    - b. **Emergency Contact Information:** This information is used to contact next of kin or others in case of a personal emergency. Examples for the use of this type of information include: illness, accident, etc., such as when the student/employee is unable to communicate to emergency personnel.
  - 2. **Collection of Information:**
    - a. **Emergency Notification Information:** Students, faculty, and staff have control over their emergency notification information, and shall be responsible for updating their information in the university's central administrative systems. When a new employee or student establishes a NMSU username, she/he shall be required to provide an email address and phone number. In addition, other optional contact information, such as text and cellular numbers, shall be requested.
    - b. **Maintenance of Emergency Notification Data:** NMSU is responsible for controlling emergency contact information. NMSU shall grant access to the data to select offices, including campus presidents, the Office of Information and Communication

Technologies, and agents of the university contracted to provide emergency notification services. Written agreements regarding confidentiality of the data and limitations on use shall be maintained by the NMSU Central Procurement and Risk Management Administration for any contracted services.

3. Mass Emergency Notifications:
  - a. An emergency notification of students, staff, and faculty may be initiated when the following criteria are met:
    - i. There is a major incident or threat affecting the safety of the NMSU community
    - ii. The emergency notification can help alleviate threats to others or shall otherwise improve public safety
    - iii. The emergency notification will not adversely impact public safety
  - b. The contents of emergency messages will vary depending on the circumstances of each incident. The following are examples of items that might be contained in a message:
    - i. Statement that an emergency situation exists
    - ii. Location of the emergency
    - iii. Nature of the emergency (e.g., fire, explosion, shooting, tornado, flood, etc.)
    - iv. Guidance on actions to be taken
  - c. Authorized NMSU personnel shall:
    - i. Make a determination regarding the notification method (e.g., text message, phone calls, e-mail, etc.) based on the circumstances of the incident and
    - ii. Initiate the notifications.
    - iii. After an emergency notification has been made, additional information shall be posted on the university website.
4. Communication with those Identified as Emergency Contacts:
  - a. University officials shall use Emergency Contact information to contact in case of a personal emergency. Examples for the use of this type of information include: illness, accident, etc., such as when the student/employee is unable to communicate to emergency personnel.

**2.35.1.1.9 Telephone Equipment Use** (See also Policy [2.35.1.34 Mobile Communication Device Usage Policy](#))

- A. Purpose: This policy specifies the appropriate use of university telephones, pagers, fax machines and telephone credit cards.
- B. Policy: University desk telephones, cell or mobile telephones, pagers, fax machines, and telephone credit cards shall be used for NMSU business purposes: deans, department heads, directors and other administrative officers shall be responsible for the fiscal management of telephone related expenditures.
  1. In the event that it is necessary to make a personal long distance call, the call shall be charged to an employee's personal credit card or home phone whenever possible.
  2. If a personal long distance call or fax is charged to a university desk phone, fax machine, pager or credit card, the employee shall identify that the call is personal in nature on the monthly statements sent from telecommunication and networking services and shall reimburse the university for such calls. Employees are required to sign monthly certifications stating that all calls not reimbursed are business related.
  3. Management shall periodically review personal calls of each employee to verify that the employee reimburses the university for personal calls.



## 2.35.1.2 SECURITY POLICIES

### 2.35.1.2.1 NMSU Password Maintenance

- A. Purpose: This policy specifies the requirements for passwords that are used to access university computer systems.
- B. Policy: Passwords used to access university systems shall:
  - 1. Be selected in such a way that the password cannot be guessed or reverse engineered.
  - 2. Not be any word found in an English language dictionary, names of people, etc.
  - 3. Be selected using accepted industry standard techniques.
  - 4. Be a mixture of characters and numbers and at least 6 characters in length.
  - 5. Be changed every 120 days and not reused.

All systems that support password aging and password selection are required to have these features enabled.

- C. Confidentiality of Passwords: Passwords for individually assigned user and administrator accounts should never be shared with any other person including a supervisor. This excludes system passwords which are used by technical staff to maintain an application, database, server, router, firewall or other network components. Requests for employees to share their password with others should be reported to the ICT security officer.

In instances where shared administrative accounts are required due to system design or system limitations, shared passwords are permitted with approval of the appropriate data custodian and ICT chief security officer.

### 2.35.1.2.2 Computer Virus Scan Software

- A. Purpose: This policy specifies the requirements for virus scan software installed on NMSU network-connected desktop/laptop computers and other portable computing devices.
- B. Policy: Any desktop/laptop computer or other portable computing device connected to NMSU network infrastructure shall have operational antivirus software installed and updated as appropriate. Where appropriate, servers using network infrastructure should have operational antivirus software installed and updated.

Computers failing to comply with this policy shall be subject to the loss of network privileges. See Network Disconnection Policy and Security Tips at [ICT Security](#).

### 2.35.1.2.3 NMSU Institutional Data Security *[Amendment adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09]*

- A. Purpose: This policy provides for the secure management of NMSU institutional data.
- B. Policy:
  - 1. **Definition of Institutional Data**: Institutional data is defined as all information, documents and other data, regardless of physical form or location that is used, created, received, maintained or held by or on behalf of NMSU in the course of university business.
  - 2. **Authorized Access to Institutional Data**: Access to, distribution and/or any other use of institutional data is based on an employee's position and duties. Such access shall be granted and monitored through the employee's supervisor by the appropriate records custodian and

the appropriate vice president, dean or director. All employees shall comply with applicable federal and state laws, including FERPA, GLBA, and HIPAA, as well as with applicable university policies relating to the secure access, maintenance, distribution, storage or other use of institutional data. (*See also Policy [2.90 University Records](#)*)

- a. Transmission of university data to other persons or entities affiliated with NMSU, such as third party vendors, must have prior approval by the appropriate vp/dean/director and the appropriate records custodian.
  - b. Employees shall not transfer their authority for access to institutional data to any person.
  - c. Employees with access to institutional data shall not access, distribute or otherwise use such information for any purpose other than those required to perform their job duties. (*See Policy [2.90.40 Inspection of Public University Records](#) for distinct procedures available to request public institutional information in one's personal capacity.*)
- C. Non-Disclosure Notification Form: All employees authorized to access NMSU central computer systems, including but not limited to Banner and COGNOS, shall be given and shall sign a Non-Disclosure of Sensitive/Confidential Information Employee Notification form. A copy of this form is available at [Administration Non Disclosure](#). The lack of a signed Non-Disclosure form shall not relieve the employee of the responsibility to comply with applicable state and federal law and NMSU policies relating to the secure access, maintenance, distribution, storage or other use of institutional data. (*See also Policy [2.90 University Records](#)*)
- D. Information Stored on Desktop Computers and Portable Computing Devices: Users with access to institutional data shall maintain reasonable measures to ensure the security of the data. The following requirements must be observed:
1. Institutional data shall only be stored on university-owned computers or on computers owned by contractors to the university.
  2. Institutional data must be removed from computing devices when the data is no longer required.
  3. Regular backups shall be performed on computing devices that store university data.
  4. Institutional data should be encrypted on computing devices that store university data.
  5. Institutional data shall not be stored on removable media unless approved by the appropriate data custodian.
- E. Information Security on Desktop and Portable Computing Devices: All desktop computers and portable computing devices that hold institutional data, including university-owned devices used at home, shall:
1. Have automatic updates enabled to the operating system and virus protection as appropriate.
  2. Require a password for access when started or rebooted.
  3. Use a password-protected screen saver that locks access when unattended.
  4. Not run file sharing software, in particular software that allows the sharing of music and videos.
- F. Information Security on Servers: All servers on which university-owned data are maintained shall follow existing university policy. Servers shall also:
1. Have automatic updates enabled.
  2. Have a trained, full-time employee assigned as the primary system administrator of the server. Students and temporary staff shall not be the primary contact for the server.
  3. Reside on a physically separate subnet than that of desktop computers.

4. Have all unnecessary services turned off and/or removed from the server.
5. Have backups of data, operating system and applications performed regularly. The backup media should be stored offsite in a secure storage area.
6. Have a firewall enabled.
7. Not be used as a desktop or personal computer.
8. Use a web browser only for the download/update of software.

#### **2.35.1.2.4 NMSU Server Administration and Operation**

- A. Purpose: This policy addresses servers connected to the NMSU network. It specifies who is eligible for accounts, security maintenance requirements and the policy for reporting server break-ins.
- B. Policy: Account eligibility and account maintenance: Account maintenance shall be in accordance with university policies and procedures. In general, computer accounts are limited to NMSU faculty, staff, and students. Other accounts used to facilitate official NMSU efforts are permitted and shall be limited to those services needed to assist the institution. Accounts should not be provided to family, friends, or other non-NMSU affiliates.

Access to the server should be limited to those computers (clients) that need access to the available services on the server. The server system administrator shall make efforts to restrict other access. Unused services shall be removed from the machine. The sharing of disk drives shall be limited to those clients who require access. Those sharing the disk are required to ensure the disk is password protected and does not violate copyright laws by exporting vendor software.

- C. Security: Employees responsible for any computer classified as a server shall make every effort to ensure that the server is not compromised by internal and external malicious activity by:
  1. Regularly updating the server operating system as updates become available.
  2. Updating the server with all known security patches.
  3. Regularly performing account audits.
  4. Regularly performing access control reviews.
  5. Regularly performing a review of services provided by the server.

The server system-administrator is responsible for reporting any security-related incident to the ICT chief security officer.

The department that owns the server is responsible for 1) performing any audits required by information & communication technologies, NMSU, or other legal authorities and 2) bearing the costs of server administration tasks.

#### **2.35.1.2.5 Computer Operating System Critical Updates**

- A. Purpose: This policy details the requirements for critical updates to university network-connected computers.
- B. Policy: All computers using NMSU network infrastructure are required to have all applicable critical updates applied within 10 days of their release. It is the responsibility of the computer owner to ensure that all critical updates are applied to the computer's operating system except when the update and the applications that reside on the server are in conflict. Also see security tips at: Security Tips.

### 2.35.1.3 ICT ADMINISTRATION POLICIES

#### 2.35.1.3.1 Acquisition of Software Systems

- A. Purpose: This policy specifies the approval requirements for the purchase of software systems that interact with university data.
- B. Policy: The acquisition of any software system that interacts with university data or has enterprise-wide impact requires approval by the appropriate university data custodian(s), Office of Purchasing and Materials Management and the university's central computing department, ICT. Failure to do so shall result in one of the following:
  1. Delay of the software system's implementation and integration with the university's central systems
  2. Postponement of related technology project
  3. Exclusion of the system from connectivity to university systems and dataPractices such as "vendor exercising," which is the practice of inviting vendors to demonstrate their products prior to Office of Purchasing and Materials Management involvement in the product's purchase, violate NMSU purchasing guidelines and are prohibited.
- C. Process: The acquisition and implementation of software systems policy process, Security Guidelines, details the software systems evaluation, notification of potential software systems acquisition, and the acquisition approval process.

#### 2.35.1.3.2 NMSU Records Access

- A. Purpose: This policy specifies the requirements for accessing computer data logs.
- B. Policy: Access to computer data logs is restricted. Access to these logs shall be granted with written approval of university president/chancellor, provost, general counsel, human resources, internal audit department or law enforcement.

#### 2.35.1.3.3 Caller ID

- A. Purpose: This policy defines the caller id policy in effect at the NMSU Las Cruces campus and Alamogordo campus telephone systems. Caller identification information is deployed for both incoming and outgoing calls.
- B. Policy: It is the policy of NMSU to share caller identification information with national telecommunications infrastructure. Telephone numbers that are listed as "private" on NMSU's telephone system shall be registered as "blocked" with external carriers. Caller identification information on all "unblocked" numbers shall be shared.

#### 2.35.1.3.4 Mobile Communication Device Usage

- A. Purpose: This policy addresses the use of mobile communication devices for business purposes; and methods for making communication devices available to employees.
- B. Policy: NMSU provides mobile communication devices to employees who have on-call responsibilities. All other employees who are required to use a mobile communication device to perform bona fide job duties shall use their personal mobile communication device. NMSU provides a monetary allowance to employees for the use of personal communication devices.
- C. Acquiring a Mobile Device:
  1. University owned mobile devices:

A department may purchase and own mobile devices that may be loaned temporarily to individual employees. The mobile device is university property and shall be used by the employee for university business purposes only.

This option is limited to personnel whose responsibilities require them to assume on-call responsibilities as part of the job requirements. This is also available to departments utilizing the service for limited, job specific purposes. To qualify under the on-call provision, the mobile communication device is assigned to the employee only during on-call periods. *No NMSU employee shall be issued a university owned mobile device and service on a permanent basis.* The department and the on-call employee(s) must substantiate all business related usage by signing certification of the monthly bill provided by ICT. Personal use of a university owned device is strictly prohibited.

2. Employee owned mobile devices:

Allowances paid to the employee are considered taxable compensation and, accordingly, are subject to required tax withholdings. Allowance payments are not subject to retirement deductions. A department may elect to provide a monthly allowance to cover employee's mobile communication device expenses.

- D. Infrequent Use of Mobile Communication Devices for Business Purposes: If an employee's job duties do not necessitate the need for a mobile communication device, then the employee is not eligible for an allowance to cover such expenses. Employees not eligible for an allowance can request reimbursement of business calls incurred on their personal device provided that the reimbursement for per-minute charges is limited to the total overage charge indicated on the invoice.
- E. Fees for Contract Cancellation: If the university cancels or changes its requirement that an employee use his/her personal mobile communication device for university-related job duties, and the cancellation or change results in additional fees or penalties levied by the employee's communication service provider, then the university shall reimburse the employee for any resulting fees or penalties imposed on the employee by the service provider.
- F. Departmental Responsibilities: The dean, director, or department head is responsible for:
1. Determining if an employee's job duties necessitate the need for a mobile communication device;
  2. Determining the source of funding;
  3. If an allowance is provided, determining the appropriate monthly allowance plan based on business need; and
  4. If an allowance is provided, completing the necessary forms to document approval. Detailed information can be found at [ICT Guidelines](#).

For university owned devices, the department is responsible for establishing a check-out system to be used during on-call periods.

G. Employee Responsibilities:

1. University Owned Devices:
  - a. Ensuring the device is used for business only;
  - b. Ensuring the device is protected from damage and unauthorized use;
  - c. Ensuring the device is returned to the university when expected (based on departmental check in/out or rotation procedures).
2. Employee Owned Devices:
  - a. Providing the department with current contact information or address of the

- communication device within three days of activation;
- b. Providing notification to the department within three (3) days of inactivation. An employee is prohibited from receiving an allowance when the device is no longer active or needed; and
- c. Responsible for all contract terms and payments to service provider.

#### **2.35.1.3.5 High Speed Data Connectivity in Employee's Home** *[Recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Purpose: To prohibit, absent special, extenuating circumstances for the benefit of NMSU, the provision/reimbursement of home internet service (high speed data connectivity).
- B. Scope: This policy applies to all NMSU employees throughout the NMSU system.
- C. Policy Administrator: The deans, vice presidents or equivalent administrators for the various NMSU entities will assist the Office of Information and Communications Technologies (ICT) with the administration and enforcement of this policy.
- D. Policy Statement: NMSU shall not provide faculty or staff employees with funding for home internet service. In situations with special, extenuating circumstances, an NMSU employee may request an exception to this policy.
- E. Procedural Guidelines for Requesting an Exception:
  - 1. The employee shall, in writing, request to his/her supervisor for an exception to this policy. The exception shall document the details on the extenuating circumstances in which regular and routine/critical functions are required to perform work from home. Approval must also be obtained by the appropriate unit dean/vice president and the provost/executive vice president.
  - 2. Upon administrative approval for the funding of home internet service, ICT and the employee shall coordinate regarding obtaining home internet service. The employee will be responsible for the home internet service contract. The employee is responsible for notifying NMSU of any reductions or elimination of reimbursed home internet service.
  - 3. Funding provided to an employee for home internet service is considered taxable compensation and, accordingly, are subject to required tax withholdings.

#### **2.35.1.3.6 Bandwidth Management**

- A. Purpose: This policy ensures that adequate bandwidth is available for official university use as overseen by NMSU's Information Technology governing bodies.
- B. Policy: NMSU limits aggregate bandwidth for applications associated with peer-to-peer file sharing depending on bandwidth availability.

NMSU shall not eliminate the use of peer-to-peer file sharing programs on the network, nor monitor the content of file sharing programs, unless mandated by law.

#### **2.35.1.3.7 Network Connection**

- A. Purpose: Connections of devices to the NMSU institutional network are controlled to prevent disruption of service or loss of institutional or personal data.
- B. Policy: ICT is responsible for the design, installation, and operation of the NMSU's institutional network. This network includes all voice, video, and data connections. All devices connected to the institutional network must comply with requirements published in university policies. Devices

not in compliance, or which disrupt other network clients, may be disconnected. To insure compliance with current policies and regulations, all network wiring, related components and installation must be approved by ICT. Installations that do not comply with published requirements are not authorized to be connected to the institutional network.

**Network Disconnection** Any networked device that compromises or critically impacts the NMSU network shall be immediately disconnected from the network until such time that the cause of the compromise or impact is rectified. If a networked device is identified as potentially harmful to NMSU's network, the device owner shall be notified to take corrective action to ensure that the NMSU network shall not be impacted. If corrective action is not taken, the network device shall be disconnected from the network.

In addition, any networked device that is not operating with updated virus scanning software, up-to-date critical operating system updates, or other software necessary to protect the NMSU network, may also be disconnected from the network.

**Data Network Device Registration** All devices connected to NMSU-Net must be registered with the netreg.nmsu.edu. Devices that are not registered shall be disconnected. This includes all devices such as printers, servers, workstations, and other devices.

Entities and devices belonging to entities that connect to the NMSU network (NMSU-Net) and are not governed by the Board of Regents of New Mexico State University (NMSU) shall be considered guest connections.

NMSU reserves the right to impose a fee on any and all users, including guest connections. If required by either the ISPs or by action of the NMSU Administration. Advance notification shall be given to those affected.

#### **2.35.1.3.8 NMSU Wireless Network**

- A. **Purpose:** This policy insures the continued safety and usability of the wireless network infrastructure at NMSU.
- B. **Policy:** Individuals and departments shall not independently deploy wireless networking equipment on NMSU wireless network infrastructure without approval by ICT's telecommunication and Networking services division. Any wireless networking equipment independently installed without prior approval shall be subject to disconnection/removal without notice.

Installation, engineering, maintenance, and operation of wireless networks serving NMSU faculty, staff, or students, on any property owned or tenanted by NMSU, are the sole responsibility of ICT's telecommunication and networking services.

#### **2.35.1.3.9 Alarm Systems**

- A. **Purpose:** This policy establishes the guidelines for alarm systems in use at the university.
- B. **Policy:** ICT and the university police are jointly charged with establishing and maintaining intrusion alarms, panic alarms, or personal safety alarms on the campus in accordance with the following guidelines:
  - 1. All alarms shall utilize a standardized system.
  - 2. All intrusion, panic and personal safety alarms shall report to the police department.
  - 3. A reasonable fee shall be charged for monitoring alarms and for responding to false alarms.

All alarms installed on the NMSU campus after July 1, 1999 shall comply with these requirements.

## 2.36 **Payment Card Industry Data Security** *[New Policy recommended by Administrative Council 12.13.11; approved by Board of Regents 01.30.12]*

- A. **Purpose/Rationale:** To protect the security of payment cardholder information, in compliance with applicable payment card industry data security standards. Because some NMSU entities transmit, store, or process payment cardholder information, the university is considered to be a payment card processing merchant, and, as such, must comply with the Payment Card Industry Data Security Standard (PCI DSS). The following policy has been established to meet the requirements of the PCI DSS.
- B. **Scope:** This policy covers all NMSU entities and contractors to NMSU that process, store, or transmit payment card data at NMSU, as well as those that oversee the technology used to process payment card transactions and that have oversight over those transactions. In addition, the policy covers the entities and individuals who are responsible for training personnel who process, store, or transmit payment card data.
- C. **Policy Administrator:** This policy is administered jointly by the NMSU departments of Treasury Services and Information and Communications Technologies, who shall work with the various merchant departments and others to ensure compliance with the applicable regulations relating to the security of payment cardholder information.
- D. **Definitions:**
1. **Payment Card:** “Payment Card” typically refers to a credit card or debit card used to purchase goods or services.
  2. **Merchant Department:** “Merchant Department” is any NMSU entity or contractor to NMSU that accepts, processes, or stores payment card data.
  3. **PCI DSS:** “PCI DSS” means Payment Card Industry Data Security Standards.
  4. **Cardholder Data:** “Cardholder Data” means any data that can be used to identify a payment cardholder.
- E. **Payment Card Data Security Requirements:** The payment card industry data security duties and responsibilities required of NMSU merchant departments include network, data and physical-access security, as well as merchant training, compliance reviews and reporting. A list of specific and current duties and responsibilities of merchant departments, which may be amended by the Payment Card Industry from time to time, can be found at [pcisecuritystandards.org](http://pcisecuritystandards.org).
- F. **NMSU Roles and Responsibilities:** NMSU requires that the appropriate security and control measures are in place to ensure the security of payment cardholder information. The following defines the requirements of the various departments who are charged with the security of cardholder information.
1. **Treasury Services:** Treasury Services shall:
    - a. Coordinate monthly third party scans of computers used by departments for merchant payment card processing and notify ICT of any failures for ICT follow-up;
    - b. Conduct annual evaluation of the cardholder information handling procedures and processes used by each of the university’s merchant departments;
    - c. Review each merchant department’s yearly training logs;
    - d. Distribute and review training courseware and materials to merchant departments;
    - e. Review each merchant department’s payment card procedures to assure PCI DSS compliance;
    - f. Oversee new payment card merchant account requests;
    - g. Review with Information and Communication Technologies (ICT) personnel new cardholder technologies in use at NMSU;
    - h. When a payment card data breach is discovered, coordinate corrective action and reporting with relevant merchant department, Administration and Finance, and ICT;



- i. Conduct biannual review of Payment Card Industry DSS Compliance Policy with ICT.
2. Information and Communication Technology (ICT): ICT shall:
    - a. Maintain central servers and networks and associated hardware that process, store or transmit cardholder data;
    - b. Verify that all controls, such as firewalls and encryption technologies are in place, up-to-date and functioning;
    - c. Conduct biannual review of Payment Card Industry DSS Compliance Policy with Treasury Services;
    - d. Review and approve any changes in technology that impact payment card processing, storage or data transmission;
    - e. Conduct annual on-site department reviews of each merchant department's logical security of cardholder data;
    - f. Review failures identified in monthly third-party scans and take corrective action;
    - g. In conjunction with Treasury Services, conduct biannual review of Payment Card Industry DSS Compliance Policy.
  3. Merchant Department: The merchant department shall:
    - a. Follow procedures for handling cardholder information in compliance with university policy 2.90.30 Protection of Non-public, Personal Information;
    - b. Administer new payment card merchant account applications and implementation;
    - c. Ensure that the facilities where cardholder data is stored or processed are protected from unauthorized entry;
    - d. Ensure the physical destruction of cardholder data once it is no longer needed;
    - e. Ensure that personnel who handle cardholder information receive PCI DSS training as directed by Treasury Services;
    - f. Ensure only authorized and appropriately trained personnel handle cardholder information;
    - g. Ensure that devices on which payment card data is processed are not used for any other purpose;
    - h. Complete annual departmental PCI DSS compliance assessment and submit to Treasury Services;
    - i. Notify Treasury Services of any breach in payment card data security;
    - j. Notify Treasury Services of any change to payment card processing devices;
    - k. If the merchant department is a contractor to NMSU, then it is the department's responsibility to confirm that any entity, through which the merchant department accepts, processes, or stores payment card data, is PCI DSS compliant. The department shall inform ICT and Treasury Services of contractor PCI DSS compliance in such an event.
  4. Associate vice president budget/controller: The associate vice president budget/controller shall approve all merchant payment card processing applications and merchant processing locations.

## **2.37 Investments**

Investments shall be made by the senior vice president for finance and administration, assistant vice president, associate vice president budget/controller and director of treasury services. These will be reviewed with the president of the university on a regular basis, at least semi-annually.

- A. Statement of Policy: This policy will apply to all cash balances of the university, with the sole exception of those cash balances associated with the university's Endowment Funds, which are invested under a revocable trust agreement by the NMSU Foundation, Inc.

The policy is designed to govern all investment transactions for the prudent investment of cash balances, and to maximize the efficiency of the university's cash management system. The goal of the policy is to protect funds by investing such funds in a manner, which provides for the safety of principal and adequate liquidity, while maximizing investment income.

Cash balances of the university may be held in interest and non-interest bearing demand and interest-bearing time deposits of financial institutions, or invested in securities and/or other financial instruments which, under the direction of the Board of Regents, are considered to be relatively safe. The Board of Regents has the authority to make investment decisions in the best interests of the university. As such, investment decisions will be made with due care and judgment, taking into consideration principal preservation in addition to income maximization, and not for speculative purposes.

- B. Return on Investment: Except for non-discretionary funds defined below, the goal of the university's investment program is to achieve a rate of return on investments at least equal to the average rate of return on the one-year U.S. Treasury bill for the reporting period, or other appropriate performance measures as determined by the senior vice president for finance and administration.

Returns on non-discretionary funds shall be reasonable and consistent with the investment objectives, external constraints and cash flow characteristics of the specific funds.

- C. Ethics and Conflicts of Interest: Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair the ability to make impartial investment decisions.

- D. Legal Restrictions: The Board of Regents is granted authority under state statute to manage the investment of its cash balances. Within the university, the senior vice president for administration and finance has been authorized to make investment decisions. Investments shall be made in such a prudent manner as to ensure a reasonable yield with a minimum risk, in compliance with this policy.

- E. Permitted Investments: Cash balances of the university may be held in interest and non-interest bearing demand and time deposits of financial institutions or invested in securities and/or other financial instruments which are not contrary to Section 6-8-10, NMSA 1978, existing bond covenants or any other externally placed restrictions. Under these restrictions, authority is granted to invest cash balances not required for immediate disbursement, including non-discretionary bond proceeds, in specific types of money market instruments as follows:

1. Direct obligations of, or obligations the principal of and interest on which are unconditionally guaranteed by, the United States of America; or certificates or receipts established by the United States Government or its agencies or instrumentalities representing direct ownership of future interests or principal payments on direct obligations of, or obligations fully guaranteed by, the United States of America or any of its agencies and instrumentalities, the obligations of which are backed by the full faith and credit the United States.
2. Obligations of, or obligations guaranteed as to principal and interest by, any agency or instrumentally of the United States which are backed by the full faith and credit of the United States, including but not limited to: General Services Administration-participation certificates, Government National Mortgage Association (GNMA)-Guaranteed mortgage-backed securities and GNMA-guaranteed participation certificates, U.S. Department of Housing & Urban Development-local authority bonds, and U.S. Export-Import Bank-fully guaranteed obligations.
3. Accounts with banks and savings and loan associations or branch institutions located in New Mexico, provided that the banks and savings and loan associations, and the collateral securing the investment permitted by the section, satisfy the requirements for the deposit of public money required by applicable state guidelines.
4. Bonds of negotiable securities of the State of New Mexico or of any agency or political subdivision or school district thereof which has a taxable valuation of real property for the last year of at least one million dollars and has not defaulted in the payment of interest or sinking fund obligations or failed to pay any bonds at maturity at any time within five years preceding the date of investment.
5. U.S. Treasury generic STRIPS (Separate Trading of Registered Interest and Principal), which

are direct obligations of the U.S. Treasury department. U.S. Treasury generic STRIPS represent government securities sold at a true discount, as opposed to synthetic or mortgage-backed STRIPS sold through brokerage houses, wherein principal payments are separated from interest payments by a trust fiduciary, creating principal-only and interest-only securities.

6. The short-term investment fund described in Section 6-10-10.1, NMSA 1978, or other similar pooled fund maintained by the State of New Mexico for the investment of public funds of the local public bodies of the state.
  7. Repurchase agreements involving the purchase and sale of securities and guaranteed investment contracts with a bank, savings and loan association or credit union, or alternatively, a brokerage firm or recognized institutional investor having a net worth in excess of \$500 million, the par value of which is collateralized by the perfected first pledge of, or security interest in, or the payments of which are unconditionally guaranteed by, obligations of the type set forth in paragraph 1, 2 or 5 of this section, which collateral is held by the university, or for the benefit of the repurchase agreement, with a collateralized value of at least 102% of the par value of such repurchase agreement or guaranteed investment contract or 102% of the market value thereof, valued at intervals of no less than monthly and which collateral is not subject to any other pledge or security interest.
  8. Obligations of the following government-sponsored agencies: Federal Home Loan Mortgage Corporation participation certificates and senior debt obligations; Farm Credit System (formerly: Federal Land Banks for Cooperatives) consolidated system wide bonds and notes; Federal Home Loan Banks consolidated debt obligations; Federal National Mortgage Association senior debt obligations and mortgage-backed securities (excluding stripped mortgage securities which are valued greater than par on the portion of unpaid principal); Student Loan Marketing Association senior debt obligations (excluding securities that do not have a fixed par value and/or whose terms do not promise a fixed dollar amount at maturity or call date) and letter of credit backed issues; Financing Corporation debt obligations; and Resolution Funding Corporation debt obligations, including REFCORP STRIPS (Stripped by the Federal Reserve of New York).
  9. Money market instruments and other securities of commercial banks, broker-dealers or recognized financial institutions, which securities or institutions are rated in the highest Rating Category by any nationally recognized rating agency or which securities are guaranteed by a person or entity whose long-term debt obligations are rated in the highest rating category by any nationally recognized rating agency, including, without limitation, securities of, or other interests in, any open-end or closed-end management type investment company or investment trust registered under the provisions of 15 U.S.C. Sections 80(a)-1 et. seq., which invest only in, or whose securities are secured only by, obligations of the type set forth in paragraph 1, 2 or 5 of this section.
  10. Certificates of deposit, time deposits and bankers acceptances of any bank or savings and loan association located outside of New Mexico, the short-term obligations of which are rated in any of the three highest rating categories by any nationally recognized rating agency, provided that such deposits must be fully secured by obligations of the type set forth in paragraph 1, 2 or 5 of this section and held in safe-keeping for, or on behalf of, or held in book-entry form in the name of, the university.
- F. Non-discretionary Funds: For the purposes of this policy, non-discretionary funds are defined as those funds, which are externally-restricted to specific types of investments. Non-discretionary funds include, but are not limited to: bond proceeds; endowments managed by the university; and other sponsored project or gift funds with specific investment requirements.

Notwithstanding any other provision of law to the contrary, proceeds of bonds and other securities of the university and amounts set aside by the university in a project acquisition fund, sinking fund or otherwise for payment of university bonds or other securities or in a reverse fund related thereto may, where allowable, in addition to the aforementioned securities, also be invested in:

1. Obligations, the interest on which is excluded from gross income of the recipient for federal

tax purposes and any other instrument which does not constitute investment property under section 148 of the Internal Revenue Code, as amended from time to time, which is rated any of its three highest major Rating Categories by any nationally recognized rating agency.

2. Any other investment specifically permitted by bond resolution authorizing the issuance of the bonds or other securities or set forth in a resolution, escrow agreement or trust agreement, approved by the Board of Regents, relating to the bonds or other securities.

All non-discretionary funds will be invested in compliance with accepted external restrictions.

- G. Investment Management Duties: Responsibility for the day-to-day management of the university's investment program is delegated through the senior vice president for administration and finance to the treasury services department of that unit. The director of treasury services shall act as the investment manager for the university.

The primary investment management duties assigned to this position are:

1. Preparing cash flow projections and structuring the university's investment portfolio to meet liquidity requirements.
  2. The ongoing management of the university's investment portfolio, including all purchases, sales and trading activities. This will encompass responsibilities for the timely deposit and safekeeping of all cash balances of the university, and the direct responsibility for placing specific investments with financial institutions in accordance with this policy.
  3. Recommending investment guidelines to the senior vice president for administration and finance and designees, including recommended investment maturities.
  4. Presenting short-term investment recommendations for new monies to the Associate vice president budget/controller.
  5. The preparation and presentation of a comprehensive set of reports designed to keep the senior vice president for administration and finance and designee fully apprised of all investment transactions and current status of the university's investment portfolio.
  6. Maintaining a system of internal controls to guarantee the integrity and security of the university's investment portfolio and cash balances, which shall be reviewed by university's administration and independent auditors on an annual basis.
- H. Selection of Appropriate Investments: Individual investments are selected to meet anticipated cash requirements and provide adequate liquidity to meet university obligations. Within these cash flow considerations, the investment manager will select those securities, which will best meet the university's portfolio objective. The investment manager will continually analyze the risk/reward relationships existing in the marketplace with particular emphasis given to the following factors when selecting a specific security for inclusion in the university's portfolio.
1. Relative Yield-to-Maturity: comparison of return available from alternate investment media for comparable maturity dates.
  2. Marketability: analysis of relative marketability of alternate investments in case of forced sale and/or possibility of future trade.
  3. Intermarket Yield Analysis: analyze the spread relationship between sectors of the market, i.e., Treasury Bill vs. Discount Notes, to take advantage of aberration in yield differentials.
  4. Yield Curve Analysis: analyze the slope of the yield curve to determine most attractive maturities for earning maximum return with minimum risk.
  5. General Economic and Interest Rate Outlook: review and analyze current literature on interest rate projections to assist in timing transactions and selecting appropriate maturities.

- I. Maturity Restrictions: Investment maturities for cash balances will be scheduled to coincide with projected cash flow. The university will not commit any discretionary funds to maturities longer than ten years from the date of purchase. Funds will only be committed to maturities longer than five years from the date of purchase if directly related to a specific capital or other long-term project. Investment of non-discretionary funds will reflect maturity dates not to exceed the final maturity dates established within the funds' restrictive purposes. At least 50% of all cash balances will be invested in maturities less than two years.
- J. Diversification: The university will diversify its use of investment instruments to avoid incurring unreasonable risks inherent in over-investing in specific instruments, individual financial institutions or maturities. With the exception of U.S. Treasury securities and authorized pools, no more than 50% of the total investment portfolio will be invested in a single security type or with a single financial institution or at a single maturity.
- K. Trading Securities (Swaps): The university will attempt to take advantage of temporary aberrations in the market by trading securities of comparable quality to further improve the overall rate of return on the portfolio. It is the policy to trade only if both an improvement in yield (pick-up in basis points) and an increase in net monetary return will be realized by the university over the life of the original investment. Three basic trading techniques are used to accomplish this goal:
  1. The Substitution Swap: this technique involves trading in owned security of a certain class *i.e.*, U.S. Treasury Notes, for a comparable security of equal quality, *i.e.*, U.S. Treasury Bills (or other Notes), for a net pick-up yield. The new security is a perfect substitute for the old security in terms of quality, maturity, and marketability.
  2. The Intermarket Spread Swap: this technique takes advantage of the spreads in yield, which exist from, time-to-time between different sectors of the market, *i.e.*, Treasuries vs. Agencies. (An example would be to sell Treasury Bills or Notes and purchase FHLB Discount Notes or debentures of comparable maturity when the spread becomes wider than is considered normal under prevailing market conditions.)
  3. The Maturity Extension Swap: this technique involves lengthening the maturity of owned securities when a normal up sloping yield curve exists to take advantage of higher returns at longer maturities. (In the case of an extreme inverted yield curve, maturities can sometimes be shortened to achieve a net gain.) A yield pickup may be achieved by rolling out the curve within the same class of securities or by intermarket extensions which must be evaluated not only on the relative maturity extension, but also on the relative intermarket spread. Maturity extension swaps are subject to restrictions imposed by cash disbursement requirements.

The investment manager will **not** engage in any other Trading Techniques unless prior written approval is obtained from the senior vice president for administration and finance.

The following criteria are established for evaluating a swap in the university's marketable securities portfolio:

1. On maturities of one year or more, the gain per transaction must be at least \$1,000.00 per million dollars (GPM) invested.
2. On maturities of 90 days to one year, the gain per transaction must be at least \$500.00 per million dollars invested.
3. On maturities of less than 90 days, trade will be made at the discretion of the university's investment manager.

In many yield pickup transactions (particularly when interest rates are rising), a book loss must be recorded at the time of the sale of the owned investment. It is the policy of the university to charge the loss against the interest income account, recognizing that this loss will be fully recovered, and an incremental gain will be earned, over the life of the original investment.

- L. Safekeeping and Collateralization: All investment securities other than local financial institution Certificates of Deposit purchased by the university will be held in the university's name by a

third-party custodian approved by university administration. All transactions will be evidenced by safekeeping receipts.

Deposit-type securities will be collateralized in accordance with the State board of Finance collateral policy.

- M. Authorized Financial Dealers and Institutions: The director of treasury services will maintain a list of financial institutions authorized to provide investment services. No deposit shall be made except in a qualified depository as established by the Board of Regents. In addition, a list will be maintained of approved security broker/dealers selected by credit-worthiness. These may include primary dealers or regional dealers that qualify under Securities & Exchange Commission Rule 15C3-1 (uniform, net capital rule).

An annual review of the financial condition and registrations of qualified dealers and institutions will be conducted by the director of treasury services. A current audited financial statement is required to be on file for each financial institution and broker/dealer with which the university deposits and invests monies.

The university will give first preference to investment with local dealers and institutions within the guidelines of this policy. Investment with out-of-state dealers and institutions will require prior approval of the senior vice president for administration and finance or and designees.

- N. Case Pools and Interest Allocation: Except as noted below, the investments of the university (including amounts held in interest-bearing demand and time deposits) are pooled in order to determine a weighted average monthly interest earnings rate. In order to compute this rate, all such investment earnings are accrued monthly, including amortizing premiums and crediting discounts on short and long-term investments.

The monthly earning on these pooled investments are allocated to various university accounts in accordance with externally mandated requirements (*i.e.*, bond resolutions) and other internal designations. Nothing herein shall prohibit separation of bond proceeds, reserve funds, or other non-discretionary funds from the pooled investment fund. The senior vice president for administration and finance approves all such internal designations. The allocation is based upon the average monthly cash balance in each of these university accounts, with the remaining balance of the pooled earnings being allocated to unrestricted current funds.

Under this method, all of these designated university accounts (other than current unrestricted funds) will be presumed to have 100% of their cash balances invested in the pooled investment account, unless the senior vice president for administration and finance determines that lesser percentage is to be utilized for a given account(s).

At the discretion of the senior vice president for administration and finance separate investment accounts may be set up at external institutions and utilized to adequately monitor the earning of certain university accounts. These separate accounts are also restricted to investments that are considered relatively safe, as determined by the Board of Regents.

## 2.40 Legal Services

- A. Service of Process on NMSU: The Office of the President shall be the only office authorized to be served with all suits, summonses, garnishments, and other legal documents for the university.
- B. Authority of the President to Initiate or Defend Legal Proceedings: The president is authorized to initiate or defend any legal proceeding involving or affecting the university, the Board of Regents, any administrator, a member of the staff, a member of the faculty, or a member of the student body. The president will seek confirmation of any action taken at the board's next regularly scheduled meeting.
- C. Representation of NMSU Employees Within Course and Scope of Employment: The board authorizes the general counsel to represent all university employees who are defendants in a lawsuit which results from the performance of their duties as employees of the university. It is the

intent of the board that the university represents such defendants in both their individual and professional capacities as long as the general counsel determines that the defendants were acting within their duties and responsibilities as employees of the university. The general counsel will inform the board on a regular basis concerning the actions taken under this policy.

- D. Contract Approval: Official contracts or agreements must have the approval of the general counsel as to form. Contracts and other matters which do not require special consultation with the general counsel prior to approval will be processed by attaching a Contract Approval Form which will be routed to the general counsel.
- E. Access to University General Counsel: Any university employee who wishes to discuss official university business with the general counsel may, with the concurrence of appropriate department head/director and dean/vice president, make an appointment by calling the Office of the General Counsel. The members of the Administrative Council may call the Office of the General Counsel directly to make appointments.

## 2.45 Lobbying

- A. In compliance with Section 310 of Public Law 101-121, it is the policy of the university that no monies shall be used directly or indirectly to influence any member of the federal legislative or executive branches unless in strict compliance with the exceptions of that public law and the regulations issued there under.
- B. No employee of the university, agent of the university, or paid lobbyist shall contact any employee or officer of the federal, state, or local governments for the purpose of influencing that employee or officer without complying with this policy.
- C. The vice president for research is directed to be the sole individual responsible for assuring the compliance with this policy. The vice president for research may designate one or more individuals to act in the absence of the vice president for research, in order to assure continuity.

## 2.50 Naming University Property and Academic Units *[Amendments recommended by Administrative Council 12.13.11; approved by Board of Regents 01.30.12]*

- A. Purpose/General Policies regarding Naming: The primary purpose of this policy is to ensure uniformity in the university naming opportunities, as well as to ensure that the university's endowment funds will generate sufficient fund distributions for their designated purposes. This policy provides donors the opportunity to link their philanthropic interests with enduring recognition for either themselves or others, and allows the university to present donors with quantifiable funding opportunities. University namings will undergo a high level of consideration and due diligence to ensure that names selected reflect the university's purpose and mission. In some instances, honorific naming may be appropriate for those occasions when an individual has provided exemplary, meritorious, or philanthropic support or service to the university. To ensure good donor relations, written agreements will be signed by the university and the donor(s) outlining the terms of naming arrangements. To enhance communication with all university constituents regarding naming policies, this policy and the minimum endowment thresholds will be posted at the appropriate NMSU websites. To help ensure that the university's endowment funds generate sufficient fund distributions for their designated purposes, minimum endowment thresholds will be set upon the recommendation of the NMSU Foundation, upon approval by the NMSU President, after consideration of the recommendations from the Naming Committee and/or the University Administrative Council. For the different types of endowments pertaining to naming and their minimum endowment thresholds, *See New Mexico State University Naming Policy Minimum Thresholds*. Naming opportunities offered to donors are to be coordinated through the Office of University Advancement, to ensure appropriateness of the gift level for the naming opportunity. These policies also address the duration of names as related to the "life of a facility or program" and, in unusual circumstances, the university's right to transfer or to remove a previously approved name.
- B. Scope: This policy applies to the naming of university property and academic units throughout the NMSU system, including developed and undeveloped real property, capital assets, facilities and

other space, as well as academic units.

- C. Policy Administrator: The Office of University Advancement, on behalf of the NMSU President and the Board of Regents, administers this policy to support, coordinate and manage university naming as outlined in this policy. The Naming Committee, chaired by the vice president of university advancement, is recognized as an advisory body that will review and render recommendations, typically through the University Administrative Council, to the NMSU President:

1. Authority of the Naming Committee: The Naming Committee shall review naming proposals and opportunities consistent with this policy and forward its recommendations through its chair to the University Administrative Council, for further action by the NMSU president and/or Board of Regents, as appropriate. The Naming Committee may be tasked to visit with campus representatives and prospective donors about the application of the naming policies.
2. Membership of the Naming Committee: The Naming Committee membership shall consist of the following position appointments:
  - a. Vice President for University Advancement;
  - b. Executive Vice President and Provost;
  - c. Senior Vice President for Administration and Finance;
  - d. Senior Vice President for External Relations and Chief of Staff;
  - e. Chair, Faculty Senate;
  - f. Chair, Employee Council;
  - g. Chair, Campus Planning Committee;
  - h. Academic Deans;
  - i. Vice President of Student Affairs and Enrollment Management.

- D. Definitions:

1. Academic Unit: An academic unit is an NMSU college, department, school, program, center or other academic organizational unit, or part thereof.
2. Endowment: An endowment (also referred to as endowed gift funds) refers to a permanent funding gift held and managed by the NMSU Foundation Inc. on behalf of NMSU to provide income in perpetuity. The principal is invested and a portion of the annual earnings is used for purposes designated by the donor.
3. Facility: NMSU facilities include but are not limited to buildings, rooms or structures; streets or malls; interior spaces and landscapes; and whether existing or yet to be constructed.

- E. Endowment Guidelines: This policy addresses the naming, via endowment, of colleges, departments, major organizational units, including programs as well as lectureships, chairs /professorships, and fellowships/scholarships.

1. Out of respect for the donor, every effort should be made for all references to a named endowment, including but not limited to: publications, internal and external communication, to reflect the recognition name.
2. Normally the donor will have a maximum of five (5) years to meet the minimum funding level requirement, absent rare special circumstances.
3. In the case of deferred gifts, the gift must normally be irrevocable in nature before being eligible for naming.
4. Academic and Major University Units. The funding required for naming academic or other major university units should be of a level that will transform the very nature of the unit involved, enabling that unit to reach a level of excellence that would have been impossible using university funds alone.
  - a. The gift should be in the form of an endowment, with income from the endowment used



- to provide a margin of excellence for the unit involved.
- b. The gift income derived from endowment earnings should not replace university funds previously made available to that unit.
  - c. Endowment levels will vary by school based upon its specific mission and scope that determines needs and programs. Certain units may require a higher minimum than those suggested.
5. **Faculty Positions:** Naming opportunities for endowed faculty positions are available throughout the university. Naming will be independent of all appointment and curriculum decisions which the university will continue to make in keeping with its policies, established practices and academic mission. Distributed earnings may be used to provide partial salary support, and to help fund the faculty member's specific teaching and research requirements, including laboratory equipment, support staff, graduate assistants, research materials and technology.
  6. **Chair:** An endowed chair is a select faculty position filled by an outstanding scholar and teacher, as judged by rigorous nationally accepted standards. Some colleges, schools or departments may require a higher amount of funding, which is often market driven.
  7. **Professorship:** An endowed professorship is typically held by a faculty member whose accomplishments indicate potential for national and international leadership and distinction in their field, and whose current efforts are focused on honing teaching skills and/or establishing a superior record of research or other scholarly activity. Distributed earnings may be used to augment the salary of the professor, as well as to support the faculty member's scholarly and research needs.
  8. **Lecture Series:** An endowed lecture series play an important role in the academic life of the campus. They allow faculty, staff, students, and the larger NMSU community to interact with distinguished leaders who influence disciplines, society, the nation or the world. Because of the intensive planning and implementation required for lecture series, these should be determined in consultation between the Office of University Advancement, departmental administration and the donor. In some instances, it is beneficial to structure biennial lectures and/or link a gift to an existing lecture series. The endowment provides the resources to cover the expenses of bringing renowned speakers to the campus, such as honoraria, publicity, and the expenses of the host faculty members. A named lecture series may be established within a unit or may be campus-wide in nature.
  9. **Fellowships and Assistantships:** Fellowship awards may include a research or teaching assignment if deemed appropriate. Assistantships require students to work in exchange for this support.
    - a. **Graduate Fellowships and Assistantships:** Graduate Fellowships and Assistantships provide a vital means of bringing the best and brightest graduate students to New Mexico State. Students are working toward an advanced degree in any graduate program.
    - b. **Postdoctoral Fellowships.** Recent Ph.D. graduates continue their research agenda for a one to two-year period in a focused environment bringing innovative research to the campus.
  10. **Scholarships:** Scholarships funded through an endowment may be awarded to an undergraduate student, graduate or a professional student on the basis of need, academic merit or a combination of factors.
  11. **Other Named Endowment Opportunities:** Examples of other endowed funds which may be negotiated on a case by case basis include, but are not limited to:
    - a. **Excellence Funds** support a college, school, department, academic discipline, building/ground maintenance or other university program of interest to the donor. Typically, distributed earnings enhance the selected program by supporting enrichment activities above and beyond budgeted expenditures.
    - b. **Teaching, Research or Staff Funds** allow the university to recognize outstanding teaching, service, research, special programs, and staff members. Distributed earnings

may be used as an award and/or to provide enrichment activities above and beyond budgeted expenditures.

- F. Facilities Naming Guidelines: This policy applies to the naming of facilities including buildings and structures, interior spaces, and landscapes.
1. Out of respect for the donor, every effort should be made for all references to a named facility, including but not limited to facilities signage, directional signage, publications, internal and external communications, to reflect the recognition name.
  2. Because of the relative permanence of decisions to name buildings, areas, or spaces, it is prudent to allow reasonable time for consideration at each stage of the process.
  3. **New Facilities**: Naming opportunities involving new facilities must be approved by the NMSU President and the Board of Regents, after consideration of the recommendation from the Naming Committee.
    - a. Naming opportunities offered to donors as part of a capital campaign are to be coordinated through the Office of the Vice President for University Advancement.
    - b. Private fundraising goals will be determined by construction costs, and may include a required endowment for maintenance of the facility.
    - c. Endowment raised will be distributed proportionately among donors of the various naming opportunities.
    - d. Naming opportunities for facilities must be defined and approved prior to the launch of the fundraising effort. The most significant gifts will normally be solicited at the outset of the fundraising campaign, and clarity and consistency with lead donors on the opportunities and policies is essential.
    - e. An initial list of the proposed naming opportunities for any new facility project is to be coordinated through the Office of University Advancement. This list may be revised as planning proceeds and the fundraising plan is developed.
    - f. This initial list of proposed naming opportunities is to include a description of the size and function of all spaces proposed for naming as well as a plan for the display or physical presentation of the names.
    - g. For gifts involving the naming of benches, fountains, display space, or other outdoor structures or areas, the gift must cover the entire cost of the structure or installation and if ongoing operations and maintenance cost will be incurred, an endowment sufficient to cover these costs may also be required.
  4. **Existing Facilities**: Existing facilities as yet unnamed are available to be named for a donor under each of the following situations:
    - a. In cases of major renovations which extend throughout an existing building:
      - i. provided that the donor's gift covers a substantial percentage of the cost of the major renovation and maintenance.
      - ii. what constitutes a major renovation is a matter determined in individual cases by the Vice President for the Office of University Advancement in collaboration with the appropriate college/department administrator.
    - b. In cases where substantial gifts are made by donors to endow programs carried on within those buildings:
      - i. the guideline for endowment would be equal to half the replacement cost of the facility;
      - ii. this matter may be determined in individual cases by the Vice President for the Office of University Advancement in collaboration with the appropriate college/department administrator.
  5. **Portion of a Facility or External Spaces**: Naming a portion of a building or external spaces of the university must be approved by the NMSU President, after consideration of the recommendations from the Naming Committee and/or University Administrative Council.

- a. To name rooms, laboratories, centers, or areas within new or renovated facilities, or external spaces such as entryways or gardens, donors must provide the minimum specified level of gifts including endowment as determined by the Office of University Advancement in collaboration with the appropriate college/department administrator.
  - b. The naming opportunities and levels would be based upon the size, use, and priority of the space.
  - c. Private fundraising goals will be determined by construction costs, and may include an endowment for maintenance of the facility. Endowment will be distributed proportionately among donors of the various naming opportunities.
6. Donor Initiated Projects: From time to time, a prospective donor will propose a gift to fund a project or activity not specifically addressed in this policy, in which case, the following will apply:
- a. If ongoing operations and maintenance costs will be incurred, an endowment sufficient to cover these costs may also be required.
  - b. Such donor initiated gifts are subject to the approval from the NMSU President and the Board of Regents, after consideration of the recommendation from the Naming Committee.
- G. Duration of Naming: As the university grows, so do the space and academic needs of the campus. In order to successfully meet these changing needs, it may become necessary from time to time to relocate, remove or eliminate named facilities or academic units. Should a named property be affected by such changes, the Naming Committee will be convened to discuss and review each issue on a case by case basis.
1. Structure Removal or Modification: The university shall honor a naming for the life of the property, unless otherwise noted in the agreement. In the event a named property or academic unit is removed or modified, the Naming Committee will contact the donor or donor's authorized representative to arrive at a mutually acceptable solution that preserves the history of the gift. Solutions may include (1) the placement of a plaque adjacent to the former site of the facility that memorializes the gift and the facility that used to stand there or, if applicable; (2) the naming of a space in any new structure erected on the site. The university reserves the right to not retain any names assigned to internal portions of a property that is razed.
  2. Name Removal: The university reserves the right to remove a name from any and all naming opportunities covered by this policy. The Naming Committee will review any change in circumstances brought to its attention and make a recommendation, through the University Administrative Council, to the NMSU president and Board of Regents as to whether the name should be retained or removed. Circumstances that may lead to the removal of a name include the perpetration of a heinous crime by an individual whose name appears on a naming opportunity, and/or donor failure to fulfill gift commitments as specified in the agreement (e.g., estate gifts, where the donor was to name the university as a beneficiary; failure to complete a multi-year pledge, etc.).

## 2.53 Police (University)

- A. Authority: The University Police Department has the authority in all emergency situations to act as is lawful and necessary to protect lives and property. This includes the evacuation of buildings, closing of streets, and implementation of emergency procedures. The decisions of the chief of police shall be final in all emergency situations until such time as the emergency is resolved. The university police have the duty to enforce all laws and certain regulations, to issue citations, to investigate and make referrals or complaints for criminal prosecution, and to notify appropriate university officials of significant crimes/incidents. Rules and regulations governing the police department are set forth in the *New Mexico State University Police Manual of Policies and Procedures*.
- B. Private Security: The university police may establish and maintain requirements for any private security, private investigators, bodyguards, and similar personnel who work or are allowed to work on lands under the control of the Board of Regents. No department, office, or individual may

hire/contract with said private security, private investigators, bodyguards, or similar personnel to perform services on the grounds of the university unless such is done in compliance with requirements established by the university police. In addition, no person or group hosting an event or function on the grounds of the university may employ or utilize security personnel described above unless they are in compliance with the established requirements as described in the university police manual.

- C. Alarm Systems: The university police, in conjunction with information and technological services, will establish and maintain requirements for any intrusion alarms, panic alarms, or personal safety alarms on the campus. This includes (1) the requirements that all alarms utilize a standardized system and that all alarms report to the police department, and (2) the charging of reasonable fees for monitoring alarms and for responding to false alarms. No alarms shall be installed on the NMSU campus after July 1, 1999, that are not in compliance with the requirements.

## 2.56 **Purchasing** (See also policies in Chapter 9 Facilities and Services relating to capital projects and performance bond requirements for contracts on jobs under \$20,000.)

- A. Purchasing Policy: The university shall take all steps to assure compliance with the State Purchasing Act of New Mexico and with all federal regulations dealing with the procurement of equipment, supplies, and services. In addition, every attempt will be made to be fair in obtaining bids and information for preparation of bid requirements and bid specifications. The university will attempt not to favor one private firm or individual or person or company over another in obtaining information for preparation of bid specifications. Bids will be awarded to the lowest responsible bidder, giving due consideration to price, quality of product, and time of delivery. The president is authorized to promulgate and implement regulations pertaining to procurement consistent with the *Procurement Code of the State of New Mexico* which became effective November 1, 1984. In the event of a tie bid between two firms each domiciled and residents of New Mexico, the firm awarded the bid will be determined by the toss of a coin. Each firm will be notified there is a tie bid and of the date and time when there will be a toss of the coin, so that either party, or both parties may be present.

### 2.56.05 **Professional Services Contracts**

- A. Application: This policy provides for the procurement of professional services. Professional services covered by the statute are the services of architects, archeologists, engineers, land surveyors, landscape architects, medical arts practitioners, scientists, management and system analysts, certified public accountants, registered public accountants, lawyers, psychologists, planners, researchers, and persons or businesses providing similar services.
- B. Purchases of Professional Services: The university may procure professional services in accordance with professional services procurement regulations promulgated by the Office of Purchasing and Materials Management and approved by the board, or when procuring professional design services, in accordance with the selection procedures approved by the board for certain contracting with or procuring the services of accountants, attorneys, and medical practitioners, and for which there must be prior approval by the executive vice president and provost.
- C. Procurement of Professional Services, Excluding Professional Design Services, Not Exceeding \$20,000: Before contracting with any person or firm to provide required professional services, the Office of Purchasing and Materials Management must process a professional service contract or agreement in advance of the services being performed. The process will include confirmation of independent contract status, inquiries for conflict of interest, adherence to employment regulations, and will require the appropriate authorization signatures. The Office of Purchasing and Materials Management shall examine the qualifications of the firm or individual and shall determine if the required services are at a fair and reasonable price. If a fair and reasonable price cannot be reached, negotiations will be terminated with that source and negotiations begun with the next most qualified source. Procurement requirements shall not be artificially divided so as to constitute a small purchase under this section.

- D. Procurement of Certain Professional Services, Excluding Professional Design Services, in Excess of \$20,000: When the Office of Purchasing and Materials Management is procuring professional services whose estimated costs will exceed \$20,000 such procurement shall be made using competitive sealed proposals. Such competitive sealed proposals shall be solicited through a Request for Proposals which shall include the specifications for the services to be procured; all contractual terms and conditions applicable to the procurement; and the date, time, and place where such proposals are to be received and reviewed. The Request for Proposals shall state the evaluating factors and the relative weight to be given the factors in evaluating the proposals. Notice of the Request for Proposals shall be published not less than 10 calendar days prior to the date set for receipt of proposals. The notice shall be published at least once in a newspaper of general circulation in the Las Cruces, New Mexico area. Other methods adopted by the Office of Purchasing and Materials Management shall be used to notify prospective offerers that proposals are being solicited, including publication in a trade journal, if available. Request for Proposals shall be sent to those businesses which have indicated an interest in submitting proposals for particular categories of services. Offerers submitting proposals may be afforded an opportunity for discussion and revisions of proposals. Revisions may be permitted after submissions of proposals and prior to award for the purpose of obtaining the best and final offer. Negotiations may be conducted with responsible offerers who submit proposals found to be reasonable and likely to be selected for award. Taking into consideration the evaluation factors, the award shall be made to the responsible offerer whose proposal is determined most advantageous. The award of a professional service contract may be based upon criteria which does not include price.
- E. Procurement of Accountants, Attorneys, and Medical Arts Practitioners: Inasmuch as the selection of accountants, attorneys, and medical arts practitioners involves decisions other than price, including but not limited to knowledge of the university, its staff, faculty, employees, students, personal reputation, rapport with the Board of Regents and administration, and approval by state agencies (such as the state auditor), the selection of such individuals shall be approved by the executive vice president and provost. This approval must be given before the selection is presented to the business office for processing. Neither proposals nor competitive bids are required for such procurement. The executive vice president and provost shall determine the method of selecting these professionals on a case by case basis. All such individuals so employed shall be subject to termination without cause upon such notice as the executive vice president and provost determines appropriate under the circumstances. A request for proposals shall be required for the selection of an outside auditor if the same auditor is used consecutively for 3 years.
- F. Sole Source Procurements of Professional Service, Excluding Professional Design Services: A professional service contract may be awarded without competitive sealed proposals, regardless of the estimated cost if the Office of Purchasing and Materials Management makes a determination, after conducting a good faith review of available sources and reviewing a written justification submitted by the requiring department, that because of its unique capabilities there is only one source for the required services. Negotiations shall be conducted with the selected source for price and terms in order to obtain the price most advantageous to the university. Research consultants may be considered sole source.

### **2.56.10 Procurement of Professional Design Services**

Professional design services means those professional architectural and engineering services required for the design and construction of a construction project including, but not limited to consultation, investigation, reconnaissance, research, preparation of drawings and specifications, furnishing of cost estimates, general administration of contracts and issuance of a certificate of completion. All procurements of professional design services shall utilize the professional design services selection process which has been approved by the Board of Regents. The Office of Purchasing and Materials Management when preparing the agreement between the university, the board, and the selected design architect, shall include a provision to the effect that all designs, drawings, specifications, notes, and other work developed in the performance of that contract become the sole property of the university.

### **2.57 Reserves**

Reasonable budget balances shall be maintained for the efficient operation of the university.

## **2.60 Environmental Health and Safety** (*See also Policy [7.45 Workers' Compensation Benefits and Other Assistance](#)*)

- A. Environmental Health and Safety: It is the policy of the university to promote good health, well being, and occupational safety for its faculty, employees, students, and visitors. This policy endorses programs which:
1. Provide safe and healthful conditions and reduce injuries and illnesses to the lowest possible level. No task is so important and no service so urgent that it cannot be done safely.
  2. Assure compliance with federal, state, and local regulations providing for environmental health and occupational safety.
  3. Provide information, training, and safeguards to faculty, staff, and students regarding health and safety hazards, and to the surrounding community regarding environmental health hazards arising from operations and events at the university.
  4. Install and maintain facilities and equipment in accordance with recognized and accepted standards essential to reduce or prevent exposure to hazards by faculty, staff, students, and visitors.
  5. Provide appropriate personal protective equipment to all employees at university expense when engineering controls are not adequate to minimize exposure.
  6. Provide medical services as required by law and as may be dictated by existing circumstances or programs.
  7. The Office of Environmental Health and Safety develops and executes comprehensive health and safety programs for the university. These programs comply with all federal, state, and municipal laws, codes, acts, regulations and standards relating to health, safety and the environment. This environmental health and safety policy along with current details of responsibility and accountability for various issues can be found on the Office of Environmental Health and Safety web page [NMSU: Environmental Health & Safety](#).

### **2.60.10 Safety and Health - Environmental Health and Safety Office**

- A. Environmental Health and Safety Officer: Copies of all Employer's First Report of Accident Forms and Supervisor's Accident Investigation Report Forms are sent to the environmental health and safety officer by the human resource services office. The environmental health and safety officer monitors all accidents and may conduct an investigation. Regulatory and occupational safety classes are provided on a regular basis by the Office of Environmental Health and Safety (For information and schedule visit [NMSU: Environmental Health & Safety](#)).

## **2.64 Security Cameras on University Premises** (*See Also Policy [2.53 Police](#)*) [*New Policy Recommended by Administrative Council on 04.09.13; approved by Board of Regents 05.10.13*]

- A. Purpose:
1. To enhance and protect public safety and property, while also respecting the privacy and other rights of those within the university community;
  2. To manage the use of security cameras and related issues, throughout the NMSU System.
- B. Scope:
1. Unless indicated in the following subsection on exceptions, this policy applies to the installation and use of security camera systems on university premises throughout the NMSU System, whether installed by third party vendors or by authorized NMSU personnel.
  2. Exceptions - This policy does not apply to:

- a. The use of cameras or other electronic recording equipment to conduct academic research;
  - b. The overt use of video and/or audio recording equipment utilized for video conferencing for academic or administrative purposes and/or to facilitate real time communication for the purpose of admitting personnel to secured facilities;
  - c. The creation or use of class lecture recordings and/or archiving utilized not for security, but for the purpose of content sharing;
  - d. The use of recording systems by the NMSU Police Department law enforcement personnel for specific criminal investigations or for recording individual Police Officer interaction.
  - e. Cameras placed on a temporary basis for operational/administrative investigation into alleged misconduct, with the consent of one party to the communication, as approved by the Office of General Counsel.
  - f. The overt use of video audio recording equipment placed to enhance safety and security of NMSU employees in the workplace.
  - g. Personal recording equipment, including but not limited to cell phone cameras, used by private individuals for purposes not associated with student or employee status.
  - h. The use of a computer attached camera (webcam) in a private office.
- C. Policy Administrator: This policy, and corresponding procedures, shall be administered by the university's chief information officer (CIO) in consultation with the Police Chief and other University Administrators as needed.
- D. General Principles:
1. Security cameras shall only be installed in compliance with this policy.
  2. Signage will be conspicuously posted in any area where security cameras are recording images.
  3. Audio recording is only permissible for short duration, with the consent of one of the parties, consistent with applicable law; or as may be permitted by court order. The audio function (both monitoring and recording) of the security camera microphone must be disabled. *See Also* Exceptions in Section B.2.
  4. This policy does not require the university to provide security cameras in all public locations, and/or to ensure that a camera is recording or monitoring at all times. Images may be monitored in real time, or may be preserved for review at a later date as part of an incident investigation. Any images retained will be disposed of in accordance with E-8 below: Storage and Retention of Recordings.
  5. Security cameras will be installed, operated and monitored in compliance with all university policies and the law, including but not limited to those covering FERPA, HIPAA, discrimination, harassment and stalking. The use of security cameras authorized by this policy will be limited to uses that do not violate a reasonable expectation of privacy, nor disclose confidential or classified information.
- E. Policy Guidelines:
1. The installation and use of security cameras addressed in this policy is for the general purpose of campus safety and security, including the deterrence of vandalism and theft.
    - a. Examples of areas which may be subject to monitoring by security cameras include but are not limited to:
      - i. outdoor parking lots;
      - ii. areas within buildings open to the public such as libraries, museum, Pan Am Center and Corbett Center;
      - iii. common areas inside residence halls;
      - iv. areas proximate to the handling of cash or other valuable property.

- b. Examples of areas that will not be subject to security camera monitoring include, but are not limited to:
    - i. individually licensed living areas within residence halls or other NMSU housing, absent express consent from the affected license holder;
    - ii. restrooms;
    - iii. locker rooms;
    - iv. dressing rooms and similar space;
    - v. areas where restricted Department of Defense classified information is discussed, stored or otherwise processed.
  2. Any interception, duplication, transmission, alteration, tampering, or other improper diversion of the security camera or recorded images or related instrumentation, software or documentation for purposes other than official university business is prohibited.
  3. Personnel authorized to access security camera information, including the images they produce, will perform their duties in accordance with this policy, in addition to any supplemental procedures which may be issued by the operating department.
  4. All existing uses of security cameras will be brought into compliance with this policy as soon as feasibly possible, and no later than June 30, 2015, unless otherwise determined by the CIO.
  5. The NMSU entities utilizing security cameras governed by this policy will notify the CIO annually to ensure compliance and will provide a list of security cameras currently in operation.
  6. The use of security cameras by university contractors operating on university premises pursuant to a contract will be governed by the terms of the contract and consistent with NMSU policies and procedures.
  7. In the event of a criminal investigation, civil litigation or other administrative action, the recorded data will be maintained in accordance with guidance provided by the prosecutor and/or the Office of NMSU General Counsel.
  8. Storage and Retention of Recordings: Recordings shall be retained for a minimum of thirty (30) calendar days. See also #3.
- F. Procedural Guidelines: NMSU Entities requesting and operating security cameras will be required to follow the procedures outlined in the following link [NMSU Security Cameras Procedural Guidelines](#).

## **2.65 Social Security Numbers, Use of**

Each applicant must possess a social security card in order to be employed. If an applicant does not have a social security card or requests the use of a name that is different in any way from the name on the card, it is the responsibility of the applicant to have the matter corrected at the nearest Social Security Administration Office. Social security numbers are collected and legally required for federal and state reporting, including financial aid, tuition and fee payment and employment tax reporting. In the event that the university does not have the social security number for a student, a reasonable effort will be made to obtain this information. The social security number is a confidential record and is maintained as such by the university in accordance with the Family Educational Rights and Privacy Act.

## **2.68 New Mexico State University Technology Transfer Corporation, Inc. (now known as Arrowhead Center, Inc.)**

In order to properly focus the development of research technology, the Board of Regents authorized the establishment of the Arrowhead Center, Inc., under the Research Park Act, as a not-for-profit corporation to assist and foster the development and marketing of selected university technology and



intellectual properties. Members of the corporation include two regents, the president, the executive vice president and provost, the vice president for research, and the senior vice president for administration and finance. The chief operating officer will be the vice president for research.

**2.69 Travel** *[Amendment recommended by Administrative Council 07.13.10; approved by the Board of Regents 07.20.10]*

The University authorizes travel by several sources, for divergent purposes; and for different categories of individuals, specifically: Board of Regents travel, federally-funded travel, and other university business travel. This policy requires adherence to travel reimbursement policies set forth in the *Business Procedures Manual*, for accounting control purposes; it also provides guidance and restrictions which apply during authorized travel, for the safety and security of university employees and students.

For the additional, detailed travel and reimbursement policies and procedures, *See* Chapter 5C of the *NMSU Business Procedures Manual*.

**2.69.1 International Travel, Generally** *[Policy recommended by Administrative Council 07.13.10; approved by the Board of Regents 07.20.10] [Amendment recommended by Administrative Council 03.09.11; approved by Board of Regents 03.14.11]*

Due to the increasingly global nature of teaching, research, and public service, faculty and staff have increased opportunities to travel to other countries as NMSU representatives or employees.

- A. **Students:** For students, all non-personal international travel requires the prior written approval of the supervising/sponsoring head and the associate provost of International and Border Programs. For Instructions for Approval of Student International Travel and the accompanying Approval of Student International Travel form, *see:* [Student International Travel Authorization](#)
- B. **Faculty and Staff:** For faculty and staff, all non-personal international travel requires approval by the appropriate administrator within the college or other unit, and adherence to departmental, college or other unit policies and procedures relating to international travel. The Office of International and Border Programs shall be notified about all international travel. For Instructions for Notification of International Travel for Faculty/Staff form, *see:* [Faculty Staff International Travel Authorization](#)
- C. **Awareness of Travel Conditions:** It is incumbent upon the NMSU employee or student traveling abroad as part of a class, program, sabbatical, research or other project to review the travel advisories issued at this website: Department of State - International Travel Warnings

**2.69.2 International Travel - in Countries Subject to U.S. Travel Warnings** *[Amendment recommended by Faculty Senate 05.02.13 (Prop. No. 28-12/13) and by Administrative Council 05.14.13; approved by Board of Regents 06.20.13.]*

“Travel Warnings” are issued when the U.S. Department of State decides, based on all relevant information, to recommend that Americans avoid travel to a certain country. Countries where avoidance of travel is recommended will have “Travel Warnings” as well as “Country Specific Information.” When the host country is under a travel warning, careful consideration shall be given by the involved parties to weigh the risks and benefits related to the educational opportunity. This policy applies to all NMSU students, faculty and staff.

- A. **No Mandatory Travel:** No NMSU employee or student shall be required to travel to a country for which a Travel Warning has been issued by the U.S. Department of State.
- B. **Permissive Faculty/Staff Travel:** NMSU faculty or staff may be permitted to travel to countries for which travel warnings have been issued, but will be required to complete and sign a Waiver, Release and Hold Harmless Agreement. Please *See:* [Travel.State.Gov](#) for a list of current countries for which there is a travel warning. For the Waiver, Release and Hold Harmless Agreement for Faculty and Staff Participating in International Travel form, *See:* [Waiver, Release, and Hold Harmless - Students](#) or [Waiver, Release and Hold Harmless - Faculty/Staff](#)

- C. No Student Travel, Absent Exception: University students will not be permitted to travel to countries for which travel warnings have been issued, absent an exception granted in accordance with the policies and procedures outlined in subsection E. below. The associate provost of International Borders and Programs and/or the Risk and Security Assessment Committee, at the associate provost's discretion, will give a recommendation regarding a requested exception to the executive vice president and provost.
1. Absent such exception, university study abroad programs in the country of travel may be suspended.
  2. Absent such exception, student travel under university auspices shall not be permitted.
  3. Absent such exception, there shall be no university student funding for activities in those countries. If a student has received funding prior to the imposition of the Travel Warning and has not embarked on travel, the funding shall be returned to the university. Where a portion of all of the funds have been expended in furtherance of the activity before the travel warning, the supervising/sponsoring head, after consultation with the associate provost of International and Border Programs, shall decide the amount to be returned to the university or to the student.
  4. Absent such exception, there shall be no academic recognition for research or activities undertaken in countries with travel warnings. This includes but is not limited to course credits and indicated progress towards degree or certificate completion.
  5. The Office of International and Border Programs may issue guidelines to address situations likely to occur, including but not limited to, next steps in the event a student is already in a country at the time a travel warning is issued for that country. If a situation arises for which there is no guideline, the student or other representative may seek guidance at any time from the associate provost of International and Border Programs
  6. Students who are traveling to a duly authorized country under a U.S. travel warning must sign a "Waiver, Release and Hold Harmless Agreement" form before travelling to that country, as well as provide a detailed itinerary demonstrating travel will only occur in areas covered by the exception (unless already provided in the process of obtaining the exception).
- D. NMSU Risk and Security Assessment Committee (RSAC):
1. Creation and Purpose: The Board of Regents approves of the creation of the Risk and Security Assessment Committee to serve as a discretionary, advisory committee to the associate provost of international and border programs. The committee will be charged with being a resource to examine the safety and security conditions relative to existing and newly proposed exchange programs, faculty led study abroad, external provider programs, student research projects and service learning programs.
  2. Authority:
    - a. The Risk and Security Assessment Committee is charged with the duty and responsibility to consider the following, as it makes its recommendations:
      - i. the safety of the students;
      - ii. the university's ethical responsibilities to participants;
      - iii. the university's exposure to risk of legal liability;
      - iv. any public relations issues which might exist; and
      - v. other issues as requested by administration.
    - b. In addition to reviewing all programs proposed or occurring in countries with The U.S. Department of State Travel Warnings, the Risk and Security Assessment Committee will review programs in locations where health, safety, or security may be of particular concern, or in regions/cities of individual countries with significant levels of health, safety or security concerns as identified by the U.S. Department of State, the Center for Disease Control and Prevention or any other reputable body or individuals that express a

- valid concern about the program or location.
- c. Prior to the anticipated international travel, and after consideration of all relevant factors, and when conditions warrant, the associate provost of International and Border Programs and/or the Risk and Security Assessment Committee, at the associate provost's discretion, may recommend that a program at a particular site be suspended or shifted prior to departure.
  - d. When the program is already underway or on site, and after consideration of all relevant factors and when conditions warrant, the associate provost and/or the committee may either recommend that certain additional safety conditions be imposed, or that the program be suspended or shifted, and the participants brought back to the U.S.
3. Membership: The associate provost of International and Border Programs shall serve as the chair. In addition to the associate provost, the membership shall include the following position appointments:
- a. vice president of student success, or designee
  - b. dean of graduate school
  - c. general counsel or designee
  - d. associate vice president of university communications/marketing services
  - e. university risk manager
  - f. associate dean of study abroad
4. Additional Resources. At any time, and particularly when conditions at a site are serious enough to call into question the advisability of sending or maintaining a student program at a given site, the group may invite the following individuals to attend and provide additional information:
- a. For faculty-led study abroad programs, the faculty member leading the course, dean of the affected college, and department head/chair of the effected department;
  - b. A faculty member with significant expertise in the effected country or region;
  - c. In cases of significant health concerns, a medical professional.
- E. Procedures to Request Exception for Student Travel to Country Subject to Travel Warning: A request for exception may be made in writing by either the student or the faculty member in support of the travel. The request should be addressed to the associate provost of International and Border Programs, who may either review and recommend a response or refer to the Risk and Security Assessment Committee, consistent with the process outlined below.
1. The request should specifically address dangers or concerns mentioned in the Travel Warning, with reference to the program's location, activities, and related implications. The request form is available at the IP website.
  2. Upon receipt of the request, the associate provost may consider it and provide a recommendation to the executive vice president and provost for further action. Alternatively, the associate provost may convene the Risk and Security Assessment Committee in person, or solicit input from the committee members via email collaboration. If the committee proceeds with email collaboration, the requestor shall be invited to participate via email.
  3. If the committee meets in person, the student/faculty member making the request will be invited to present the request. In addition to evaluating the information the student/faculty member provides, the committee may draw upon other sources of information, such as:
    - a. The U.S. Department of State and other bodies (e.g., the Center for Disease Control and Prevention or the World Health Organization, for health concerns);
    - b. Other experts who know or travel in the country in question, for additional insight and an independent assessment of pertinent concerns;
    - c. Additional State Department sources (e.g., OSAC information or desk officers);
    - d. NMSU faculty already on the ground in the host country, or colleagues in those countries, can provide independent views regarding current or evolving conditions; and,
    - e. Colleagues from other colleges with students or programs in the country.

4. The recommendation to either approve or deny the request for exception shall be forwarded by the associate provost for International and Border Programs, or designee to the executive vice president and provost. The executive vice president and provost will retain final decision as to whether to accept or reject the proposal.
- F. Renewal of Request for Exception: Student/faculty members may renew a request for an exception if it has been denied, but to receive such reconsideration, the request must contain new or additional information not previously considered.
- G. Suspension(s) of Academic Program:
1. Any recommendation for suspension of an international program by the associate provost of International and Border Programs or by the Risk and Security Assessment Committee will include all relevant information and the reasoning in a memo to the executive vice president and provost. The executive vice president and provost will forward the recommendation, along with any independent recommendation, to the university president, who will issue the final decision regarding suspension.
  2. If a program suspension is imposed, it will remain in place until a status review has been conducted and justifies lifting it.
  3. When the State Department lifts a Travel Warning, the associate provost and/or the Risk and Security Assessment Committee will undertake a status review of programs that had been suspended and make a recommendation for further action by the executive vice president and provost and university president.

## **2.70 United Way**

The university participates in the annual community United Way Fund drive. Personnel are appointed by the president to contact university employees to support this endeavor. The purpose of this program is to afford the university's employees (regular employees only) an opportunity to participate, either by cash contribution or payroll deduction, at one time and not be subjected to multiple solicitations throughout the year.

## **2.75 University Advancement – Gift Income, NMSU Endowment, NMSU Foundation, Inc.**

All gifts of money, securities, and other funds can be invested to the greatest advantage of the university if said gifts are made to the NMSU Foundation, Inc. for the sole use and benefit of the university. Therefore, to the fullest extent permitted by law and by any controlling documents, all gifts and donations to the university should be managed, invested, reinvested, and distributed by and through the NMSU Foundation. The Board of Regents recommends to all persons or corporations desiring to make gifts or donations for the benefit of the university and its respective campuses that such gifts or donations are made to NMSU Foundation, Inc. The return address furnished to donors and on all printed materials must be that of the NMSU Foundation, Inc., the Development Office, or the Office of the Vice President for University Advancement. All gifts received by the university, including gifts to any college, department or division, should be reported directly and immediately to the Office of the Vice President for University Advancement. Gifts in kind (noncash contributions) may be reported by memorandum or letter; gifts of cash or securities should be delivered promptly to the Development Office for receipting and deposit. The Office of the Vice President for University Advancement will be responsible for providing an official receipt to the donor, for appropriate acknowledgment, and for informing the appropriate campus personnel. However, departments awarding restricted gifts for student aid are entirely responsible for ensuring that all donor criteria, financial and otherwise, have been met. The board prefers that real estate and gifts-in-kind be given free of restrictions which would reduce the full range of educational benefits which could be realized from the gift. If restrictions are imposed upon the gift, or if the gift is such as to require costs of care, maintenance or upkeep, such gift must be first approved by the board or its designees before acceptance by the board. Gifts of real estate may be given through the NMSU Foundation, but are subject to the policies and the procedures of the NMSU Foundation.

- A. Gift Income Spending Policy: The university recognizes the importance of private gift income in providing its colleges and departments the flexibility needed to achieve its goals and objectives. The university also recognizes that different colleges and departments will have varying needs and priorities for the use of the private gift income as they continue to develop and maintain quality programs. This policy is designed to provide those areas receiving private gifts the maximum amount of latitude to address these differing goals and objectives while at the same time maintaining the fiduciary responsibility inherent in the acceptance of these funds. Gift income received by the university from any external source, including the NMSU Foundation, will be expended in compliance with this policy. In all cases, exceptions may be made if these types of expenditures are sanctioned by the Offices of the President or Executive Vice President and Provost for college or university-wide functions. All expenditures must be for the enhancement or benefit of the university, in recognition of the university's official mission statement. In general, gift funds will be recorded in the current restricted fund, as they are externally restricted to purpose, even if internally unrestricted as to nature of expenditure. Only those gift funds which are received by the university for any related university purpose, without restriction of any type, are to be recorded in the current unrestricted fund. Within this policy, restricted fund income will be subdivided into restricted and unrestricted gifts based only on the level of donor specification attached to the gift, as explained below.
- B. Restricted Gift Income: For the purpose of this policy, restricted gift income is defined as all gift income on which the donor has placed specific restrictions beyond the general purpose for which the income is to be used. Thus, income designated for a specific college or department's general use will be classified as unrestricted gift income, as long as that college or department is given full authority to decide how the funds are to be best spent in compliance with the general guidelines detailed above. Any gift income which must be spent for a specific purpose, such as scholarships or travel reimbursement, or under any specific conditions, such as following a certain event or date, will be classified as restricted. All restricted gift income, if accepted and expended, will be expended according to the written restrictions of the donor, without exception. The Office of the Vice President for University Advancement will be responsible for accepting these restrictions before the gift is accepted on behalf of the university. Following this approval, the documented restrictions will take precedence over the guidelines for disbursement of funds outlined below.
- C. Unrestricted Gift Income: For the purpose of this policy, unrestricted gift income is defined as all gift income received by the university and not classified as restricted gift income. Expenditures allowable from this category of gift income will be limited by applicable laws, statutes, and regulations, and by this policy. It will be the responsibility of the Business Office to identify gifts as unrestricted, and to verify that donor's intent related to the department within the university in which the funds are to be spent is honored.
- D. Authorization Structure: The standard approval structure in place for expenditure of non-gift funds will be followed for gift funds. All non-payroll expenditures are to be approved by the department head (where applicable), dean or director, and Office of the Senior Vice President for Administration and Finance. All expenditures involving a payment for services rendered by a university employee will be processed through the Office of Human Resource Services, following all existing authorization requirements for the given transaction. All requests for exception to policy will be directed initially to the Office of the Senior Vice President for Administration and Finance.
- E. Cash Disbursement Controls: All existing university internal controls will apply to disbursements made from gift funds. All requests for expenditure will be submitted on the appropriate form; separate vouchers exist for requesting disbursements directly from the university and the NMSU Foundation. All vouchers will be accompanied by invoice or receipt support, or the attestation of the individual claiming reimbursement if other documentation is not applicable.
- F. Guidelines for Disbursements of Funds: All gift income funds will be used by or for the benefit of the university in fulfilling its mission of teaching, research, and public service, including expenses sanctioned for the improvement of employee morale. All types of expenditures falling under these guidelines will be allowable, with the following exceptions:
1. Any payment in conflict with existing law, statute, or regulation applicable to private gift funds.

2. Charitable contributions made to entities or individuals external to the university. Where appropriate, expenses incurred by separate nonprofit organizations which could have legitimately been considered university expenses, such as those incurred by a separate student organization engaged in a university -related function, may be transferred with the approval of the Office of Senior Vice President for Administration and Finance to the university.
  3. Any duplicate payment for goods and services, or reimbursement of employee expense. Duplicate payments include the reimbursement of actual travel expense to employees who have already received per diem payment through other sources.
  4. Payment for university employee services outside the payroll system.
  5. Gifts made to university personnel except as recognition of service to the university.
  6. Loans to any individual, unless the gift was made for the specific purpose of establishing a loan fund.
  7. Payment of fines imposed for violations of local, state, or federal law, unless resulting from university negligence.
  8. Memberships in organizations, country clubs, or other expenditures for any individual, where it cannot be demonstrated that the expenditure is for the enhancement or benefit of the university.
- G. Endowment Trust: The Board of Regents approved the revocable Endowment Trust Agreement to cover the establishment of endowments, making it possible to take money that has been privately contributed to the NMSU Foundation for endowed chairs, professorships, or lectureships and match it with monies from the State of New Mexico. The monies may be placed together into a trust, managed by the NMSU Foundation in such a way that the NMSU Foundation retains title to the private money and the board retains title to the state money in a revocable trust. The board may designate a change in trustee at its discretion at any time or may dissolve the agreement if it desires. The assignment may allow the NMSU Foundation its usual management fee as trustee. It must, however, contain provisions (1) for termination of the placement of all or part of these endowments in the trust at any time at the board's sole discretion; (2) for annual accountings; and (3) for absolute authority on the part of the board for the disposition of each of the endowments (consistent with the terms of each particular endowment).
- H. NMSU Endowment Fund: This fund, managed by the NMSU Foundation, was established to enable faculty and friends to contribute to a permanent fund to strengthen the university's academic programs. Endowment funds are permanently invested and a portion of the annual earnings are made available to support the programs selected by donors as the beneficiaries. Earnings over and above the amount available for expenditure are added to the principal. Many contributions are received as memorials from those who wish to convey their sympathy upon the death of a relative, friend, or colleague. The university provides an official receipt for all gifts, and, when contributions are made in memoriam, informs the family that a memorial gift has been made. Amounts of the contributions are not disclosed. Faculty and staff may contribute through the Foundation via payroll deduction arranged through the Office of Human Resource Services.
- I. NMSU Foundation, Inc.: The NMSU Foundation, Incorporated, is a private, nonprofit corporation whose only purpose is to accept and administer gifts in support of the university. The NMSU Foundation is a tax-exempt corporation, registered with the appropriate state and federal agencies. Contributions to the Foundation are exempt for federal income tax purposes. The NMSU Foundation works closely with the university. Its directors, who are committed to attracting private resources for the benefit of the university, serve without compensation. Contributions may be made for annual operating expenses or for the endowment.
- J. University-Affiliated Organizations: Numerous organizations have been established to support the Board of Regents in a variety of ways and are separate, not-for-profit entities. The focus of the following policy statement is on those organizations whose primary functions are to solicit, manage, and distribute funds and other assets that are given to these organizations for the support of the university in general or specific colleges or other program areas of the university. The

university recognizes advantages of these organizations, such as:

1. Creating an opportunity for private individuals and organizations to invest in the enrichment of the programs with greater assurance that the benefits of their gifts supplement, not supplant, state appropriations to the institution.
2. Providing a corporate structure for managing private gifts, including endowments and income-producing real property, that does not jeopardize the university's tax-exempt status, create unnecessary unrelated business tax obligations, or create additional liabilities for the university.
3. Creating an effective forum for alumni and community leaders to participate in and contribute to strengthening the university through their participation in the solicitation, management, and distribution of private gifts and donations to the university.

(Other separate entities have been established for purposes unrelated to soliciting or managing gifts and donations on behalf of the university; i.e., the NMSU Research Park Corporation and Arrowhead Center, Inc., which engage in the commercialization of research productivity. However, this policy focuses on those organizations created to actively engage in raising funds for the university.)

- K. Recognition: Any organization formed to represent the university or any college, department, or program area of the institution will receive approval by the university to represent it to prospective donors. A condition of any recognition of an organization will be that the organization agrees to conduct its business in concert with university policy for such organizations. A written agreement will be executed between the university and each organization, consistent with these policies but recognizing the specific significantly performing fund-raising functions until after the date of adoption of this policy (10/90) will be established as an arm of the NMSU Foundation, unless otherwise approved by the Board of Regents upon the recommendation of the president (or designee).
- L. Statement of Purpose: The purpose of the organization will be clearly defined as being for the sole benefit of the university, or one or more of its specific programs. In order for the university to be able to support the organizations and not be in conflict with the state's anti-donation laws, the benefits to the university from the organization will be spelled out in the agreement.
- M. Structure of the Organization: Organizations may structure themselves in any manner they deem appropriate to fulfill their role and responsibilities to the university, with the following understandings:
  1. The Articles of Incorporation and Bylaws and any amendments should have the approval of the university.
  2. A regent, the president (or designee) may be included as a voting member of the governing board of the organization.
  3. Unless specifically agreed otherwise by the university and the organization, the composition of the organization's governing board will be such as to assure continuation of the organization as an independent, legal entity separate from the university. Normally, more than 50 percent of the governing board membership of the organization must be non-university employees to assure continuation of the organization as an independent, legal entity separate from the university.
  4. When an organization has a beneficial affiliation with an organizational unit, the university organizational unit should be expected to provide the staff support for the organization. No such organization will use funds received by the organization for the benefit of the university to employ staff independently of the university. The university and the organization may agree to allocate some of the income the organization earns to the university for the specific purpose of supplementing institutional staff support. This provision does not preclude the affiliated organization from directly retaining professional services as is deemed necessary for the organization to fulfill its responsibilities to the donors and to the university, with the

understanding that the retention of fund-raising and/or public relations consultants must be approved by the vice president for university advancement.

5. The affiliated organization's Articles of Incorporation and Bylaws should assure the retention of the organization's legal status as a tax-exempt non-profit organization pursuant to Section 501(c)(3) of the Internal Revenue Code, or any successor statute, if applicable.
- N. Solicitation of Gifts and Donations: Recognized affiliated organizations may organize and conduct fund-raising campaigns as they deem appropriate, except that major multi-year campaign solicitation of gifts and donations to support new academic programs or services, the major renovation of existing buildings, or the construction of new facilities may not be initiated without the prior approval of the president of the university. The initiation of any fund-raising campaign by any organization must be coordinated with the overall fund-raising activities of the Office of the Vice President for University Advancement to assure proper contact with potential donors. Each organization will, in concert with the Office of the Vice President for University Advancement, establish procedures for the review and acceptance of gifts and donations and for the coordination of solicitations and prospect contacts. The acceptance of any gift or donation that contains restrictions as to its use requires a matching fiscal obligation of the university, creates a future obligation of the university, or involves real property must be approved by the president (or designee). Although each organization would be expected to maintain records of gifts and donations received and to properly acknowledge such gifts, the university has designated the Office of the Vice President for University Advancement as the central record-keeping agency for all gifts and donations received on behalf of the university. The receipt of all gifts and donations must be reported to the Office of the Vice President for University Advancement. The Office of the Vice President for University Advancement is available to advise and/or assist any affiliated organization in designing and conducting fund-raising campaigns. No affiliated organizations will accept any funds intended for a university organizational unit which requires performance or service by the university. Income generated by a university program or service is revenue of the university and must be directly deposited into a university account.
- O. Management of Gifts and Donations: All gift monies, whether received directly by the university or indirectly through a university-affiliated organization, will be managed in accordance with investment policies approved by the Board of Regents. Affiliated organizations are encouraged to deposit their gift receipts with the university for the specific organization. Oversight of the funds deposited in these agency accounts is the responsibility of the organization. The university will provide all accounting services related to the funds for the organization. Short-term investment income earned by the university on funds in these accounts will be allocated to the accounts. Gifts received in the form of endowments by any recognized affiliated organization should be assigned to the NMSU Foundation, for investment management purposes. All endowments must be managed in accordance with investment policies approved by the board. The identity of individual endowments will be maintained by the NMSU Foundation; however, endowment funds may be co-invested in a pooled funds approach. Consolidation of the endowment investment management program provides the opportunity for cost-effective management of the endowments. Endowments retained by the organizations or transferred to the NMSU Foundation through revocable trust agreements will be maintained on the organization's books. Gifts received in the form of real property will be managed in accordance with the donor's request. If the donor specifies that the property be used by the university in its gift form, such as art work, library books, real estate, etc., the property will be transferred to the university. If the donor desires that the property be used to establish an endowment, or if the gift is real property or property interest, the gift will be assigned to the NMSU Foundation, for management purposes. The NMSU Foundation may retain the real property and use the income earned to accomplish the donor's gift objectives. If the donor permits, and it is a better investment management decision to dispose of the real property, the NMSU Foundation will use the proceeds from these sales to establish the endowment. The NMSU Foundation will obtain university approval before disposing of any real property. No individual member, director, or officer of an affiliated organization should accept any gift or gratuity that is offered because of the individual's position held with the organization.
- P. Distribution of Funds: Affiliated organizations will not disburse directly any funds in the form of compensation to a university employee without the express written approval of the president of the university and/or Board of Regents. Exceptions may be made for awards, recognition, etc. Any funds intended for employee compensation will be transferred to a university account and



subsequently disbursed in accordance with university policies and procedures. The affiliated organizations will receive interest income earned on funds in agency bank accounts held by the university in the name of the organizations, and may use such income to cover operating expenses directly incurred by the organizations. Organizations should establish policies for the review of any business transactions involving its members and the organization. Members, directors, and officers of the organization should disqualify themselves from making, participating in, or in any way attempting to use their position to influence decisions in which they have or would have a financial interest. Organizations will establish policies which preclude the use of any funds received or earned by the organization to support any political candidate. Organization funds will be accounted for in the university agency's fund, unless the university expressly approves the organization's separate accounting system. All separate systems will follow all university internal control policies where applicable.

- Q. Reports: Each affiliated organization maintaining a separate accounting system will report monthly to the Office of the Vice President for University Advancement the receipt of all gifts and donations and expenditures related to these funds. Each affiliated organization will provide monthly a summary of cultivation and solicitation activities. Organizations should prepare annual reports for the university and board that include standard financial statements required of non-profit organizations and any supplemental schedules requested by the university. The organization's auditor's opinion of these statements and schedules should be included in these annual reports, if applicable. Organizations should furnish to the university copies of all forms required to be filed by law, such as Form 990 and annual reports to the State Corporation Commission.
- R. Audits: Organizations shall provide the university with the results of annual financial audits performed by an independent auditing firm selected by the organization. Any independent audit firm selected by an organization that is not the same firm selected by the university must provide the necessary audit confirmations and assistance to the university's external auditor upon request. Organizations not required to provide an independent audit report should furnish to the university an annual financial report signed by the organization's president and treasurer. The Office of Audit Services staff may review all items approved by the organization's board for release to the university, with the understanding that such items and any reports related to them will fall under the organization's internal audit policy. This information will not become a part of the university's public records. The organization will not be used to provide any instructional, research, or public service activity sponsored or participated in by a university department or individual university employee in the name of university unless allowed by the university for specific purposes. Under no circumstances should an affiliated organization offer an instructional program for university academic credit. Nothing herein is intended to make any affiliated organization subject to the New Mexico Open Meetings or Public Records Acts; nor is it intended to violate any confidentiality of donor information.
- S. Institutional Support: In recognition of the support and contributions that these university-affiliated organizations give to the university, the university may provide logistic support at no cost to these organizations, such as:
1. Space for meetings and other needs that an organization may have in the conduct of its business.
  2. Staff support as described previously. In those regulations where university staff have a responsibility of significant support to the affiliated organization, the organization's officers should be consulted in selection and evaluation of such staff.
  3. Use of university's financial accounting systems for their fiscal management needs.
  4. Utilization of computer-based information management systems, such as donor record-keeping, etc.
  5. Use of the Office of Central Procurement and Risk Management Administration's staff when assistance is required in arranging purchases. Under no circumstances will purchases be made for the organizations through the Office of Central Procurement and Risk Management Administration.

Recognized affiliated organizations will be given a non-exclusive license to use the name New Mexico State University and any other appropriate trademarks or trade names of the university in connection with their fund-raising activities. The university may, from time to time, deem it appropriate to provide financial support to an organization's major fund-raising campaign.

- T. Termination/Dissolution of Organizations: Upon termination of any agreement between the university and an affiliated organization, or upon the dissolution of any such organization, all assets held by the affiliated organization on behalf of the university shall become the property of the university, or such other affiliated organization as the university shall designate. This condition shall be included in the bylaws of any affiliated organization.

## 2.80 University Communications and Marketing Services

The Office of University Communications and Marketing Services coordinates news, publicity, information, publications, and institutional marketing for the university. The university does not suppress bad news or unfavorable publicity. This type of information will be released to the press through the Office of University Communications and Marketing Services, as soon as factual and detailed information can be obtained. The Office of University Communications and Marketing Services will not grant exclusives in material it originates. University news will be released simultaneously to all requesting media. The Office of University Communications and Marketing Services will not betray the confidence of a writer developing a story on events other than sport news developments. The university will not ask professional writers to submit proposed copy for review or clearance.

- A. World Wide Web Guidelines: The Office of University Communications and Marketing Services will format and maintain top-level university home pages - the main university home page and the second tier of pages linked to it. Information and Technological Services will provide the technical support to help university clients provide and access information on the Web. All users of these resources are subject to Information and Technological Services General Use Policy. Instances of inappropriate use will be referred to the appropriate administrative unit.
- B. NMSU Identity: (See Policy 2.85 University Logo) The university, colleges, departments, and other units will make their Web pages readily identifiable as New Mexico State University pages.
- C. Web Page Content and Maintenance: Colleges and departments are responsible for preparing and maintaining their own Web pages. The information should be accurate, current, and useful. Each college or department that publishes a Web page will designate a staff/faculty person to be responsible for maintaining the accuracy and currency of the information published. Each Web page will be signed with an e-mail address so users can contact someone responsible for maintenance of the page with comments or to request information. Each page also will be dated as to its latest revision. This can be done unobtrusively with a line at the bottom of the page, such as: Last modified xx-xx-xx. Each home page for a department, college, or other unit will contain a link back to the NMSU home page.
- D. Accessibility: All university pages should be in compliance with the Americans with Disabilities Act requirements regarding accessibility. Departments may consult the Office of the General Counsel, the Office of Institutional Equity/ADA, and the Office of Information and Technological Services for technical assistance.
- E. Student Organizations: The university will provide links, through the Campus Life page, to student organizations that are registered with the student services division. Each organization should identify a person as its Web coordinator, who will be responsible for the content of material published on the Web.
- F. Personal Home Pages: The university is not responsible for the content of personal home pages. A disclaimer to this effect should appear at the top of any menu for personal home pages. The following disclaimer is suggested: The following pages are not official NMSU pages. Comments about these pages should be directed to the page authors.
- G. Copyright: The university web site has been created by many different members of the university

community using materials from various sources. Users of the university site should proceed with the assumption that these electronically published materials are protected by U.S. copyright law. The university requires users to make use of these materials for nonprofit educational purposes in accordance with the fair-use provisions of copyright law. Users should seek permission from the copyright owner for all other uses. To identify the copyright owner, please contact the webmaster of the page with the desired material.

- H. Advertising and Sponsorship: All pages will comply with the university's Information and Technological Services General Use Policy. Units may acknowledge contributors or sponsors on any pages, including specially designated sponsors' pages. Recognition of sponsors can include, but not go beyond, use of their logos, logo types, nameplates or names, brief phrase describing their business, and a link to their own Web sites.

## 2.85 University Logo

The university encourages its departments, laboratories and other organizations to use the university symbol to identify and promote themselves. The symbol must always be reproduced from an authorized version, available from the Office of University Communications and Marketing Services. It may not be redrawn, re-proportioned or modified in any way. Specific rules about the colors in which the symbol may be reproduced may be found in the New Mexico State University Graphic Standards Manual. The symbol is registered with the U.S. Patent Office and should always appear with the symbol of registration no matter how small the symbol is. Office of University Communications and Marketing Services will provide a digital version of the logo for Web use where appropriate.

## 2.90 University Records *[Amendment adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09]*

### 2.90.10 Records Integrity and Retention

- A. Records Integrity: Because the university business records and reports are of critical importance in meeting financial, legal, and management obligations, they must always be prepared promptly, accurately and truthfully. Those who rely on these records and reports have a right to timely and accurate information. The integrity of university records is based on validity, accuracy, and completeness. All employees involved in creating, processing, recording, and reviewing such information are responsible for ensuring such integrity. Supporting documentation and records for transactions, such as agreements, invoices, request for reimbursement, and time and effort reporting must fairly and fully support the actual purposes and amounts of the transactions. Transactions must be recorded in the proper account. All university assets, liabilities, and components of fund balances will be recorded on the university books, and all accounts will be appropriately approved and maintained according to university policies and procedures.
- B. Records Retention: Statutory or other legal requirements provide that certain records be retained for specific periods of time. Some records and documents may have to be held in connection with regulatory directives or other business purposes; therefore, no records may be destroyed, except in accordance with applicable laws and NMSU policy and procedures. Email communications relating to university business are part of the university's records and shall be retained depending upon the nature of the document, consistent with the retention requirements for that type of document.
- B. Duty to Report Records Integrity Violations: Employees who become aware of the possible omission, falsification, or inaccuracy of information entered into university records, the basic data supporting such entries or any other university record, or who become aware of the improper destruction of records, shall report this knowledge to the Office of Audit Services.

### 2.90.20 Student Educational Records - Compliance with FERPA

- A. Purpose: The Family Educational Rights and Privacy Act of 1974 (FERPA, also known as the "Buckley Amendment"), codified at 20 U.S.C. § 1232 (g), guarantees certain rights for students and eligible parents regarding access to, confidentiality of, and correction of the student's

education records. FERPA provides that students may inspect their education records. If a student finds the records to be inaccurate, misleading, or otherwise in violation of the student's privacy rights, the student may request amendment to the record. FERPA also provides that a student's personally identifiable information may not be released to someone else unless (1) the student has given a proper written consent for disclosure or (2) provisions of FERPA or the corresponding federal regulations permit the information to be released without the student's consent. This policy is administered in accordance with the FERPA regulations published in 34 CFR Part 99.

**B. Disclosure of Directory Information:**

1. The university may release the following directory information to the public without the student's consent: name; class; college and major; dates of attendance; degree(s) earned; honors and awards received, including selection to the dean's or chancellor's list, honorary organization, or the GPA range for the selection; local address; local or contact telephone number; NMSU electronic mail address; most recent previous educational institution attended; place of birth; participation in officially recognized activities and sports; and the weight and height and date of birth of members of athletic teams.
2. Under FERPA, the student has the right to request that the disclosure of directory information be withheld. Directory information will be released upon request, unless the student does not wish such a release and notifies the Office of the NMSU Registrar in writing.

**C. Disclosure of Personally Identifiable Information:**

1. The university may release personally identifiable information from student education records without the student's consent to school officials who have a legitimate educational interest to access the records.
2. "Education records" mean records that are maintained by NMSU in any form or format (e.g. paper, electronic, digital image, film, video, audio tape) which contain information directly related to a student and are personally identifiable to a student. Education records do not include:
  - a. Personal records of university employees that are in the sole possession of the maker (i.e. notes of conversations), are used as a personal memory aid, and are not accessible or revealed to any individual except to a successor in the position held;
  - b. Records of the NMSU police department used for law enforcement purposes;
  - c. Student medical and counseling records maintained and used only in connection with provision of medical treatment or counseling of the student and are made available only to the individuals providing the treatment;
  - d. Employment records unrelated to the student's status as a student;
  - e. Records created or received after an individual is no longer a student in attendance and that are not directly related to the individual's attendance as a student (i.e. alumni records); or
  - f. Grades on peer-graded papers before they are collected and recorded by a faculty member.
3. "School official" means:
  - a. An employee, agent or officer of the university acting in the employee's official capacity;
  - b. A person serving on university committees, boards, and/or councils, including an individual serving on a disciplinary or grievance committee;
  - c. Another educational institution that requests records for a particular student who seeks or intends to enroll or where the student is already enrolled provided the disclosure is for purposes related to the student's enrollment or transfer; and
  - d. A person or company with whom the university has contracted (e.g. internship and clinical facilities, attorney, auditor, or collection agent) but limited to only the specific student information needed to fulfill the contract. The contracting entity is bound to follow FERPA regulations for control, maintenance, use and re-disclosure of the information provided to it.

4. "Legitimate Educational Interest:" means a school official who is performing an authorized task or an activity that the school official is undertaking in the name of the university for which access to an educational record is necessary or appropriate to fulfill the school official's professional responsibilities for the university.
5. "Student:" means an individual who is or has been in attendance at NMSU for degree seeking courses, non-credit courses, life-long learning courses, and/or certificate courses. It does not include persons who have been admitted but did not attend the university. For the purposes of this policy, "attendance" starts with orientation or course registration and includes in person or by paper correspondence, videoconference, satellite, Internet, or other electronic information and telecommunications technologies for students who are not physically present in the classroom and the period during which an individual is working under a NMSU work-study program.
6. In addition, the university may disclose personally identifiable information from a student's educational records without a student's consent to individuals or entities permitted such access under applicable federal law and regulations, as more fully specified in 34 CFR § 99.31. This access includes, and is not limited to, the following situations: to parents of dependent students; to accreditation organizations or agencies; to comply with a lawfully issued subpoena or court order; to protect the health and safety of any student (whether a dependent or not) or others in an emergency; in litigation or for implied waivers by the student. For certain disclosures, university officials must record when, what records, and to whom they have disclosed personally identified information to third parties. In the case of emergencies, school officials must also record the articulable or significant threat that formed the basis for the disclosure.

D. Disclosure of Alcohol and Drug Violations and Violent Crimes:

1. Unless there are extenuating circumstances, the university will not generally notify parents or legal guardians of students under the age of 21 of the first time alcohol violation. Parents and guardians will be notified if the student is determined by the university to be a danger to himself or herself, to others, or to property.
2. The university may notify parents and legal guardians of students under the age of 21 of all second and subsequent alcohol violations. For purposes of determining what constitutes a second or subsequent violation, multiple related violations during a single incident will be treated as one offense.
3. The university may notify parents or legal guardians of students under the age of 21 of any drug violations.
4. The university may disclose the final results of campus disciplinary proceedings in which a student is charged with a violent crime or non-forcible sex offense. Disclosure to victims of the crime or offense may be made regardless of whether the student was found responsible. Disclosure to third parties may be made only if the student is found responsible. Disclosure is limited to the name of the violator, the type of violation found to have occurred, and the sanction imposed by the university.

E. Inspection and Review of Student Records:

1. FERPA provides students with the right to inspect and review (within 45 days of request) information contained in their education records (as defined above), challenge the contents of their education records and to have a hearing if the outcome of the challenge is unsatisfactory (see below), and to submit explanatory statements for inclusion in their files if they feel the decisions of the hearing panels to be unacceptable.
2. The Office of the Registrar has been designated by the university to coordinate the inspection and review procedures for student education records. Such records are maintained at several locations on the campus. The official custodians and their offices which may be contacted for access to the various types of student records are listed in the *NMSU Student Handbook*. A written request may be required. If the student is uncertain as to the location of a particular

record, a written request should be addressed to the Registrar identifying the item or items of interest.

3. Students may have copies made of their records unless a financial “hold” has been placed on the record by an appropriate university official. Such copies will be made at no cost to the student unless the costs exceed \$50.00.
  4. Students may not inspect and review the following, as specified in FERPA: financial information submitted by their parents; confidential letters and recommendations associated with admissions, employment or job placement, or honors to which they have waived their rights of inspection and review; or education records containing information about more than one student, in which case the institution will permit access only to that part of the record which pertains to the inquiring student. The university is not required to permit students to inspect and review confidential letters and recommendations placed in their files prior to January 1, 1975, providing those letters were collected under established policies of confidentiality and were used only for the purposes for which they were collected.
- F. Amendment of Student Records: If a student believes that the information contained in the student’s education records is inaccurate or misleading, or that it violates privacy or other rights, the student may request that the university amend the record. Such request shall be in writing addressed to the Registrar, and shall specify the amendment sought. For further information regarding the process for consideration of such a request, which is distinct from a grade appeal governed by the policies and procedures outlined in the *NMSU Student Handbook*, students may consult the Office of the Registrar, who has available copies of the statute and the Department of Education’s regulations.

### **2.90.30 Protection of Non-public, Personal Information**

NMSU ensures the security and confidentiality of private, non-public records and information, and protects it from anticipated threats or hazards, as well from unauthorized access to or use of such records, in accordance with the Gramm-Leach-Bliley Act (GLBA Act), 15 U.S.C. Subchapter 1, §§ 6801-6809.

New Mexico State University collects information such as:

- Name (in combination with)
- Social Security Number
- Date and location of birth
- Gender
- Financial status
- Salary history
- Personal check information
- Bank information - check routing numbers
- Credit card numbers
- Drivers license information

NMSU’s policy is to identify and safeguard this information, when required, with the appropriate procedures, consistent with the GLB Act. The university will manage private, non-public information in accordance with all applicable state and federal guidelines relating to the use, disclosure and retention of private, non-public information. Appropriate administrative, technical and physical security of this information is identified in the Plan for Creation and Implementation of Privacy and Safeguarding Guidelines. A copy of this plan is available at [NMSU Privacy](#).

### **2.90.40 Inspection of Public University Records** *[Amendments recommended by Administrative Council 09.13.11; approved by Board of Regents 10.10.11][Amendment recommended by Administrative Council 11.08.11; approved by Board of Regents 12.09.11]*

- A. Compliance with the NMIPRA: All records of the NMSU Board of Regents shall be open to inspection by the public during normal business hours, and in accordance with the New Mexico

Inspection of Public Records Act (NMIPRA). NMSA 1978§14-2-1 *et seq*; NMSA 1978§21-1-16.

1. The university's practice is to respond to public inquiries, including those from employees, governments, the press, and the general public, through an appropriate spokesperson in a prompt and courteous manner.
  2. The university is not obligated to compile or otherwise create or reformat a new record in response to a request for information.
  3. The university shall post, in a conspicuous location in their administrative offices, a notice informing the public of the right to inspect records and the procedures for, and reasonable fees associated with inspecting and copying records. Additionally, notice shall also be posted on the university's web site with contact information for the various public records custodians.
- B. Protection of Confidential Records from Disclosure: Despite the breadth of the NMIPRA, the university shall not permit inspection of information protected from disclosure under an exception within the NMIPRA or other applicable state and federal laws. For example, student records within the meaning of the Family Educational Rights and Privacy Act (FERPA), and medical records covered by the Health Insurance Portability and Accountability Act (HIPAA) will not be disclosed absent consent to release from the student or patient. Requests for inspection will be considered and permitted consistent with the rights of the parties. *See also* the university's policy [2.35.1.2.3 Institutional Data Security](#).
- C. Designation of the University's Records Custodians: The following officials are designated to serve as the records custodians for the types of records listed below.
1. Personnel Records: The assistant vice president of human resource services.
  2. Financial and Business Records and Contracts: The university associate vice president budget/controller.
  3. Sponsored Projects Records: The vice president for research.
  4. Student Academic Records: The university registrar.
  5. Student Nonacademic Records: The vice president for student affairs and enrollment management.
  6. New Mexico Department of Agriculture Business Records: The assistant director of the NMDA.
  7. University Archives: The university archivist.
  8. Real Estate Records: The director of real estate.
  9. Employment Contracts for university president and athletics coaches: The university general counsel.
  10. Law Enforcement Records: the university chief of police.
- D. Guidelines for Responding to Requests to Inspect Public Information.
1. Definitions:
    - a. "Public record" means all documents, papers, letters, books, maps, tapes, photographs, recordings, and other materials, regardless of physical form or characteristics, that are used, created, received, maintained or held by or on behalf of any public body and relate to public business, whether or not the records are required by law to be created or maintained.
    - b. "Records custodian" means the person responsible for the maintenance, care or keeping of a public body's public records, regardless of whether the records are in that person's

actual physical custody and control.

2. Form of Request for Inspection: In accordance with the NMIPRA, requests for information may be made orally or in writing. Inspection of information or documents may be provided in response to an oral request; however, this policy and the procedures required by the NMIPRA apply only to written requests, including email requests.
  - a. Requests for inspection of public information shall identify the name, address and telephone number of the requestor.
  - b. The request shall identify the records sought with reasonable particularity.
  - c. Requests for information submitted electronically shall be considered and treated the same as a written request; i.e. email requests must provide the information listed in subsection 2a. above.
3. NMSU Response to Requests:
  - a. The NMSU employee receiving a request for inspection of public records shall not inquire into the reason for the request.
  - b. The NMSU employee receiving a request for inspection of public records shall immediately forward to the designated records custodian, for action consistent with the NMIPRA.
  - c. The records custodian shall immediately forward a copy of the request to the Office of the General Counsel for guidance and shall not release information covered by the request until instructed to by the Office of the General Counsel.
  - d. The records custodian is responsible for compliance with the NMIPRA and with NMSU policy, including timely correspondence with the requestor. Templates for the response letter required within 3 days from receipt of the request and other sample response letters may be viewed and/or downloaded at: [Attorney General Guide - Public Records](#).
  - e. Records custodians must respond to a public records request in the same medium in which they received the request; they may also respond in any other medium they deem appropriate. For example, if the request is sent via email, the response must be sent via email. See Policy [2.90.40 \(5\) d Inspection of Public University Records](#) below for the applicable time deadlines for responding.
  - f. The records custodian shall assemble the responsive documents. If a public record is available in electronic format and a requester specifically requests an electronic copy, the records custodian shall provide the record in electronic format. There is no duty to change or convert the “file format” of the record, however.
  - g. If the requested records contain both public and private/confidential information, such as protected personal identifier information as defined in the NMIPRA, it shall be separated by the records custodian prior to the inspection, and the nonexempt information shall be made available for inspection. Additionally, all metadata associated with the exempt information must be removed from the electronic document by utilizing methods or redaction tools that prevent the recovery of the exempt information from a redacted electronic document. In order to protect and preserve the integrity of computer data or the confidentiality of exempt information contained in a database, a partial printout of data containing public records or information may be furnished in lieu of an entire database.
4. Misdirected Requests: Consistent with the NMIPRA, if a request for information is sent to someone who is not the records custodian for the records subject of the request, the office/person receiving the request shall forward it to the proper records custodian, if known, and notify the requestor. The notification to the requestor shall state the reason for the absence of the records from that person or office’s custody or control, the location of the requested records and the name and address of the records custodian.
5. Time Deadlines for Responding to Requests:
  - a. As required by the NMIPRA, upon receipt of a request to inspect public information, the record shall be made available immediately or as soon as practicable under the circumstances.
  - b. If access will not be provided within three business days after the request is delivered to



- the records custodian, the custodian shall provide a written explanation to the requestor when the records will be made available or when the university will respond.
- c. The three day period commences when the written request is delivered to the office of the custodian. If the request is delivered via email, the date of delivery shall be the date that the records custodian reasonably should have opened the email. Unless the request is determined to be excessively broad or burdensome, the inspection must be allowed within 15 days from the date the request was received.
  - d. If a custodian determines that the type or nature of a request makes it excessively burdensome or broad, notice may be sent to the requestor, within 15 days from receipt of the request, stating that additional time is needed.
  - e. The requestor may deem the request denied if the custodian does not permit the records to be inspected within a reasonable period of time.
  - f. If a written request is denied, the records custodian shall provide the requestor with a written explanation which a) describes the records sought; b) states the names and titles of the positions of each person responsible for the denial and then mail or deliver to the requestor within 15 days from the date the request was received by the custodian.
6. Inspection of Records/Reasonable Fees: In accordance with the NMIPRA, the following conditions apply to records access and inspection:
- a. Original records may be inspected on site only, subject to reasonable conditions imposed by the records custodian to protect the integrity of the original records, and to prevent disruption of normal operations.
  - b. No fee shall be charged to allow inspection of public records, if copies are not sought.
  - c. A reasonable fee may be charged for the copying of public records, not to exceed \$1.00 per page 11 x 17 inches or smaller. No fee shall be charged for the cost of determining whether a public record is subject to disclosure.
  - d. When producing records in electronic format, the actual costs associated with downloading copies to a storage device and the actual cost of the storage device may be charged, as well as the actual cost for transmitting the records.
  - e. Advance payment of the reasonable copying fee is required.
  - f. A receipt for payment of the fee shall be provided.

## **2.91 Identity Theft Prevention Program** *[Policy adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09]*

- A. Introduction: The Fair and Accurate Credit Transactions Act of 2003, an amendment to the Fair Credit Reporting Act, requires rules regarding identity theft protection to be promulgated and adopted jointly by the Office of the Comptroller of the Currency, Treasury; the Board of Governors of the Federal Reserve System; the Federal Deposit Insurance Corporation; the Office of Thrift Supervision, Treasury; the National Credit Union Administration; and the Federal Trade Commission. The risk to New Mexico State University (the “university”), and its students, faculty, staff, and other constituents from data loss and Identity Theft is of significant concern to the university.
- B. Purpose: The university adopts this Identity Theft Prevention Program (the “Program”) in an effort to detect, prevent, and mitigate Identify Theft in connection with the opening of a Covered Account or any existing Covered Account. The Program is further intended to help protect students, faculty, staff, and other constituents and the university from damages related to the fraudulent activity of Identity Theft.
  1. This Program will:
    - a. Identify patterns, practices, or specific activities that indicate the possible existence of Identity Theft with regard to new or existing Covered Accounts;
    - b. Detect Red Flags that have been incorporated into the Program;
    - c. Respond appropriately to any Red Flags that are detected under the Program;
    - d. Ensure periodic updating of the Program, including reviewing the accounts that are covered and the identified Red Flags that are part of the Program; and
    - e. Promote compliance with state and federal laws and regulations regarding Identity Theft

protection.

C. Scope: The Program applies to all units of the university's Las Cruces campus, community college campuses and satellite operations having interaction with students, faculty, staff, and other constituents.

D. Definitions:

1. Covered Account: An account the university offers or maintains that involves or is designed to permit multiple payments or transactions; and every new and existing account maintained by the university for its students, faculty, staff, and other constituents that meets the following criteria:
  - a. Accounts for which there is a reasonably foreseeable risk of Identity Theft; or
  - b. Accounts for which there is a reasonably foreseeable risk to the safety or soundness of the university from Identity Theft, including financial, operational, compliance, reputation, or litigation risk.
2. Identity Theft: Fraud committed or attempted using the identifying information of another person without authority.
3. Personally Identifying Information: Any information that may be used to identify a specific person in conjunction with the name of the person, including: name, address, telephone number, social security number, date of birth, government issued driver's license or identification number, alien registration number, government passport number, employer or taxpayer identification number, student identification number, computer's Internet Protocol address, banking account information and credit card information.
4. Red Flag: A pattern, practice, alert, or specific activity that indicates the possible existence of Identity Theft.
5. Program Administrator: The individual assigned with primary responsibility for oversight of the Program.

E. Procedures for Theft Prevention:

1. Identification of Red Flags. Any time a Red Flag, or a situation closely resembling a Red Flag, is apparent, it should be investigated for verification by the highest authority within the operation or department of the university where it has or is occurring. The following list is not intended to be complete or comprehensive, but rather only provide examples of the most common red flags.
  - a. Alerts, notifications, or warnings from a consumer reporting agency. Examples of these Red Flags include, but are not limited to, the following:
    - i. A fraud or active duty alert included with a consumer report;
    - ii. A notice of credit freeze from a consumer reporting agency in response to a request for a consumer report;
    - iii. A notice of address discrepancy from a consumer reporting agency as defined in § 334.82(b) of the Fairness and Accuracy in Credit Transactions Act; and
    - iv. A consumer report that indicates a pattern of activity inconsistent with the history and usual pattern of activity of an applicant or customer, such as:
      - A recent and significant increase in the volume of inquiries;
      - An unusual number of recently established credit relationships;
      - A material change in the use of credit, especially with respect to recently established credit relationships; or
      - An account that was closed for cause or identified for abuse of account privileges by a financial institution or creditor.
  - b. Suspicious documents. Examples of these Red Flags include, but are not limited to, the

following:

- i. Documents provided for identification that appears to have been altered or forged;
  - ii. The photograph or physical description on the identification is not consistent with the appearance of the student, faculty, staff, and other constituent presenting the identification;
  - iii. Other information on the identification is not consistent with information provided by the person opening a new Covered Account or student, faculty, staff, and other constituent presenting the identification;
  - iv. Other information on the identification is not consistent with readily accessible information that is on file with the university; and
  - v. An application appears to have been altered or forged, or gives the appearance of having been destroyed and reassembled.
- c. Suspicious personally identifying information. Examples of these Red Flags include, but are not limited to, the following:
- i. Personally Identifying Information provided is inconsistent when compared against external information sources used by the university;
  - ii. Personally Identifying Information provided is associated with known fraudulent activity as indicated by internal or third-party sources used by the university;
  - iii. Personally Identifying Information provided is of a type commonly associated with fraudulent activity as indicated by internal or third-party sources used by the university;
  - iv. The SSN provided is the same as that submitted by another student, faculty, staff, or constituent;
  - v. The person opening the Covered Account fails to provide all required Personally Identifying Information on an application or in response to notification that the application is incomplete;
  - vi. Personally Identifying Information provided is not consistent with Personally Identifying Information that is on file with the university ; and
  - vii. When using security questions (mother's maiden name, pet's name, etc.), the person opening the Covered Account cannot provide authenticating information beyond that which generally would be available from a wallet or consumer report.
- d. Unusual use of, or suspicious activity related to, the Covered Account. Examples of these Red Flags include, but are not limited to, the following:
- i. Shortly following the notice of a change of address for a Covered Account, the university receives a request for new, additional, or replacement goods or services, or for the addition of authorized users on the account;
  - ii. A Covered Account is used in a manner that is not consistent with established patterns of activity on the account;
  - iii. A Covered Account that has been inactive for a reasonably lengthy period of time is used (taking into consideration the type of account, the expected pattern of usage and other relevant factors);
  - iv. Mail sent to the student, faculty, staff, or other constituent is returned repeatedly as undeliverable although transactions continue to be conducted in connection with the Covered Account;
  - v. The university is notified that the student, faculty, staff, or other constituent is not receiving account statements;
  - vi. The university is notified of unauthorized charges or transactions in connection with a Covered Account;
  - vii. The university receives notice from students, faculty, staff, or other constituents, victims of Identity Theft, law enforcement authorities, or other persons regarding possible Identity Theft in connection with Covered Accounts held by the university ; and
  - viii. The university is notified by a student, faculty, staff, or other constituent, a victim of Identity Theft, a law enforcement authority, or any other person that it has opened a fraudulent account for a person engaged in Identity Theft.

2. Responding to Red Flags.
  - a. Once a Red Flag, or potential Red Flag, is detected, the university will endeavor to act quickly as a rapid appropriate response can protect students, faculty, staff, and other constituents and the university from damages and loss.
  - b. The university will quickly gather all related documentation, write a description of the situation, and present this information to the Program Administrator for determination.
  - c. The Program Administrator will complete additional authentication to determine whether the attempted transaction was fraudulent or authentic.
3. Responsive Action. If a transaction is determined to be fraudulent, appropriate actions will be taken immediately. Actions may include:
  - a. Canceling the transaction;
  - b. Notifying and cooperating with appropriate law enforcement;
  - c. Determining the extent of liability of the university; and
  - d. Notifying the student, faculty, staff, or other constituent that fraud has been attempted.

F. Policies and Procedures to Protect Personally Identifying and Confidential Information.

1. The following information, even though it may otherwise be considered public or proprietary, is often used in conjunction with confidential information to commit fraudulent activity such as Identity Theft:
  - a. Payroll information, such as paychecks and pay stubs.
  - b. Benefit enrollment forms and associated supporting documentation.
  - c. Medical information for any employee or customer, including but not limited to doctor names and claims, insurance claims, prescriptions and related personal medical information.
2. Distribution of Information.
  - a. Hard Copy. In accordance with NMSU Institutional Data Security Policy, all university personnel should make efforts to secure data.
  - b. Electronic. The university regulates electronic distribution of confidential information under the following policy guidelines:
    - i. NMSU Institutional Data Security Policy
    - ii. Information Stored on Computing Devices Policy
    - iii. Acceptable Use Policy
3. All university employees should comply with the following policies:
  - a. Confidential and other information commonly used in Identity Theft may only be transmitted using approved methods as defined by the Information and Communication Technology department.
  - b. Confidential and other information commonly used in Identity Theft in an electronic format must be protected from unauthorized access or disclosure at all times.
  - c. All e-mails containing confidential and other information commonly used in Identity Theft should include the following statement: "This message may contain confidential and/or proprietary information and is intended for the person/entity to which it was originally addressed. Any use by others is strictly prohibited."

- G. Application of Other Laws and University Policies: University personnel must make reasonable efforts to secure confidential and other information commonly used in Identity Theft to the proper extent. Furthermore, this section should be read and applied in conjunction with the Family Education Rights and Privacy Act ("FERPA") and other applicable laws and university policies. If an employee is uncertain of the confidentiality of a particular piece of information, he/she should contact the Program Administrator or the Office of General Counsel.

## H. Program Administration:

### 1. Involvement of Management.

- a. Establishment of the Program is the responsibility of the university's Board of Regents. The board's approval of the initial plan must be appropriately documented and maintained.
- b. Operational responsibility of the Program, including but not limited to the oversight, development, implementation, and administration of the Program, approval of needed changes to the Program, as well as periodic evaluation of the Program and implementation of needed changes to the Program, is delegated to the university's associate vice president for information technology as the Program Administrator. If deemed appropriate and necessary by the Program Administrator, an Identity Theft Committee will be established to assist with implementing, maintaining and updating the Program.

### 2. Employee Training.

- a. Training will be conducted for all employees for whom it is reasonably foreseeable, as determined by the Program Administrator, that the employee may come into contact with accounts or Personally Identifiable Information that may constitute a risk to the university or its students, faculty, staff, and other constituents.
- b. The university's Office of Human Resources Services offices are responsible for ensuring that Identity Theft training is conducted for all employees for whom it is required.
- c. Employees shall receive annual training in all elements of the Program.
- d. To ensure maximum effectiveness, employees will continue to receive additional training as changes to the Program are made.

### 3. Oversight of Service Provider Arrangements.

- a. The university will endeavor to ensure that the activities of all service providers are conducted in accordance with reasonable policies and procedures designed to detect, prevent, and mitigate the risk of Identity Theft.
- b. A service provider that maintains its own Identity Theft prevention program, consistent with the guidance of the Red Flag rules and validated by appropriate due diligence, may be considered to be meeting these requirements.
- c. Any specific requirements will be specifically addressed in the appropriate contract arrangements.

- I. Updates: The Program Administrator will require a periodic review of the Program to reflect changes in risks to students, faculty, staff and other constituents, and the soundness of the university from Identity Theft. This review will consider the university's experiences with Identity Theft situations, changes in Identity Theft methods, changes in Identity Theft detection and prevention methods, and changes in the university's business arrangements with other entities. The review will also include an assessment of which accounts are covered by the Program, accuracy and completeness of Red Flags and actions taken when fraudulent activity is discovered. After considering these factors, the Program Administrator will determine whether changes to the Program are warranted. If warranted, the Program will be updated.

- J. Non Disclosure: For the effectiveness of this Program, knowledge about specific Red Flag identification, detection, mitigation and prevention practices may need to be limited to the Program Administrator and to those employees with a need to know them. Any documents that may have been produced or are produced in order to develop or implement this program that list or describe such specific practices and the information those documents contain are considered "confidential" and should not be shared with other university employees or the public. The Program Administrator shall inform those employees with a need to know the information of those documents or specific practices which should be maintained in a confidential manner.

## 2.92 **New Mexico State University Research Park Corporation, Inc.**

The purpose of the Research Park is to serve as an important adjunct to the university and its programs of instruction, research, and service and to provide resources for the overall benefit of the institution and its constituencies. Any leasing or management arrangements must be under conditions which protect the interests of the university and are approved by the Board of Regents. The board authorized the president to establish, on behalf of the board, the NMSU Research Park Corporation, Inc., as a not-for-profit corporation under the University Research Park Act. The initial board of directors of the NMSU Research Park Corporation, Inc., shall be two regents determined by the board, the president, the executive vice president and provost, the vice president for research, and the senior vice president for administration and finance. The purpose of the corporation is to develop the Arrowhead Research Park. The board has approved the Operating Policy Agreement between the Board of Regents and the Board of Directors of the NMSU Research Park Corporation.

## 2.94 **Weather, Inclement (Closings)** *[Amendment recommended by Administrative Council 08.24.10; approved by the Board of Regents 09.17.10]*

New Mexico State University is a 24/7 system of campuses, facilities and services. Consequently, while certain services or facilities may be affected by inclement weather, NMSU remains open. When weather conditions are such that the safety of NMSU students, faculty, and staff are compromised or normal operations are adversely impacted, the university may close.

- A. **Policy Statement:** When inclement weather affects a campus or large facility, the appropriate campus president or provost/campus academic officer will determine, based on input from police, facility directors and other support staff, if the facility/campus will be closed.
  1. **Closure Notification:** Whenever a facility or campus is closed due to inclement weather, closure information shall be communicated to affected university personnel and local news agencies. Whenever a local school system closes due to inclement weather while the university campus associated with the school district remains open, university officials shall communicate to university personnel that the campus is remaining open.
  2. **Open Notification:** When inclement weather conditions have subsided and the university can return to normal operations, university officials shall communicate to affected university personnel and local news agencies the date and time of the reopening of the university.
- B. **Employee Leave:** When a facility/campus is closed due to inclement weather, regular exempt and non-exempt employees who are scheduled to work during the closure period shall be placed on leave with pay, while temporary and student employees will receive leave without pay. Temporary and student employees may work to make up lost hours with the concurrence of their supervisor. Employees affected by inclement weather who cannot come to work, when the university remains open, may request annual leave from their immediate supervisor (*see* Policy [7.20 Leaves](#)). In these instances, employees in non-leave earning positions will be placed on a leave without pay status.
- C. **Closure Planning:** Administrators of services and facilities that provide essential services, such as university police, fire and emergency services, information and technological services, physical resources, and housing, will independently develop Continuity of Operations plans to maintain these services. (Refer to Policy [2.25 Emergency Preparedness and Response](#): Continuity of Operations and designation of essential positions).

## 2.95 **Parking and Traffic Regulations** *[Amendments restructuring as new Policy 2.95 adopted by Administrative Council 02.12.08 and updating the Fee Schedule as approved by Board of Regents 03.10.08; ratified by Board of Regents 07.15.08] [Amendments adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09] [Amendment to parking permit rates approved by Board of Regents 04.01.10][Amendment recommended by Administrative Council 06.08.10; approved by Board of Regents 07.20.10] [Amendment to parking permit rates approved by Board of Regents 04.08.11][Amendments recommended by Administrative Council 04.12.11; approved by Board of Regents 05.06.11][Amendments recommended by Administrative Council 09.10.13; approved by Board of Regents 10.21.13]*

### **2.95.1 Statutory Grant of Authority**

These regulations are established to allow for the consistent and fair treatment of all people (students, faculty, staff, vendors, and visitors) who use the campus, optimal use of available parking, and assist with the safe movement of traffic. Pursuant to the authority granted to the New Mexico State University Board of Regents (NMSU) by NMSA 1978, § 29-5-1.1 to promulgate regulations governing the operation and parking of vehicles in any area within the exterior boundaries of lands under its control which is not a municipal street or highway.

### **2.95.2 Delegation of Board's Authority**

The Office of Transportation and Parking Services and the NMSU Police Department are assigned the responsibility and legal authority for the implementation, application and enforcement of these regulations.

### **2.95.3 Jurisdiction/Scope of Application**

These regulations apply at the NMSU-Las Cruces campus and Doña Ana Community College central campus on Espina. The other NMSU components may request the implementation and enforcement of parking and traffic regulations at their respective locations, including a request for distinct permit fees. Fees distinct from those set forth in this policy are subject to approval by the Board of Regents.

### **2.95.4 General Guidelines**

A copy of the current Traffic and Parking Regulations shall be made available at the Office of Transportation and Parking Services to anyone requesting a copy. Parking Regulations are also available online at [www.nmsuparking.com](http://www.nmsuparking.com).

A. Definitions: For purposes of this policy, the following definitions shall apply:

1. **Bus**: Bus shall refer to every motor vehicle designed for the transportation of more than 16 persons or other oversize vehicle designed for the transportation of persons for compensation.
2. **Commercial Vendor**: Any person, excluding faculty, staff and students, representing a private business or service that requires parking privileges at NMSU in order to conduct that business.
3. **Commuter Student**: A student residing off of the NMSU-Las Cruces campus during the academic year and who drives to campus.
4. **Faculty**: Any employee classified as faculty or affiliate by the Office of Human Resource Services, who works at, or is affiliated with, either the Las Cruces campus or the Dona Ana Community College central campus on Espina.
5. **Family Housing**: The areas including Cole Village, Sutherland Village, Tom Fort Village and Cervantes Village B, C, D, E, and G.
6. **Graduate Assistant**: Graduate Assistants are considered to be students for purposes of this policy.
7. **Low Emission or Fuel Efficient Vehicle**: A vehicle listed in the most current published "My LEED List of Fuel Efficient Vehicles" as compiled by the American Council for an Energy-Efficient Economy.
8. **NMSU-Las Cruces Campus**: The lands belonging to, or controlled by NMSU that are roughly described as the approximately five square miles of land in the vicinity of the junction of Interstate 10 and Interstate 25, and that are routinely patrolled by the NMSU Police Department. This area is depicted on the campus parking map.
9. **Official Government License Plate**: Any vehicle displaying an official government license

plate. Official Government License Plates include those readily identifiable as U.S. government, diplomat, any U.S. state, city or county government agency and state legislative license plates.

10. **Parking Stall or Space:** A parking stall or space is that which accommodates a single vehicle and is clearly defined by painted lines on adjacent sides of the vehicle.
  11. **Resident:** Any person who resides on the NMSU Las Cruces campus during the academic year.
  12. **Restricted:** (red) Fire/Emergency zones, (yellow) “no parking” zones, (blue) disabled zones, (green) service zones, parking spaces marked with signage as specially reserved, or any other restricted area indicated by signage.
  13. **Staff:** Any employee classified as staff or affiliate by the Office of Human Resources Services, who works at, or is affiliated with, the Las Cruces campus or the Dona Ana Community College central campus on Espina.
  14. **Student:** Any person on either the Las Cruces campus or Dona Ana Community College central campus on Espina who attends classes at any time during the year.
  15. **Tow-Away Zone:** Any area designated by signage which provides notice that vehicles may be towed, as well as any roadway or driving lane on campus when the violating vehicle is parked in the traveled portion of the roadway or driving lane and is obstructing the safe flow of traffic.
  16. **Vehicle:** Vehicle refers to any vehicle or device that is propelled by an internal combustion engine, electric or other power that is used or may be used on the roadway for purpose of transporting persons or property, including connected trailers. A vehicle must fit within a single parking stall.
  17. **Visitor:** Any person not in the other categories defined under definitions.
  18. **Windshield:** The window that is located in front of the driver when facing forward.
- B. **Designated Parking Areas:** The Board of Regents has authorized the designation of parking areas for the NMSU-Las Cruces campus. Parking areas are designated according to the following classifications, which may be modified by the Transportation and Parking Services to meet the needs of the university:
1. “All Permits” parking areas
  2. Commuter Student
  3. Designated Parking Spaces for Individuals with Disabilities
  4. Emergency/Fire Zones
  5. Faculty/Staff
  6. Free Parking areas
  7. Low Emission and Fuel Efficient Vehicle Parking
  8. Metered
  9. Motorcycle
  10. North Campus Resident
  11. Reserved Parking Spaces



12. Restricted/Service/Delivery Zones
  13. South Campus Resident
- C. Signage: Areas subject to campus traffic and parking regulations shall be marked with appropriate signage, and drivers shall adhere to all signage, including temporary signage. Street or curbside parking spaces not marked with signs, curb color or other parking designation restriction, shall be designated and defined as “All Permits” parking area.
1. Where there are multiple restricted spaces together, these may be depicted by signs at the beginning and end of the restricted area.
  2. Signage may be either temporary or permanent, including but not limited to signage displaying parking instructions and/or meter bags or covers.
- D. Conflict between Regulations, Designation on Map and Signage: In the event of a conflict between these regulations, map designations or on-site signage that specifies parking instructions, the on-site signage shall control.
- E. Penalties and Fees: Consistent with state law, these regulations set specific penalties for each type of violation, as well as impose an additional fee per citation for costs associated with the administration of NMSU’s traffic program.
- F. Abuse of Permit or Placard and Authority to Cancel: Vendor permits, departmental placards and visitor placards, shall only be used for official NMSU business, and shall not be misused to attend a class or for other personal use. Transportation and Parking Services is authorized to cancel a permit or placard that has been misused, regardless of the entity or person that provided the permit (*i.e.* use of a permit or placard to park to attend class instead of for authorized purpose). Permits or placards will be cancelled after notice by Transportation and Parking Services, and an opportunity to rebut the charge of misuse. No refund is available for permits or placards cancelled in accordance with this subsection.
- G. NMSU Authority to Place Barrier: Barriers, fences, signs, posts or other traffic or control devices may be placed by NMSU and/or its authorized agents at any location necessary for the safety of the public and/or work crews. Removal or moving any such safety or warning device is prohibited. Violators will be cited.
- H. NMSU Authority to Block or Restrict Parking Areas and Roadways: The university reserves the right to block or otherwise restrict parking areas and roadways for maintenance, special events, or other functions deemed appropriate. All such closures must be approved by Transportation and Parking Services, Police Department and/or the assistant vice president for auxiliary services, as deemed appropriate.
- I. Individual Responsibility: The university does not provide security specific to parking areas, and assumes no responsibility for the care or protection of vehicles, including their contents, parked on its property; individual owners are encouraged to follow safety guidelines relating to parked vehicles.
- J. Amendment to Parking/Traffic Regulations: These regulations may be modified in accordance with the policy adoption protocol outlined in Chapter 1.

### **2.95.5 NMSU Permit or Placard Issuance Requirements**

- A. Proof of Identification Required: In order to obtain an NMSU parking permit, the individual must provide proof of identification, and for permits other than visitor permits, proof of eligibility for the type of permit being sought. Adequate forms of identification include but are not limited to: NMSU identification card, Aggie identification number, a state-issued photo ID card, other official identification containing a photograph and/or verifiable identification.

B. Purchase of Additional Permits:

1. An individual may purchase one parking permit at the price indicated in the fee table at NMSU Parking Fee Schedule, and an additional permit at the price applicable under “additional permits” in the fee table at NMSU Parking Fee Schedule.
2. An individual may purchase one regular permit and one motorcycle permit at regular prices without having them count as “additional” permits under this section.
3. Residents of Family Housing may purchase up to two (2) permits at the regular price.

C. Responsibility for Violations: The person on record for having purchased the permit will be the party held responsible by NMSU for any and all violations by any individual displaying that permit in any vehicle.

D. Types of Permits Available/Issuance Procedures:

1. Campus Resident Parking Permit. To obtain this type of permit, the person must be an NMSU student and reside on campus during the academic year.
2. Faculty/Staff Permit. To obtain this type of permit, the person must be NMSU faculty or staff.
3. Commuter Student Permit: To obtain this type of permit, the person must be a commuter student.
4. Outer Lot Employee Permit. To obtain this type of permit, the person must be NMSU faculty or staff.
5. Commercial Vendor’s Parking Permit: Faculty, staff, and students are not eligible for commercial vendor permits. A commercial vendor may purchase either a single or an umbrella permit. Umbrella permits are issued to commercial vendors with multiple vehicles making deliveries, and will be valid for all company vehicles clearly marked with the company logo, as long as there are no more than two (2) such vehicles on campus at any given time. The umbrella delivery permit does not need to be displayed, but must be available at the vendor’s office for inspection and auditing.
6. Disabled Parking Placard: Based on a valid state-issued placard or license plate, and in accordance with the procedures of Transportation and Parking Services, NMSU will honor such disabled parking placard in the event of a temporarily disabled faculty, staff or student, the Transportation and Parking Services will issue a temporary NMSU Disabled parking permit. Temporary disabled parking permits require the individual to produce a doctor’s note.
7. Departmental Placard: Transportation and Parking Services issues loading/unloading departmental placards to the departments needing such access. The placard is only valid when displayed in conjunction with another valid NMSU Parking Permit. The departmental placard is to be used for authorized NMSU business purposes only.
8. Special Event/Visitor Parking Placard: NMSU entities hosting an event requiring visitor parking for guests are required to obtain visitor permits or parking placards for each vehicle, and to advise their guests regarding the campus parking regulations. Pre-purchased parking spaces are available from Transportation and Parking Services by submitting a “Request for Special Event Parking Permits” form five (5) days, before the date of the event.
9. VIP Parking Permits: These permits are authorized solely by the assistant vice president for auxiliary services.
10. Special Parking Permits: These permits are authorized solely by the university president and

generally are reserved for members of the Board of Regents, the president, the provost, vice presidents, deans, general counsel, campus executive officers, chairs of faculty senate and employee council and certain directors who report directly to deans, vice presidents, or the provost. Upon the approval of the university president, the ASNMSU president and vice president may purchase special permits at the same price as commuter student permits.

11. **Reserved Parking Spaces:** Departments may lease parking spaces each year from Transportation and Parking Services at the rate listed in the fee table at [NMSU Parking Fee Schedule](#) by completing and submitting a “Reserved Parking Space Application” to Transportation and Parking Services. These parking spaces will be identified with signage as being specially reserved. (*See also* 2.95.8 A.14)
  12. **Temporary Parking Permit:** A temporary permit may be issued by Transportation and Parking Services for up to fourteen (14) business days to students, faculty, staff, and persons with official business on campus.
  13. **Visitor Parking Permit:** Visitors may obtain a free daily/weekly parking permit at Transportation and Parking Services or via the internet at [www.nmsuparking.com](http://www.nmsuparking.com) (limit five daily permits per year), or purchase an annual “outer lot visitor” or “all access visitor” parking permit.
- E. **Lost Permits:** Lost permits shall be reported to Transportation and Parking Services. The individual who purchased the original permit may purchase a replacement permit upon completion of a lost affidavit form and cancellation of the original permit. Refer to [NMSU Parking Fee Schedule](#) for replacement permit fee. A refund may be provided if the original lost permit is returned to Transportation and Parking Services by the individual who purchased the permit.
- F. **Stolen Permits:** Stolen permits should be reported to Transportation and Parking Services. The individual who purchased the original permit may purchase a replacement permit upon completion of stolen affidavit form and police report. Refer to [NMSU Parking Fee Schedule](#) for replacement permit fee. The permit originally issued shall be cancelled.
- G. **Mandatory Replacement of Permit:** A replacement parking permit shall be obtained, which shall cause the cancellation of the original permit, from Transportation and Parking Services when:
1. The holder’s status changes (example: resident moves off campus)
  2. The holder’s classification changes (example: student becomes staff)
  3. The permit expires
  4. The owner/driver has a permanent permit and needs to change it to another vehicle.
- H. **Cancellation of Permit:** A parking permit shall be returned to Transportation and Parking Services to be officially cancelled when:
1. Employment with NMSU is terminated (excludes retirees)
  2. A student is suspended or expelled from NMSU
  3. A refund is obtained for the parking permit
- I. **Cancelled Permits:** All permits that have been cancelled for any reason shall be placed on the “tow or boot” list and any vehicle found to be parked anywhere on campus using a permit that has been cancelled shall be cited and towed or booted.

## 2.95.6 Parking Fees

- A. Annual Permit Fee Assessment: Every September 1, parking permit fees will be assessed. For purposes of this policy, the year is from September 1 through August 31.
- B. Parking Fees: Permits purchased after December 1 will be priced at one half of the annual price, plus an administrative fee. Permits purchased after May 1 will be priced at one quarter of the annual price, plus an administrative fee. Permit prices are included at NMSU Parking Fee Schedule.
- C. Free Parking: There is no fee to park in the areas designated for free parking. NMSU personnel retired prior to September 1, 1992, may receive a free faculty/staff parking permit. Persons displaying a valid state issued disabled license plate or placard may park on campus for free in accordance with other provisions of this policy. There is no fee for Visitor and Temporary permits.
- D. Parking Meter Rate: The rate charged to park in a metered parking space is included at NMSU Parking Fee Schedule.
- E. Refund of Paid Parking Permit Fee: Partial refunds for parking permits are available in some cases.
  - 1. Permits purchased during the Fall semester may be returned prior to January 15 for a refund of the difference between the purchase price and the spring semester price.
  - 2. Faculty and staff terminating employment with NMSU are eligible for a refund which will be determined based on the date the permit is returned.
  - 3. Any payroll deduction unpaid balances due to sabbatical leave, LWOP, workman's comp, etc., will be collected.
  - 4. If faculty or staff terminate employment with NMSU and fail to return their permit, they will be responsible for any unpaid balance owed.
  - 5. Requests for refunds are handled on a case-by-case basis by Transportation and Parking Services.

## 2.95.7 Requirements for Display of Permit

- A. Location of Moveable Permits: Moveable parking permits are the standard-issued permits. The parking permit shall be affixed to the inside, lower corner of the windshield on the driver's side in such a manner that it does not obstruct the driver's vision when operating the vehicle.
- B. Location of Permanently Affixed Permits: Permanent adhesive permits are issued for motorcycles and to those individuals requesting them. For motorcycles, the parking permit shall be affixed in a manner that is clearly visible. For vehicles, the parking permit shall be affixed to the inside, lower corner of the windshield on the driver's side in such a manner that they do not obstruct the driver's vision when operating the vehicle.
- C. Location of Placards: All placards must be hung on rearview mirror.
- D. Visibility of Permit: Permits shall not be obstructed from view any time the vehicle is parked on the NMSU campus. Permits should not be laminated, taped, or altered in any way. If permit does not adhere to windshield, notify Transportation and Parking Services.
- E. One Permit: Only one current permit shall be displayed in a vehicle, unless it is a departmental loading/unloading placard. All departmental loading/unloading placards must be used in conjunction with a valid NMSU parking permit displayed on the vehicle.
- F. Visibility of Permit/Car Covers: Car owners are required to cut a small opening in the car cover

so the parking enforcement officer can see the valid parking permit displayed on the driver's side windshield. The license plate number shall also be written on the windshield portion of the car cover using permanent marker.

## 2.95.8 Parking Requirements

- A. Designated Parking Areas/Parking Permits: All students, faculty, staff, NMSU retirees, commercial vendors and other visitors to campus who park in designated areas on campus, or who park on campus streets, must display a valid NMSU Parking Permit, including but not limited to those listed in 2.95.5 above, for that area and/or in the manner prescribed in these regulations. Signs or permits made by others, handwritten notes left on a vehicle, or other such purported permits not issued by Transportation and Parking Services are prohibited and will not be honored. The permits issued by Transportation and Parking Services with corresponding designated parking area are listed below:
1. "All Permits" Parking Areas: (Indicated by orange color signage) Vehicles displaying any valid NMSU parking permit may be parked in this parking area. Vehicles displaying any valid NMSU parking permit may park in on street or curbside parking where there is no signage or curb color displayed to otherwise restrict parking.
  2. Annual All Access Visitor Permit: Displaying an Annual All Access Visitor permit allows the holder to park in any legal parking space in any lot designation (including faculty/staff, student, and visitor areas), any free lot or along any street where parking is permitted and not otherwise restricted with the exception of emergency/fire zones, restricted service/delivery zones, disabled and other parking spaces marked with signage as specially reserved.
  3. Annual Outer Lot Visitor Permit: (Indicated by orange color signage) Displaying an Annual Outer Lot Visitor permit allows the holder to park in the "all permits" parking areas any free lot or along any street where parking is permitted and not otherwise restricted with the exception of emergency/fire zones, restricted service/delivery zones, disabled and other parking spaces marked with signage as specially reserved.
  4. North Campus Resident Parking: (Indicated by yellow color signage) Vehicles displaying a North Campus Resident permit may be parked in North Campus Resident parking areas, which are restricted 24 hours daily, seven days a week, throughout the calendar year. Vehicles displaying this permit may also be parked in any "all permits" lot and in any free lot, as well as along any street where parking is permitted and not otherwise restricted.
  5. South Campus Resident Parking: (Indicated by purple color signage) Vehicles displaying a South Campus Resident permit may be parked in South Campus Housing parking areas, which are restricted 24 hours daily, seven days a week, throughout the calendar year. Vehicles displaying this permit may also be parked in any "all permits" lot and in any free lot, as well as along any street where parking is permitted and not otherwise restricted. A campus resident permit is not required to park on the driveway; only one vehicle may be parked on a driveway at any given time. Parking on the lawn (yard area) is strictly prohibited.
  6. Commuter Student Parking: (Indicated by green color signage) Vehicles displaying a Commuter Student permit may be parked in lots so indicated, as well as in all-permits, free lots and along any street where parking is permitted and not otherwise restricted.
  7. Disabled Parking: (Indicated by blue color signage) NMSU honors any valid state-issued parking license plate or placard issued to a disabled individual. If a parking space designated for the disabled is not available, those displaying the disabled placard/plate may park in any other legal parking space in any lot designation (including faculty/staff, student, and visitor areas AND parking meters without having to pay), with the exception of emergency/fire zones, restricted service/delivery zones and other parking spaces marked with signage as specially reserved. Note: A disabled veteran (DV) license plate does not authorize recipient to park in a disabled parking zone without a valid state-issued disabled placard.

8. **Emergency/Fire Zone:** (Indicated by red curbs and/or signage) These parking zones are restricted to authorized emergency response vehicles at all times (24 hours a day, seven days a week throughout the calendar year).
9. **Faculty/Staff Parking Permit:** (Indicated by crimson color signage) In addition to the parking areas designated for Faculty/Staff, vehicles displaying this permit type may also be parked in any “all permits” lot and in any free lot, as well as along any street where parking is permitted and not otherwise restricted. Faculty/Staff members residing in a Family Housing area shall display their Housing Resident decal in addition to their Faculty/Staff parking permit while parked in the Family Housing streets or parking lots.
10. **Free Parking Areas:** (Indicated by brown color signage) Any vehicle may be parked in a lot designated as a free lot. No permits are required to park in these areas.
11. **Motorcycle Permit:** A valid NMSU Motorcycle Permit is required for motorcycles, motor scooters, and mopeds to park on campus. All individuals operating a motorcycle, motor scooter, or moped must abide by NMSU Parking Rules and Regulations and must park in a motorcycle parking area Monday through Friday from 7:30 a.m. to 4:30 p.m. Motorcycles may not use automobile spaces except at paid meters. Exception: Between 4:30 p.m. and 7:30 a.m. Monday through Friday and weekends (Saturday & Sunday) motorcycles, motor scooters and mopeds may park in any legal parking space in any parking lot.
12. **Outer-Lot Employee Permits:** (Indicated by orange color signage) This type of permit is offered to faculty and staff at a lower cost than the Faculty/Staff permit and allows parking in the “All Permit Lots”, or in any on-street parking area, with the exception of emergency/fire zones, restricted service/delivery, disabled zones and other parking spaces marked with signage as specially reserved zones.
13. **Service/Delivery Zones:** Unless otherwise posted, the maximum time period for parking in this zone is two (2) hours. These are marked either with signage and/or with green curbing. Restrictions apply 24 hours a day, seven days a week, throughout the entire calendar year. To be authorized to park in this zone, the vehicle must display any one of the following:
  - a. University Service Vehicle with university logo seal painted on the vehicle door actively being used for the service or maintenance of university facilities;
  - b. Departmental loading/unloading placard together with a valid student, faculty/staff or other university parking permit;
  - c. Commercial vendors permit;
  - d. Special or VIP permit.
14. **Reserved Parking Spaces:** There are a number of parking spaces reserved for exclusive use by certain constituencies on campus. These parking spaces are identifiable by signage in these areas indicating the restrictions. Examples include but are not limited to: “Dove Hall Parking Only”, “ROTC Vehicles Only” etc.
15. **Special Events/Visitor:** (Indicated by hanging green placard) Visitors displaying a Special Events Visitor placard may park in any legal parking space in any lot designation (including faculty/staff, student, and visitor areas), as well as along any street where parking is permitted with the exception of emergency/fire zones, service/delivery zones and other parking spaces marked with signage as specially reserved.
16. **Temporary Parking Permit:** (Indicated by bright pink color hanging placard) Persons displaying a temporary parking placard may park in any legal parking space in any lot designation (including faculty/staff, student, and visitor areas), as well as along any street where parking is permitted with the exception of emergency/fire zones, service/delivery zones and other reserved zones.
17. **VIP Permit Parking:** (Indicated by white color) Persons displaying a VIP permit may park in any legal parking space in any lot designation, including faculty/staff, student, visitor areas,

green curbed service/delivery zones and along any street where parking is permitted, in accordance with time limitations as indicated by the signage. Additionally, VIP permit holders may park in the “Visitors to the President’s Office” area if they are attending a meeting with the executive administration in Hadley Hall. VIP permits are not valid in blue, red or yellow curbed areas. VIP permits are not valid in parking spaces marked with signage as specially reserved. . The charge to park at a meter is not waived for VIP permits. The parking meter rate is included at [NMSU Parking Fee Schedule](#).

18. Special Permit Parking: (Indicated by black color signage) Persons displaying a Special permit may park in any legal parking space in any lot designation, including faculty/staff, student, visitor areas, green curbed service/delivery zones and parking spaces marked “special permit only”, in accordance with time limitations as indicated by the signage. Additionally, Special permit holders may park in the “Visitors to the President’s Office” area if they are attending a meeting with the executive administration in Hadley Hall. Special permits are not valid in blue, red or yellow curbed areas. Special permits are not valid in parking spaces marked with signage as specially reserved. The charge to park at a meter is not waived for Special permits. The parking meter rate is included at [NMSU Parking Fee Schedule](#).
  19. Visitor Placard or ePermit: (Indicated by white hanging placard or a printed ePermit) Daily and weekly visitors displaying either a visitor placard or ePermit may park in any legal parking space and along any street where parking is permitted, with the exception of emergency/fire zones, service/delivery zones and other reserved parking spaces marked with signage as specially reserved.
- B. Exceptions to Requirement for Permit: The following are exempt from the requirement for a valid NMSU permit to be able to park in the designated parking areas:
1. Official Governmental Vehicles: Vehicles displaying official government license plates not affiliated with NMSU are allowed to park in any legal parking space in any campus parking lot, but are restricted from parking in any service zone, loading and unloading zone or visitor area. Any time limits indicated on official signs must be followed to avoid receiving a citation. Vehicles displaying official government license plates may park at a parking meter at no charge. Parking at a space designated for disabled person requires display of a valid disabled placard. Under no circumstances, shall these vehicles park in an emergency/fire zone, unless they are authorized emergency vehicles being used in the direct support of emergency services.
  2. NMSU Vehicles: NMSU vehicles displaying official government license plates may park in any legal parking area. NMSU vehicles shall not park in spaces designated for disabled persons, unless a valid disabled permit/placard is displayed; in designated visitor parking spaces; in metered parking spaces; or in reserved–parking spaces marked with signage as specially reserved. Under no circumstances shall these vehicles park in an emergency/fire zone, unless they are authorized emergency vehicles being used in the direct support of emergency services. NMSU vehicles may park in service/delivery/loading zones (green curbs) in accordance with these regulations.
  3. Vehicles with Disabled Placard/Plate: If a parking space designated for Disabled Parking is not available, a vehicle displaying a valid disabled placard/plate may park in other legal parking spaces, except where painted curbs or signs restrict or otherwise regulate such parking. Additionally, a vehicle displaying a valid disabled placard/plate is authorized to park in a metered parking space, free of charge.
  4. Construction Contractors: Contractors and vehicles of their construction workers are exempt from these regulations when parked within a clearly defined construction site that has been approved for parking by the appropriate Facilities and Services Project Manager, as well as by Transportation and Parking Services;
- C. Effective Hours of Parking Restrictions:
1. All designated parking areas are restricted to holders of the appropriate permits Monday

through Friday from 7:30 a.m. to 4:30 p.m. Anyone may park in any faculty/staff, commuter student, “all permits” or visitor parking space, without a permit, after 4:30 p.m. and before 7:30 a.m., as well as on weekends.

2. Campus resident parking is restricted 24-hours a day.
  3. Service/delivery and reserved parking areas, include but are not limited to disabled zones, emergency/fire zones, Post Office patron parking, “no parking” zones are restricted 24 hours a day unless signage indicates otherwise.
  4. Parking meters are in effect from 7:30 a.m. to 4:30 p.m., Monday through Friday.
- D. Metered Parking: No permit is required to park in a metered parking space. Except as provided above for individuals with disabilities displaying a valid disabled placard or plate, any person who parks in a metered parking space shall deposit the required amount in the meter to pay for the right to park there, regardless of the display of valid NMSU Parking Permit or placard, government license plate or other visitor status, or other circumstance. All failures to pay at metered parking spaces will be subject to citation. If a meter is malfunctioning, it should be reported immediately to Transportation and Parking Services at (575) 646-1839 in order to avoid receiving a citation.
- E. Parking on Street: Vehicles displaying any type of valid NMSU parking permit may be parked on the streets on campus, including “outer-lot employee”. On-street parking is restricted or prohibited where colored curbs and/or signage so indicate, or where such parking obstructs the movement or safety of traffic.
- F. Bus Parking: All buses shall park in parking lot #30 east of the Pan Am Center.
- G. Prohibited Parking: Except in compliance with the lawful directions of a traffic control device or officer, or as otherwise provided in these regulations, it is unlawful to park or stop a motor vehicle as follows:
1. On any sidewalk;
  2. In front of a public or private driveway;
  3. Within 15 feet of a fire hydrant;
  4. On a crosswalk;
  5. Within an intersection;
  6. Double parked (meaning parked behind or beside another legally parked vehicle in such a way as to block the second vehicle or to impede the flow of traffic);
  7. Any place where official signs prohibit or restrict parking, stopping, or loading/unloading (including any areas marked by red, yellow, green, or blue curbs);
  8. On any grassed area or dirt area not designated as a parking area, including within the NMSU residential housing areas;
  9. On the traveled portion of any roadway (including while loading or unloading passengers);
  10. In those areas bordered or outlined by curbs, unless outlined as an authorized parking area;
  11. Outside a marked stall or outlined parking area;
  12. On the driver’s left-hand side of the roadway, facing the wrong lane of traffic (except on one-way streets where on-street parking is permitted);



13. Over 18 inches from any curb;
  14. In any timed area over the designated time;
  15. In front of areas allowing disabled (accessible) vehicle loading and unloading areas and access ramps (blue curbs, blue pavement, and blue ramps);
  16. Within 20 feet of a crosswalk at an intersection;
  17. Within 30 feet upon the approach to any stop sign or traffic control signal at the side of a roadway;
  18. Within 20 feet of the driveway entrance to any fire or police station and within 75 feet on the side of a street opposite the entrance to any fire or police station (when appropriately signed);
  19. In any designated bicycle path;
  20. In a parking lot driving lane; or
  21. Any vehicle overnight in any location on campus without permission.
- H. Test Parking Programs: Test parking programs may be initiated at the discretion of Transportation and Parking Services for the purpose of studying parking alternatives. Thirty days advance notice shall be given to the university community regarding any proposed test program, and the test program shall not be operated for more than one (1) year without the approval of the Board of Regents.
- I. Parking for Special Events: The university may assess special rates for parking in certain areas during special events (including athletic events). Permission for a department, group, or event sponsor to charge for such parking must be obtained from Transportation and Parking Services prior to the special event.

### **2.95.9 Vehicle Operation Requirements**

In addition to the parking policies set forth herein and enforced by Transportation and Parking Services, the following rules and regulations apply regarding the operation of vehicles on NMSU premises. The NMSU Police Department shall enforce the vehicle operation policies in this Section, consistent with state traffic laws. On the public rights of way located on campus, the traffic laws of state of New Mexico shall apply and be enforced by the NMSU Police Department in accordance with state law.

- A. Vehicles Abandoned or Unlicensed on Campus: No abandoned or unlicensed motor vehicle(s) including motorcycles, motor scooters or mopeds shall be allowed to remain on NMSU property.
1. A vehicle is considered abandoned if it is left unattended and not moved from its current location for more than two (2) weeks. Any vehicle which is partially dismantled or wrecked and/or that does not display a current license plate and which is left in such condition for more than two (2) weeks shall also be considered abandoned.
  2. A vehicle is considered unlicensed if it does not have a current and valid state-issued registration plate and/or sticker.
  3. After the vehicle has been reported to or discovered by Transportation and Parking Services, and the vehicle is found to be: (a) not stolen; (b) the legal ownership cannot be established by normal record-checking procedures; and (c) legal or equitable ownership not claimed or asserted by any person; the vehicle shall be towed and impounded.
  4. All abandoned or unlicensed vehicles will be towed after 30 days of being reported, identified and/or cited.

**2.95.10 Establishment of Controlled Access Areas for Motorized Vehicles** *[Adopted by Administrative Council 12.11.07; with an Effective Date of 01.08.08; Ratified by Board of Regents 07.15.08]*

- A. **Background:** The operation of motorized vehicles (electric or combustion engine) in a university setting is always a challenge between providing adequate access to enable the operational needs of the campus to be met versus the pedestrian nature and desired feel of a campus setting. If the rules established are too restrictive then day to day operations of a campus are harmed. If no restrictions are in place then vehicles are daily operated in a manner that is not in the best overall interest of the institution.
- B. **Legal Basis:** State law establishes the ability for local jurisdictions to place restrictions on the operation of motorized vehicles on controlled access areas. The enforcement of these restrictions, once established, falls to the police department. Violations of these controlled access restrictions will be cited in accordance with state law.
- C. **Need for Controlled Access:** Operation of motorized vehicles on sidewalks is a direct conflict with their primary intended use for pedestrian traffic. Furthermore it damages the sidewalks resulting in increased cost to maintain this infrastructure in a reasonable condition. Operation of motorized vehicles on turf areas damages turf and trees, thereby harming the investment made in the establishment and maintenance of our landscaped areas of the campus.
- D. **Valid Reasons for Access:** There are valid reasons for operating motorized vehicles within controlled access areas:
1. Motorized wheelchairs, personal assistive mobility devices (Segway Human Transporters), or other motorized equipment used to provide disabled access.
  2. Response to emergencies. Emergencies include any action to protect human life; well-being and to prevent potential damage to property or to respond to utility outages.
  3. Deliveries to or transport from specified buildings otherwise inaccessible. It is recognized that several facilities have no delivery access without travel through a controlled access area. These buildings are listed below. Access routes and access parking zones shall be established for these buildings, which shall be available for viewing at [NMSU Controlled Access Area](#).
    - a. Aggie Memorial Stadium
    - b. Foreman Hall
    - c. Academic Research C
    - d. Guthrie Hall
    - e. Branson Library
    - f. Hadley Hall
    - g. Chamisa Village
    - h. Health & Social Services
    - i. Computer Center
    - j. Jett Hall
    - k. Engineering Complex I
- E. **Defined project specific access:** Certain activities such as movement of heavy loads, athletic events, special events, projects involving the remodel or construction of campus facilities and infrastructure require, by their very nature, limited entry to controlled access areas of the campus. This access route will be established by the project manager as best possible and signed accordingly during the course of the event/project life.
- F. **Use of Turf Vehicles:** Maintenance of the campus turf areas requires access by specialized turf vehicles. Nothing in this rule is intended to restrict access to turf areas by these vehicles.

- G. Non-emergency Access by Police, Fire and Shuttle Vehicles: Access rights are given to Police and Fire response vehicles for training activities and patrol activities when access will increase the safety of campus population and its real property assets. Limited access on approved routes is granted to vehicles providing shuttle service to the NMSU campus.

**2.95.11 Establishment of Utility Cart Safety Program** *[Adopted by Administrative Council 12.11.07 and 01.16.08, with an Effective Date of 03.08.08; Ratified by Board of Regents 07.15.08]*

Utility Carts. Small utility service vehicles, herein referred to as 'Utility Carts', include golf carts, turf vehicles and small rough terrain vehicles that are allowed on controlled access areas and/or streets of the campus.

These small utility carts are used to move people, deliver supplies, and carry tools or small equipment throughout the workplace. Operation of utility carts on sidewalks poses risks to pedestrians and therefore requires special training and responsibility to prevent incidents and potential injury. All individuals operating utility carts must be trained before using the vehicles.

Reading and understanding the Utility Cart Safety Program and responsibilities of cart operation plus additional machine specific use instruction will serve as the required training to be administered by each department or area utilizing utility carts.

Other low speed vehicles capable of exceeding 20 mph must be primarily operating over roadways, not controlled access areas. Individuals operating low speed roadway use vehicles will be required to attend Defensive Driving and be permitted according to the NMSU Vehicle Use Procedures.

Policy: The Utility Cart Safety Program (UCSP) is in accordance with 49 CFR 571.500, Standard 500; Low-speed vehicles, NMSU Vehicle Use Procedures, NMSU Controlled Access Areas policy and Sections 66-3-802, 66-3-804, 66-3-805, 66-3-828, 66-3-840, 66-3-843, 66-3-845, 66-3-852, 66-3-854, 66-3-887, 66-3-1103, 66-7-9, 66-7-305, 66-7-308, 66-7-325, 66-7-326, 66-7-351, 66-7-372, and 66-7-405 (1978, et seq.) of the New Mexico Statutes Annotated.

- A. Authority and Responsibility. Below mentioned attachments can be found at NMSU Utility Cart Safety.
- B. Environmental Health & Safety is responsible for:
1. Developing and administering the UCSP.
  2. Performing validation of driver license for cart operators.
  3. Providing a cart operators permit to authorized drivers which is valid for 3 years.
  4. Reviewing and updating the UCSP and training material when necessary.
- C. NMSU Police Department is responsible for:
1. Enforcing all applicable motor vehicle statutes.
  2. Shall impound, if necessary, utility vehicles observed to be carelessly driven.
- D. NMSU Office of Transportation and Parking Services is responsible for:
1. Enforcing parking restrictions.
- E. Deans, Directors, Department Heads and Supervisors are responsible for:
1. Perform Utility Cart Safety Inspection and submit checklist - Attachment B- to EH&S.
  2. Affixing identification decal issued by EH&S.

3. Assuring that UCSP Policy Acknowledgement Form (Attachment C) is completed by each operator and sent to EH&S (MSC 3578) with a copy of operator's driver's license.
  4. Assuring that prior to operating a utility cart, each individual:
    - a. Receives machine specific operational instruction
    - b. Receives periodic evaluation, counseling and training as may be appropriate to correct non-compliance with the safety program
  5. Assuring that each utility cart owned, leased, or operated by their department receives annual preventative maintenance and repair services.
  6. Assuring that utility cart(s) and operators, within their department, comply with the UCSP.
  7. Assuring that utility carts are operated in accordance with manufacturer's recommendations. Utility vehicles shall not be modified in any manner that affects the recommended mode of operation, speed or safety of the vehicle. If applicable, utility carts must be tagged with the maximum load capacity recommended by the manufacturer.
- F. Operators of utility carts are responsible for:
1. Following the Utility Cart Safe Operating Procedures outlined in Attachment 'A'.
  2. Acknowledging responsibility and accountability for compliance by completing the UCSP Policy Acknowledgment Form as shown in Attachment 'C'.
  3. Having a valid driver's license.
  4. Having obtained a utility cart operators permit (from EH&S).
  5. Having received cart specific operational instruction prior to operating the cart.
  6. Understanding their responsibilities and requirements under the UCSP.
  7. Providing timely notification of safety and maintenance concerns regarding utility cart to the supervisor of the department to which the vehicle is registered.
- G. Utility Cart Required Equipment. The following equipment must be present and operational on all utility carts:
1. Unique identifying number prominently displayed on vehicle in 3 inch minimum letters.
  2. Brakes.
  3. Ignition or power shutoff or security systems.
  4. Vehicle seat belt, if offered by manufacturer.
  5. Horn or audible warning device.
  6. Rear view mirrors.
  7. Slow moving vehicle safety triangle on rear of vehicle OR warning lights on front and rear of vehicle or top mounted strobe light if vehicle is unable to travel at the same speed as normal traffic.
  8. Equipment tie downs for service vehicles.
  9. Lights (head, tail, brake) for all night use vehicles.
  10. Any utility cart capable of being operated in excess of 15 miles per hour shall be equipped

with seat belts and lights regardless of time of day or night use.

- H. Vehicle Fueling and Storage: All operators must receive department specific fueling instructions when applicable and all vehicles must be charged and stored in approved sites. Each of these sites will take into account machine specific hazards (e.g. flammability of fuel, off gassing of hydrogen from battery charging). Chargers for low speed electric vehicles must be plugged directly into a ground fault interrupter receptacle. Extension cords shall not be utilized unless the vehicle is specifically approved for such and this use is noted during the Inspection and Registration process.

### **2.95.12 Fraudulent Practices Prohibited**

It is unlawful and a violation of these regulations to intentionally falsify information in order to obtain a NMSU Parking Permit, to use a NMSU Parking Permit issued to another person without their knowledge and authority, or to alter, forge, reproduce, counterfeit, or steal any NMSU Parking Permit. Anyone found to have engaged in fraudulent practices shall have their parking privileges at NMSU permanently revoked, and may be subject to other administrative (*i.e.* employee discipline up to and including termination), civil and/or criminal sanctions.

Vehicles found to be displaying NMSU parking permits that have been reported as stolen may be seized as evidence for the purposes of criminal prosecution.

### **2.95.13 Methods for Enforcement of Parking and Vehicle Operation Regulations**

To enforce these regulations, Transportation and Parking Services may:

- A. Issue citations, collect fines and fees;
- B. Place vehicle on the “Tow or Boot” list;
- C. Immobilize a vehicle by “booting” the vehicle’s wheel;
- D. Have the vehicle towed and impounded;
- E. Cancel parking permits and revoke parking privileges for excessive violation of these regulations or the failure to pay outstanding fines and fees;
- F. Prohibit (or cancel at any time during the year) the pre-registration or registration for classes;
- G. Refer the faculty, staff or student to the Student Discipline Office or NMSU Office of Human Resource Services, as appropriate for administrative action;
- H. Withhold NMSU records, including academic credits, transcripts, and diplomas until all fines and other fees are paid; or
- I. Employ private collection agencies to collect outstanding unpaid fines and fees.

### **2.95.14 Booting and/or Towing of Vehicles**

The following policies apply when Transportation and Parking Services has determined that the appropriate remedy for a violation of a parking or traffic regulation is to immobilize or tow and impound a vehicle:

- A. Definition of “Boot”: A device which mounts on/around a vehicle’s tire or wheel to prevent or discourage vehicular movement. These may be legally attached and released only by Transportation and Parking Services.
- B. Placement on “Tow or Boot” List: A vehicle may be placed on the tow or boot list for:

1. Two or more outstanding citations;
  2. Non-payment of fines or fees imposed under this policy;
  3. Returned checks written to Transportation and Parking Services;
  4. Breach of citation payment agreement;
  5. Display of a cancelled permit;
  6. Display of an altered permit;
  7. Display of a stolen permit; or
  8. Violation of previous revocation of parking privileges.
- C. Reasons for Tow or Boot: A vehicle may be towed or booted when:
1. It is parked in a tow-away zone;
  2. It is parked in such a manner as to obstruct traffic or present a hazard;
  3. It is on the “tow or boot” list. Vehicles on the “tow or boot” list are subject to enforcement action when otherwise legally parked on campus (including in free lots);
  4. Otherwise interfering with the safe movement of pedestrian or motor vehicle traffic;
  5. Any visible indication that the boot has been tampered with while affixed to the vehicle; or
  6. As otherwise provided by law.
- D. Removal of Boot/Release from Tow: To have the boot removed requires payment of a fee, in addition to full payment of accrued fines. The fee for boot removal is included at [NMSU Parking Fee Schedule](#).
1. Immobilized vehicles will remain “wheel-locked” until the outstanding fines and fees are paid in full. The vehicle’s registered owner or operator must pay for the boot removal and applicable fines at Transportation and Parking Services located at 1400 E. University Avenue, Las Cruces, NM from 8:00 a.m. to 4:30 p.m. or at the Corbett Center Student Union Information Desk from 4:30 p.m. to 9:00 p.m., Monday through Friday. Note: There are no boot releases on holidays or weekends.
  2. Vehicles immobilized for longer than 96 hours shall be towed from NMSU property to a designated storage facility of the towing company. The vehicle registered owner or operator will be responsible for all applicable towing and storage charges.
  3. Charges in addition to the boot removal, and/or towing and/or storage fees may be assessed against the vehicle owner or operator, depending upon the circumstances (*i.e.* rental car or dealership agencies). If a permit was displayed in the vehicle that was booted or towed, the permit holder may also be held responsible.

### **2.95.15 Citations: Fines and Fees; Citation Appeal Process**

- A. Issuance: The NMSU Office of Transportation and Parking Services is hereby granted the authority to issue parking citations on any lands under the control of the NMSU Board of Regents. All such citations shall be issued in accordance with policies and procedures set forth by the Office of Transportation and Parking Services.

- B. Fines and Fees: Pursuant to Section 29-5-1.1, NMSA 1978, *et seq.*, a parking citation must be paid or contested within five (5) business days from the date it was issued. Fines and fees are included at [NMSU Parking Fee Schedule](#).
- C. Payment of Citation Fines and Fees: Instructions on how to pay the fines and fees are included with each citation issued. Payment may be made at Transportation and Parking Services during posted hours, via mail at P.O. Box 30001/MSC 3PAR, Las Cruces, NM 88003-8001 (when paying by check or money order), via telephone at 575-646-1839 (when paying using a Visa, Master Card, or Discover credit card).
- D. Fees Related to Towing and Impound: Authorized fees charged for vehicles that are towed and/or booted by the Transportation and Parking Services are included at [NMSU Parking Fee Schedule](#).
- E. Dismissal of Citations:
1. Any individual receiving a citation presenting such citation to Transportation and Parking Services within five (5) business days from the date of issuance, may elect to have the citation reduced to a warning if the recipient has not had a citation dismissed or reduced to a warning within the prior two (2) years.
  2. If the citation was issued for “no permit displayed”, the recipient may elect to have the citation reduced to a warning if the recipient purchases a permit and is eligible to purchase such permit.
  3. This section does not apply to citations issued for illegally parking in a parking space designated for the disabled, in an emergency/fire zone, or yellow zone.
- F. Citation Appeals Hearing Process: A fair and impartial appeal hearing is provided for each individual’s case.
1. Citations must be contested by submitting a Citation Appeal Form within five (5) business days of issuance. Forms may be submitted online at [www.nmsuparking.com](http://www.nmsuparking.com) or at Transportation and Parking Services located at .The elapse of five (5) business days results in the violator’s forfeiture of their right to appeal the citation. If after an internal review the appeal is not granted, the appeal will automatically be scheduled for the Parking Citation Appeal Hearing Officer at the next available scheduled hearing.
  2. Transportation and Parking Services shall schedule the hearing dates and times on behalf of the NMSU Parking Citation Appeal Hearing Officer. Notice of the date, time and place of the hearing shall be provided to the appellant seven (7) business days in advance of the hearing date. If the appellant fails to appear at the hearing or seek a continuance, the hearing officer may uphold the citation, and add the administrative fee to the amount of the fine.
  3. Transportation and Parking Services will maintain on file the hearing docket and decisions of each session at which the Citation Hearing Appeal Officer hears cases under its jurisdiction.
  4. Arguments by appellants before the Citation Appeal Hearing Officer shall be limited to those issues raised in the written appeal. Mitigating circumstances are limited to a determination that there was a failure on the part of the university to clearly mark or otherwise designate parking areas.
  5. The Citation Appeal Hearing Officers are empowered to take the following action on a citation brought before them:
    - a. Uphold the citation
    - b. Reduce the citation to warning
    - c. Reduce the citation fine by one-half if mitigating circumstances are found

6. The decision of the Citation Appeal Hearing Officer is final.
7. An administrative fee, as authorized by law, shall be added to all citations upheld by the Citation Appeal Hearing Officer. Said amount shall be paid to Transportation and Parking Services, along with the citation amount at the time of judgment. If appellant does not pay/fulfill any judgment, fines, and/or hearing costs assessed within five business days, the cited vehicle will be added to the “tow or boot” list, and subject to other sanctions under this policy. Citations upheld due to appellant failing to appear at the appeal hearing will have five (5) business days to pay the citation and administrative fee; failure to pay fees within the five business days will automatically put vehicle on the “tow or boot” list.

**2.95.16 Fee Schedule:** *See [NMSU Parking Fee Schedule](#)*



## **Chapter 3**

### **Employee, Student and Visitor Codes of Conduct**

- 3.05 Alcohol at NMSU Including Sanctioned Events
- 3.06 Assistive, Service, and Companion Animals on University Premises
- 3.07 Awareness, Assessment and Response to Behaviors of Concern
- 3.10 Campus Access-Prohibited, Restricted
- 3.15 Children in the Workplace
- 3.19 Conflicts of Interest - Ethical Conduct
  - 3.19.10 General Statement
  - 3.19.20 Principles of Ethical Conduct
  - 3.19.30 Addressing Concerns Relating to Ethical Conduct
- 3.20 Conflicts of Interest and Conflicts of Commitment in General
  - 3.20.10 Principles
  - 3.20.15 Procedures and Remedies in Case of Conflicts of Interest and/or Commitment
  - 3.20.20 Definition of Terms
  - 3.20.22 Member of the University Community
  - 3.20.23 Relationships
  - 3.20.24 Investigator
  - 3.20.25 Sponsored Activity
  - 3.20.26 Significant Financial Interest
  - 3.20.27 Conflicts of Interest
  - 3.20.28 Conflicts of Commitment
  - 3.20.30 Policies for Specific Situations
  - 3.20.32 Nepotism [*former Policy 4.45*]
  - 3.20.33 Faculty or Staff as Students
  - 3.20.34 Relatives and Significant Others as Students
  - 3.20.35 Participation in Committees
  - 3.20.36 Requests Made to Subordinates
  - 3.20.37 Sales and Solicitations
  - 3.20.38 Procurement
- 3.21 Conflicts of Interest and Commitment in Sponsored Activities
  - 3.21.21 Conflicts in Sponsored Activities that Arise from Financial Interests
  - 3.21.22 Conflicts in Sponsored Activities that Arise from Personal Interests
  - 3.21.24 Other Conflict Situations in Sponsored Activities
  - 3.21.25 Governmental Conflict of Interest Regulations Concerning Sponsored Activities
  - 3.21.26 Disclosure Procedures for Sponsored Activities
  - 3.21.27 Review and Resolution of Conflicts of Interest Relating to Sponsored Activities
  - 3.21.28 Appeals from Decisions Concerning Conflicts of Interest Arising from Sponsored Activities
  - 3.21.29 Retention of Records Concerning Conflicts of Interest in Sponsored Activities
- 3.22 Conflicts of Interest Arising from Consensual Relationships
- 3.25 Discrimination, Harassment and Sexual Misconduct on Campus
- 3.30 Disability Accommodation
- 3.31 Distribution of Effort

- 3.40 Drug-Free Workplace
- 3.50 Firearms
- 3.55 Fires, Fireworks
- 3.60 Flags-National, State
- 3.63 Freedom of Expression
- 3.65 Protection of Sensitive Information
- 3.70 Office Hours - Administrative
- 3.75 Non-Work Related Use of University Resources
- 3.82 Picnics
- 3.86 Political Activity
- 3.90 Religious Denominations
- 3.92 Sales and Solicitation
- 3.98 Smoking Policy
- 3.99 Prohibition of Hazing and Hostile Misconduct
- 3.100 Protocols in the Event of a Missing Residential Student

## CHAPTER 3 - EMPLOYEE, STUDENT, AND VISITOR CODES OF CONDUCT

### 3.05 **Alcohol at NMSU Including Sanctioned Events** *[Amendment adopted by Administrative Council 10.11.05; ratified by Board of Regents 09.08.06] [Amendment recommended by Administrative Council 07.13.10; approved by Board of Regents 07.20.10][Amendment recommended by Administrative Council 12.13.11; approved by Board of Regents 01.30.12]*

- A. Statement of Purpose: The Board of Regents of New Mexico State University recognizes that diversity of opinion and freedom of choice are concepts upon which higher education has been established. Inherent within these two basic concepts are the exercise of individual responsibility and making informed decisions on matters related to personal behavior.

Within the university setting, faculty, staff and students must demonstrate a mutual respect and commitment to the institution's educational mission while at the same time fostering diversity of opinion, freedom of choice, and responsibility. In this regard, the university respects the right of those of legal age to consume alcohol if they so choose, providing they do so in accordance with this policy and all applicable laws.

This policy shall apply to every function or event, including but not limited to receptions, banquets, dinners, picnics, or any outdoor event, social event, and campus-wide activity sponsored by organizations or individuals associated with NMSU. Off-campus events conducted by university approved organizations are bound by this policy.

NMSU recognizes it cannot protect its employees, and students from making decisions that could potentially cause harm to themselves or others. NMSU disclaims any intention to assume duties to protect its employees and students from their own abuse of drugs or alcohol or to protect third party persons from conduct of the employees or students.

- B. Scope: This policy applies at those NMSU campuses or facilities that have applied for and received a waiver from their respective county jurisdictions.
- C. Policy Administrator: This policy is administered by the Office of the NMSU President. The president may delegate review and/or approval authority to a designee.
- D. Permissible Use of Alcohol: As allowed pursuant to this policy, the use of alcohol shall be considered a privilege and may be allowed only if consistent with local, state and federal laws and university policy, and only when it does not interfere with the academic atmosphere of the university.
1. Students of legal age are allowed to use alcohol only in a manner consistent with this policy and the Student Code of Conduct.
  2. Students who reside on campus and are 21 years of age or older may possess and consume alcohol consistent with the law and in areas designated by the director of housing and residential life. See Housing Terms and Conditions for those areas designated as "alcohol free", if any.
  3. Selling, either directly or indirectly, of alcoholic beverages on campus is prohibited, except in those university facilities possessing a state alcohol license granted under the authority of the Board of Regents or where pre-approved by the Office of the NMSU President by event type. The Office of the NMSU President is authorized, in its discretion, to approve the serving or sale of alcohol at any other on-campus events. All venues approved for the routine sale of alcoholic beverages must have in place an approved policy for the sale and service of alcoholic beverages.
  4. Members of the university community and/or the public wishing to host or otherwise conduct an event involving alcohol on campus or other NMSU property must first obtain the proper approval from the Office of the NMSU President.

- a. Some functions may also require the party to have separately and previously obtained an appropriate permit in accordance with the state's liquor licensing laws; the Office of the President will not approve a function if the proper state permit has not been obtained.
  - b. Student groups, campus organizations and Greek affiliates who wish to host events involving alcohol must have proper policies in place, consistent with university policies and local, state and federal laws, before the Office of the NMSU President will approve the event for alcohol.
  - c. Student fees may not be used directly to purchase alcohol. However, in certain cases, student fees may be used to fund events where alcohol may be served, provided the appropriate approvals and/or state issued permits are obtained, in accordance with this policy.
  - d. State law requires that anyone serving alcohol must complete a class and receive a Server's Permit.
  - e. If the consumption of alcohol is a normal part of an academic class, written approval for use must be obtained from the Office of the Executive Vice President and Provost, with a positive recommendation from the Alcohol Review Committee.
  - f. Approval for alcohol at an event is to be requested from the Office of the NMSU President. For and Application and Instructions, please contact the chair of the Alcohol Review Committee at 575-646-5752. The Alcohol Review Committee will review the application and make its recommendation to the Office of the NMSU President.
  - g. The decision by the Office of the NMSU President is final.
- E. Unacceptable Use of Alcohol: NMSU recognizes that the illegal use of alcohol interferes with the academic environment of this institution and the personal growth of its students.
1. NMSU explicitly prohibits the unlawful use, possession, sale, or distribution of alcohol or controlled substances by all students and employees. Any violation of applicable local, state, and/or federal law is considered to be a violation of this institution's policies.
  2. Corrective and/or disciplinary action will be taken if it is determined that the use of alcohol by an employee or student threatens to create disorder, public disturbances, danger to themselves or others, or property damage.
  3. Students who have not yet reached legal age are prohibited from purchasing, using, and/or possessing alcohol.
  4. Except as outlined by this policy, consumption or possession of alcohol intended for consumption is prohibited on the university campus. Possession of alcohol on NMSU property intended for consumption is allowed for the sole purpose of prompt delivery to the location approved for such consumption.
  5. Open containers of alcohol are prohibited outside of designated areas.
  6. Kegs or other common containers are not allowed, unless in conjunction with an event approved by the Office of the NMSU President.
- F. Alcohol-Related Misconduct:
1. Possession of false identification. Students found in possession of or attempting to use false identification in order to procure alcohol will be subject to the fullest force and effect of the consequences outlined in this policy and/or the NMSU Student Code of Conduct.
  2. Alcohol as an aggravating factor to other violations. If alcohol is found to be an aggravating factor in other violations of the NMSU Student Code of Conduct and/or local, state and federal laws, the student may be subject to more severe punitive sanctioning.
  3. Off-campus violations of NMSU Student Code of Conduct. The university reserves the right to impose sanctions upon students and student organizations that violate this policy and/or the NMSU Student Code of Conduct, even if such actions occurs off-campus.

G. Consequences for Violations:

1. Students or employees found to be in violation of this policy may be subject to corrective and/or disciplinary action appropriate to the severity of the violation, in accordance with the appropriate administrative process.
2. Employees or students found to be in violation are also be subject to all local, state and federal laws and nothing in this policy shall be construed to protect employees or students from such actions as local, state and/or federal law enforcement deem appropriate. Similarly, if local, state and/or federal law enforcement entities decide not to pursue action against violators, the university reserves the right to process violations through the appropriate administrative office.
3. Employees or students who have not been found to be in violation of any of the policies herein who wish to self-identify and seek confidential help through the Employee Assistance Program, Counseling Center and/or the Wellness, Alcohol and Violence Education Program, will not jeopardize their employment or academic status. This benefit will continue as long as the employee or student refrains from further alcohol misuse and/or abuse.

H. Tailgating Exception: (*See Tailgating Procedures* for general Tailgating Procedural Guidelines) No independent administrative pre-approval shall be required for the consumption of alcohol within a tailgating station, within a designated tailgating lot, before or after an NMSU sporting event, if all participants are in compliance with the restrictions of this policy and the corresponding Tailgating Procedural Guidelines. For purposes of this policy, a tailgating station is defined as a gathering of fewer than 200 people, assigned to particular parking spaces assigned in accordance with the Tailgating Procedural Guidelines. A tailgate station attended by more than 200 people does not fall under this exception; tailgate stations anticipating 200 or more people will be considered to be a “special event” subject to the administrative pre-approval process described above, which in turn will also require a Special Dispenser’s License, as required by state law. For and Application and Instructions, please contact the chair of the Alcohol Review Committee at 575-646-5752.

1. Policy Administration/Implementation:

- a. Consumption of Alcohol during authorized tailgating activities will be allowed on a limited basis, and only during the dates, times, and locations designated by a consensus of the following officials: NMSU athletics director, the assistant vice president for facilities, the director of special events, and the NMSU chief of police, or their respective designees.
  - b. By consensus, these officials shall administer this section of the Alcohol at NMSU Events Policy, as well as issue supplemental procedural guidelines that will apply to all tailgating activities, irrespective of the consumption of alcohol.
  - c. A map reflecting the areas designated for such tailgating, and the general Tailgating Procedural Guidelines, shall be made available to the public on request, as well as posted on line at appropriate websites, including but not limited to the NMSU Athletics Department’s website.
  - d. The above named officials and their respective departments may coordinate with employees and/or volunteers to serve as lot monitors in each tailgate lots designated for the consumption of alcohol.
2. Responsible Use of Alcohol During Tailgating Activities: In addition to the restrictions listed above in Sections D through G above:
- a. Glass containers shall not be used for the activities allowed by this section. Persons with glass container(s) in locations designated for tailgating will be asked to leave with the container, or to discard the glass container(s); other administrative or criminal action may also be taken, as appropriate under the circumstances.
  - b. Alcoholic beverages shall not be taken into the Aggie Memorial Stadium, except by approval of an exception from the Office of the NMSU President, with notification to the

chair of the Board of Regents. For purposes of this section, Aggie Memorial Stadium consists of the seating areas, concessions, restrooms, concourses, press box and all other space within the bleachers and fields inside the fence requiring admission by ticket holding patrons, as well as the football locker/office and weight training facilities.

**3.06 Assistive, Service, and Companion Animals on University Premises** *(New Policy recommended by Administrative Council 12.10.13; approved by Board of Regents 12.13.13. Supersedes Policy 3.80 Pets)*

- A. **Purpose:** To assist the university in complying with federal and state law and regulations relating to public access; to provide guidance for students, faculty, staff and visitors regarding service, assistive and companion animals permitted on university premises; and to provide for the public's health, safety and welfare by requiring owners and handlers to care for and to control their animals responsibly, in accordance with this policy and applicable local laws.
- B. **Scope:** This policy applies to students, employees and visitors throughout the NMSU system.
1. The regulation of wildlife and exotic animals is outside the scope of this policy; a person or entity desiring to bring such animals on university premises shall coordinate with the appropriate university office, and will be subject to applicable federal, state and local laws and regulations relating to animal welfare and public safety.
  2. The regulation of animals used in teaching and research, including but not limited to the therapeutic riding program, is governed by the Animal Welfare Act and the Office of Laboratory Animal Welfare, and is therefore outside the scope of this policy. The university has established the Institutional Animal Care and Use Committee to administer these federal laws and corresponding regulations in the care and use of vertebrate animals in academic and research settings. *(See Policy 5.94.30 E.)* Concerns or complaints relating to these issues should be directed to the chair of the NMSU Institutional Animal Care and Use Committee. Additional information may be found at:
    - i. [NMSU Research Compliance IACUC](#) ;
    - ii. [NMSU Safety Policies IACCUC](#); and
    - iii. [NMSU Safety Policies IACUC Protocol](#)
- C. **Policy Administrators:** The following positions have authority relative to the administration of this policy; each also serves as a member of the Companion and Assistive Animals Committee, described in Section E. 6, below.
1. NMSU Police Chief or Designee;
  2. Director of Housing and Campus Life or Designee;
  3. Director of Office of Institutional Equity or Designee;
  4. Director of Student Accessibility Services or Designee;
  5. NMSU-Alamogordo Community College Vice President of Student Success or Designee;
  6. NMSU-Carlsbad Community College Vice President for Student Services or Designee;
  7. NMSU-Doña Ana Community College Vice President for Student Services or Designee;
  8. NMSU-Grants Community College Vice President for Student Services or Designee;
  9. Department Head, Director or Equivalent of Affected Program.
- D. **Definitions:** The definitions provided in this section will be used in the application and enforcement of this policy.
1. **Animals Permitted on University Premises:** Subject to the provisions of this policy and applicable federal, state or local laws, the following types of animals are permitted on university premises.
    - a. “Companion Animal”: A companion animal is a domesticated animal privately owned for companionship and enjoyment. The term “companion animal” in recent years has been adopted as a more respectful term for “pet”. *See* Section E. 1. below

- b. “Emotional Support Animal” (ESA)”: An emotional support animal is a companion animal that may be permitted, if deemed to be a reasonable accommodation, for a person with a psychological disability, by either the Office of Institutional Equity or the NMSU Office of Student Accessibility Services (in coordination with the VPSS or designee of the community college, if applicable. *See* Section E. 3. below.
- c. “Law Enforcement Animal””: A law enforcement animal is usually a dog, specially trained to assist law enforcement personnel with police work. *See* Section E. 4. below.
- d. “Pet””: *See* Companion Animal.
- e. “Service Animal””: A service animal is either a dog or a miniature horse that is individually trained to do work or perform specific tasks to assist a person with a psychological or physical disability. Service animals are distinct from companion animals, emotional support animals, or other assistive animals. *See* E. 2. below regarding a service animal’s right to public access.
- f. “Service Animal in Training””: A service animal in training is defined as either a dog or miniature horse in the process of being trained as a service animal. (*See* Section E.2. d. below)
- g. “Therapy Animals””: Therapy Animals are animals involved in Animal Assisted Interventions. These definitions were derived from [Pet Partners](#).
  - i. “Animal Assisted Activity (AAA) Animals””: AAA animals are domesticated companion animals that may visit the university, with prior approval, to provide recipients an opportunity for social interaction, recreation, or educational or motivational benefits. Examples would include visits by a group of dogs and their handlers to a university residence hall during exam week. The AAA animals and their handlers receive specialized training by an appropriate organization (e.g. Pet Partners, Therapy Dogs International, Therapaws.)
  - ii. “Animal Assisted Therapy (AAT) Animals””: AAT animals are domesticated companion animals that assist professionals with goal-directed interventions involving treatment of clients. An example of this would be a handler and the AAT dog being present in a room to assist a speech language pathologist, who is treating a client. The professional sets goals for the session, leads the session, incorporates the animal into the treatment session, evaluates the effectiveness of the session, and documents the progress of the client being treated. Sometimes the professional will also be the handler, and utilize their own companion animal, which has been trained as an AAT animal.

*See* Section E. 4. below.

- 2. “Exotic Animal””: Exotic animals are wild, non-domesticated animals, not native to the United States of America, including but not limited to monkeys, tropical birds and certain species of tarantulas and snakes.
- 3. “Handler””: A “handler” is the person in control of, and a person the university may hold responsible for the acts of a service animal, a service animal in training, or other assistive animal. The handler may or may not also be the owner of the animal.
- 4. “NMSU Entity””, sometimes also referred to as “unit”, is a general term which may refer to a college, a department or any other individual administrative unit within the NMSU system.
- 5. “Owner””: A person who has legal custody of an animal covered by this policy. The university will hold owners responsible for the acts of their animal. The owner may or may not also be the animal’s handler.
- 6. “University Housing””: University Housing refers to all housing units and attached yards, as well as to indoor and outdoor common areas under the authority of NMSU Housing and Residential Life. University Housing consists of Single Student Housing and Student Family Housing.

7. "University Premises": University premises refers to all land, buildings, or other indoor or outside space owned, leased by NMSU, or otherwise under the control of New Mexico State University. University owned property leased to other entities and not under the operational control of NMSU are not considered university premises for purposes of this policy.
8. "Wildlife": Wildlife refers to non-domesticated animals native to the United States of America, including but not limited to coyotes, wolves, skunks, and certain species of tarantulas and snakes (i.e. rattlesnakes).

E. Policy Statements:

1. Animals Visiting Campus and/or Residing in University Housing: NMSU maintains an environment designed primarily for the support of the university's education, research, and public service missions. Animals are permitted on university premises, in accordance with applicable law and this policy which requires the owner and the handler to be fully responsible for the animal's control, care and maintenance. Students and employees may be subject to disciplinary action for failure to control or clean up after their animal, regardless of the damages caused, if any, and in accordance with applicable university policy and procedures. If any provision in this section conflicts with legal requirements or policies in Sections E. 2. or E. 3. below relating to service animals and/or emotional support animals, those provisions shall govern.
  - a. Owner/Handler Responsibilities: The owner/handler or other person in custody of a companion or other assistive animal on university premises shall:
    - i. Comply with this policy and all applicable federal, state, or local laws and regulations pertaining to animal control, including current vaccination and licensure;
    - ii. Ensure that dogs and cats, and other animals to the extent feasible, wear a legible identification tag and a current rabies tag at all times;
    - iii. Control and supervise their animal at all times, including but not limited to ensuring that the animal does not cause disruption, and/or leashing the animal while on university property. (Note: service animals are not required to be leashed, if under control of their handler, and especially when a leash would interfere with the task the animals performs on behalf of its handler.);
    - iv. Keep the animal clean. Daily grooming and/or occasional baths may be required to keep animal odor to a minimum. Adequate flea prevention and control is also required.
    - v. Clean up, or make arrangements for someone else to clean up, their animal's defecation, urination or vomit;
    - vi. Pay for, and otherwise hold the university harmless from, damages caused by the animal;
    - vii. Comply with the animal welfare provisions outlined in Section E. 5. below.
  - b. University Facility Restrictions: Animals permitted on university premises shall not disrupt university activities or members of the university community, including visitors. Additionally, the following facility restrictions apply:
    - i. Except as expressly provided otherwise in this policy, owners/handlers shall not take their animals inside university buildings or facilities;
    - ii. Owners/handlers shall not tie or tether the animal to any university property;
    - iii. Except as expressly provided otherwise in this policy, such as service animals' right to public access with their handler, owners/handlers shall comply with posted signage which may limit or prohibit access by companion animals.
  - c. Exclusion from University Premises: Notwithstanding an animal's right to public access, there may be certain circumstances requiring the exclusion of animals, including but not limited to, the examples listed below. If an owner/handler will not cooperate with a request for immediate removal of the animal, the NMSU Police Department or local police jurisdiction may be called for assistance.



- i. Examples of Behavior Justifying Request for Immediate Removal of Animal:
    - if the animal urinates or defecates inside a university building;
    - if the animal causes significant property damage or injury to person or other animal;
    - if the animal poses a direct threat to health or safety of others or to the animal itself (examples may include, but are not limited to science laboratories that present hazardous conditions, require protective clothing, food preparation areas, livestock pens or horse stables);
    - if the animal's presence fundamentally alters the nature of a program or activity;
    - if an instructor or other person is not able to adequately manage the safety risk created by the presence of the animal;
    - if the animal is unsupervised or otherwise not being tended to by the owner/handler.
  - ii. Nature of Facility or Event: An animal that is neither a service animal, nor an approved therapy or emotional support animal, may be asked to leave a university facility or event that does not otherwise permit companion animals. *See Also* Section E. 9.
  - iii. Emergent Circumstances: Any companion animal, service animal, emotional support or other assistive animal may be asked to leave an area when emergent or security circumstances require use of a law enforcement animal, chemicals or other emergency deployment.
- d. Single Student Housing: Except as expressly provided elsewhere in this policy, animals are not allowed to reside, nor to visit, single student housing residence facilities. This prohibition does not apply to fish; fish are permitted, subject to reasonable inspection(s) by Housing staff.
  - e. Student Family Housing: In addition to any terms and conditions pertaining to companion animals contained in the housing license, the following applies to requests for animals to reside or to visit overnight within Family University Housing:
    - i. No animals are allowed to reside, nor to visit overnight, in Family Housing without the express written approval from the Department of Housing & Residential Life;
    - ii. Only dogs, cats, birds, fish, rodents (only guinea pigs, hamsters or gerbils), amphibians and non-snake reptiles are permitted in Family Housing, absent an exception based upon extenuating circumstances granted by the Department of Housing & Residential Life;
    - iii. The total number of dogs and cats in a household shall not exceed a total of two (2) (e.g. 2 dogs; 2 cats; 1 cat, 1 dog).
    - iv. Fish, birds, rodents, amphibians and reptiles must be contained in an appropriately sized aquarium or cage at all times.
    - v. Dogs and cats shall be spayed or neutered, unless granted an exception by the Housing Director or designee.
    - vi. Alleged violations may be unilaterally investigated by University Housing staff, and action taken pursuant to the terms of the license agreement.
    - vii. The signatory on a university housing license agreement, as the party responsible for the premises, may have sanctions or other administrative action levied against them for violations by an owner/handler who are their co-tenants or visitors. The owner/handler may also be sanctioned in accordance with applicable employee, student or visitor conduct policy.
  - f. Unsupervised Animals: From time to time unsupervised animals may be encountered on a campus or other university property. In these situations, administrative or police action may be taken, for the protection of the public's safety, as well as for the safety and welfare of the animal.

## 2. Service Animals; Service Animals in Training:

- a. **Public Access:** A person with a disability who uses a service animal shall be admitted to any university facility open to the public, including buildings and common carriers, subject to rare exception based on direct threat of significant harm to the health or safety of others. Service animals shall be at all times under the control of the owner, handler or trainer of the service animal.

Questions or concerns relating to public access by a service animal, and requests for reasonable accommodation in the workplace or academic setting not involving a service animal should be referred to either the Office of Institutional Equity (employees and visitors) (575-646-3635 or [equity@nmsu.edu](mailto:equity@nmsu.edu)), or the Office of Student Accessibility Services, 575-646-6840 or [sas@nmsu.edu](mailto:sas@nmsu.edu).

- i. The law does not require service animals to wear a vest; however, NMSU encourages the use of a vest or other service animal identification.
  - ii. Persons with disabilities who utilize a service animal are not required to register with any office, nor to request an accommodation, unless an additional accommodation is needed in the academic or work setting.
  - iii. Persons with disabilities who use a service animal on university property shall not be required to pay a fee that others (without animals) are not required to pay. (e.g. pet deposits);
  - iv. In an emergency requiring transportation or relocation of an owner, handler or trainer of a service animal or service animal in training, to the extent practicable, accommodations shall be made for the service animal or service animal in training to remain with or be reunited with the owner, handler or trainer. When accommodations cannot be made that would allow the animal to remain with the owner, handler or trainer, the service animal or service animal in training shall be placed pursuant to the instructions provided by the owner, handler or trainer.
  - v. Misrepresentation of an animal as an authorized service animal or service animal in training will be taken very seriously. *See* Section E. 9.
- b. **Inquiries by University Representatives:** When it is readily apparent that an animal is trained to do work or perform tasks for a person with a disability (e.g. a dog is observed guiding a person with a visual disability), university representatives should not inquire about the service animal, unless there is a separate concern about disruption or other issue. It is recommended that faculty, staff or students consult with either the Office of Student Accessibility Services or the Office of Institutional Equity regarding any perceived issues.
    - i. In the event that it is not readily apparent that an animal is a service animal, university representatives shall not ask about the nature or extent of the person's disability, but may make two inquiries, as permitted by guidance issued pertaining to the Americans with Disabilities Act: 1. Is the animal a service animal required because of a disability?, and/or 2. What work or task is the animal trained to perform?
    - ii. University representatives shall not ask for documentation, such as proof that the animal has been certified, trained or licensed as a Service Animal; nor shall they ask the handler to demonstrate the tasks.
    - iii. For university programs and/or classes held at non-NMSU facilities, the owner of the property may require notification or verification that the animal is a service animal.
  - c. **Control, Care and Maintenance:** Subject to limited exceptions required due to a handler's particular disability, owners, handlers and trainers of service animals and service animals in training shall comply with the requirements of E. 1 and E. 5. relating to animal control, care and maintenance.
  - d. **Service Animals in Training:** Based on New Mexico law, service animals in training shall be admitted to facilities open to the public on the same basis that a service animal would be.

- e. Denial of Public Access: Any decision to exclude a service animal from a particular area of the university shall be made on a case-by-case basis, in coordination with the person with the disability; and if possible, also in coordination with either the Office of Student Accessibility Services (for students) or the Office of Institutional Equity (for employees and visitors). *See Also* Section E. 1. c. above.
  - f. ADA Complaint Resolution: persons with disabilities who believe their rights under the ADA are not being honored may file either an internal complaint of disability discrimination with the Office of Institutional Equity (575-646-3635 or [equity@nmsu.edu](mailto:equity@nmsu.edu)), or may file an external complaint with appropriate state and/or federal agencies. Internal complaints received will be promptly investigated and resolved. Appropriate corrective action will be taken for violations of this policy, in correlation with the severity of the offense.
3. Emotional Support Animals Permitted in Restricted Areas: Federal law recognizes that under certain circumstances, the presence of a companion animal which provides emotional support may be granted by the appropriate university office (e.g. [Office of Institutional Equity](#) for employees and visitors; [Office of Student Accessibility Services](#), for students) as a reasonable accommodation for a person with a disability. An example of an accommodation that might be found to be reasonable, depending upon the circumstances presented, would be waiver by university housing of its standard prohibition of companion animals, to permit an emotional support animal to reside with its owner with a disability. The university's standard procedures for assessing student requests for reasonable accommodation shall be applied, on a case by case basis, and result in an Accommodation Agreement that addresses the animal access issues.
- a. A request for an emotional support animal must be based upon medical documentation indicating that the animal's presence alleviates psychological symptoms or effects associated with the disability of its owner/handler.
  - b. While the law requires that there be a nexus between the person's disability and the comfort provided by an emotional support animal, it does not require the animal to be trained to perform specific task(s) directly for their handler. Emotional support animals may be permitted access only to the areas specifically identified in an Accommodation Agreement authorized by the appropriate university office or other entity.
  - c. Persons with disabilities authorized for an emotional support animal, by either the Office of Student Accessibility Services or by the Office of Institutional Equity, shall carry a copy of the Accommodation Agreement with them. The use of a vest or other identification as an emotional support animal is encouraged.
  - d. In the event that it is not readily apparent that an animal should be permitted access to a particular university venue, university representatives shall not seek disability related information, and if the animal is identified as an emotional support animal, may ask to see a copy of the Accommodation Agreement authorizing access, or name of the university official or other entity granting similar approval.
  - e. Misrepresentation of an animal as an authorized emotional support animal will be taken very seriously. *See* Section E. 9.
  - f. Control, Care and Maintenance: Owners and handlers of emotional support animals are subject to the requirements of E. 1 and E. 5. relating to animal control, care and maintenance.
  - g. ADA Complaint Resolution: persons with disabilities who believe their rights under the ADA are not being honored may file either an internal complaint of disability discrimination with the Office of Institutional Equity (575-646-3635 or [equity@nmsu.edu](mailto:equity@nmsu.edu)), or may file an external complaint with appropriate state and/or federal agencies. Internal complaints received will be promptly investigated and resolved. Appropriate corrective action will be taken for violations of this policy, in correlation with the severity of the offense.
4. Working Assistive Animals:
- a. Therapy Animals: Therapy animals, also referred to as animals used in animal assisted interventions, (AAI) are distinct from emotional support animals and from service

animals and do not have the same right to public access. Therapy animals are regulated by guidelines determined by specific associations. (e.g. Pet Partners, Therapy Dogs International, Therapaws). Visits by this type of animal to university campuses and within buildings are permitted, subject to approval from the appropriate department head, director or equivalent administrator. See [NMSU Counseling Center](#) for "Guidelines for Animal Assisted Interventions".

- b. **Law Enforcement Animals:** Animals under the authority of law enforcement personnel, while actively responding to an actual or perceived event, are not subject to the provisions of this policy. Their control, care and maintenance is governed by state and/or federal case law and is incorporated into the *NMSU Police Department, Law Enforcement Canine Handbook*, or other policies and procedures applicable to the specific law enforcement agency that owns the working animal.
5. **General Animal Welfare Requirements:** NMSU abides by guidelines associated with basic animal welfare and promotes quality of life for all companion and assistive animals on university premises. The following principles listed below apply to the animals within the scope of this policy, in order to ensure their physical, mental and emotional well-being. Additionally, owners/handlers shall comply with applicable county ordinance and state law. See [Dona Ana County Ordinance](#). The five freedoms listed at 1-5 below, were adapted from the *Farm Animal Welfare Council's Five Freedoms* ([www.fawc.org.uk/freedoms.htm](http://www.fawc.org.uk/freedoms.htm)) originally developed to set standards for livestock welfare; however, they encapsulate the basic principles that are expected to be applied at NMSU to companion and assistive animals:
- a. **Freedom from hunger and thirst:** Companion and assistive animals shall be provided ready access to fresh water and be provided with a diet to maximize short and long term health.
  - b. **Freedom from discomfort:** Because service animals are at their handler's side for a large part of each day, it is anticipated that the basic care of providing adequate shelter will be maintained. All companion and assistive animals residing or otherwise permitted on university premises shall be provided adequate shelter.
  - c. **Freedom from pain, injury, or disease:** The owner/handler of the companion or assistive animal will ensure the physical health of the animal, including but not limited to avoidance of locations that may involve the use of hazardous materials (certain science labs) or interaction with NMSU livestock or horses; extended walking on asphalt or cement surfaces during summer months; as well as regular vet check-ups and vaccinations or titer testing for the following: rabies, distemper, parvovirus and bordetella. If the animal is unable to be vaccinated for health reasons, the owner/handler needs to have a document from the treating veterinarian stating that this is the case.
  - d. **Freedom to express normal behavior:** The life of a service animal is one of work. However, its owner/handler should ensure that the animal be provided with an appropriate level of "down-time" or "play-time" in order to maintain the service animal's mental well-being. The use of positive training techniques is encouraged.
  - e. **Freedom from fear and distress:** Service animals may be exposed to people, situations, or surroundings that companion and other assistive animals would not be exposed to. For example, very crowded noisy hallways in university buildings. It is the responsibility of the animal's owner/handler to ensure that the animal has received effective training so that the animal not only behaves appropriately in these settings, but that the animal has had positive experiences while being exposed to these settings so it does not become stressed. Leaving companion and other assistive animals confined in quarters alone for extended periods of time may be a violation of this policy, depending upon the specific circumstances.
  - f. **Other special issues to consider when tending to the welfare of service animals include:**
    - i. Respect for the aging of the animal, including any signs of cognitive or physical impairment, must be shown, including consideration of the appropriate time to for retiring the animal from service duties;
    - ii. Related to the provisions of subsection E. 5. e. above, owners/handlers should be aware of the potential sources of chronic stress to the animal, and consider the impact that such stress may have on the animal. This necessitates that the

- owner/handler pay attention to the warning signs of chronic stress in their service or other animal and take appropriate action to lessen the impact of the stress. This is particularly true if the animal is expected to work for long periods of time in unpredictable settings doing stressful work (i.e., attending a football game where there are fireworks or cannon shots while being surrounded by many people, or having to perform physically or psychologically demanding duties).
- iii. Additionally, owners/handlers are subject to the provisions of E. 1. c. i., regarding situations which pose potential health or safety risks to others or to their animal. Owners and handlers are encouraged to consider potential hazards carefully, and in advance, in order to decide whether or not an accommodation within an academic setting or workplace will be necessary or feasible. The owner or handler should communicate as early as possible with the faculty member, employer or other person with authority if it appears a modification to protocols or to physical environments may be necessary for the protection of other persons or the animal.
6. Establishment of Companion and Assistive Animals Committee: The Board of Regents hereby establishes the Companion and Assistive Animals Committee as a standing “university board” as defined by [Policy 1.05.90](#). Complaints and other matters of concern relating to the interpretation, application or enforcement of this policy, or corresponding procedures, may be submitted to this committee for resolution. The committee's authority to review and resolve complaints concerning animals on campus is supplemental to other grievances which might be filed.
- a. Authority: The Companion and Assistive Animals Committee shall serve both as an advisory resource to the individual policy administrators regarding the application and enforcement of this policy, as well as a body that will assist the university community with dispute resolution as needed for issues involving animals on campus. The committee shall have no authority relative to teaching or research animals under the authority of the Institutional Animal Care and Use Committee, governed by distinct federal regulations. Other than its advisory function, the committee shall have no authority to take action in matters where another university department has jurisdiction to act, such as the NMSU Police Department (a criminal case involving an alleged vicious animal) or the Office of Institutional Equity (exclusion of a service animal resulting in a complaint of discrimination in violation of the ADA).
  - b. Membership: The Companion and Assistive Animals Committee shall be comprised of: each policy administrator identified in Section C.; one or more faculty or staff invitees of the policy administrators, who have knowledge or expertise regarding service, companion and other assistive animals; the chair of the IACUC Committee or designee (*ex officio*), and a representative from the Office of General Counsel (*ex officio*).
  - c. Meetings: The Companion and Assistive Animals Committee may be convened by any of its members, at any time necessary for the resolution of issues pursuant to this policy. Representatives from the community colleges and or other faculty, staff or students in need of an advisory opinion or other assistance from the committee may submit their issue in writing or request to present in person to the committee.
7. Dispute/Complaint Resolution: Any person may bring an issue of a policy violation or other problem with an animal on campus to the attention of any of the individual policy administrators (*See* Section C. above), and/ or directly to the Companion and Assistive Animals Committee.
- a. Elements of Complaint or Other Concern: To the extent possible, complaints and other letters of concern shall provide date, time, and location of any alleged violation or incident; the party or parties charged, if known; any witnesses, if known; any other relevant facts; as well as the relief sought by the complainant.
  - b. Complaint Prioritization: Complaints and other letters of concern will be processed in the order they are received, unless there is a health or safety risk involved, in which case, it will be expedited.
  - c. Receipt and Routing for Initial Review: The recipient of a complaint or other letter of concern shall coordinate with the chair of the Companion and Assistive Animals

Committee, and route it for initial review by the appropriate policy administrator. Initial review may involve:

- i. Investigation of the facts by the chair of the Companion and Assistive Animals Committee, in coordination with the appropriate policy administrator;
  - ii. Exploration of avenues for resolution of the issues raised, including discussion, community education, mediation or other methods.
  - iii. If the policy administrator is able to resolve it in accordance with the policy/procedures under their jurisdiction, the matter shall be closed.
  - iv. If an issue is not resolved within 7 business days, it may be forwarded by any of the involved parties (the complainant, the respondent, the policy administrator, the chair of the Companion and Assistive Animals Committee) to the full Companion and Assistive Animals Committee for consideration and further action.
- d. Committee Review: If the complaint or concern is not resolved by the Policy Administrator or by the chair of the Companion and Assistive Animals Committee through discussions with or between the parties, the chair may convene all the members of the committee to consider the matter.
- i. The committee shall hear from all parties. Contact shall be made through notice by personal delivery, email, other electronic means, or by US mail to the most current address on record with the university, if any. A copy of the complaint or other letter of concern shall be included with the communication, inviting comment or attendance at a meeting. Each party shall respond in writing indicating their preference.
  - ii. If they do not wish to attend the meeting/hearing at which the matter will be discussed, the involved parties may submit a written position statement in lieu of attendance to be considered by the Companion and Assistive Animals Committee.
  - iii. The Companion and Assistive Animals Committee or its individual members may be in a position to procure relevant evidence, and may contribute such to the hearing of the matter, in the interest of obtaining a fair result, provided that all parties are informed about the material being considered, and have the opportunity to review and/or rebut it.
  - iv. After consideration of the relevant facts, including submissions received from the involved parties, a majority of a quorum of the Companion and Assistive Animals Committee will issue a decision, either verbally to the parties at the close of the meeting/hearing, or by way of a written decision within 7 business days from the date the hearing was held.
  - v. The meeting/hearing shall be recorded.
  - vi. The decision of the Companion and Assistive Animals Committee shall be final.
8. Education of University Community: The policy administrators, working in conjunction with the Office of Institutional Equity and/or the NMSU Office of Student Accessibility Services, will ensure that appropriate training is provided to faculty, staff and students regarding the law's requirements for non-discriminatory equal access, in order to increase mutual understanding and to reduce misunderstanding and/or conflict about where different types of animals are permitted to be on campus.
9. Misrepresentation of Animal as an Authorized Animal: The New Mexico Service Animal Act, NMSA 1978, Section 28-11-6 et seq, makes it a crime to knowingly present an animal as a service animal or service animal in training when it does not meet the definition. Additionally, falsification of documentation or other misrepresentation of an animal as a service animal, service animal in training, emotional support animal or other animal permitted under these policies, in order to gain access to university facilities not otherwise open to companion animals, will be taken seriously. If reported or suspected, the appropriate university office will investigate. Administrative, disciplinary and/or criminal action will be pursued as warranted by the investigative findings.

10. Conflicts Involving Assistive and Companion Animals: It is recognized that presence of animals on campus may from time to time create problems for others. For example, the presence of a service animal, other assistive animal or companion animal may negatively affect others with allergies, respiratory impairments and other conditions.
  - a. The facts relevant to each conflict situation will be assessed in order to balance the rights of each affected party, and to the extent feasible, the rights of each party will be honored, with or without accommodation of policies, procedures, course schedules etc.
  - b. When a conflict involves two animals, the public access rights of a service animal or service animal in training will likely prevail. Note: The New Mexico Service Animal Act makes it a crime to intentionally fail or refuse to control an unrestrained animal, which animal interferes with or obstructs the owner, trainer, or handler of the service animal or service animal in training.
  - c. When a conflict involves any person and either the owner, handler or trainer of a service animal or service animal in training; or involves any person and the service animal or service animal in training; the rights of the owner, handler or trainer and/or the rights of the service animal or service animal in training will likely prevail. Note: The New Mexico Service Animal Act makes it a crime to intentionally interfere with (i.e. harassment or obstruction) with the use of a service animal or service animal in training.
  - d. Conflict resolution will be managed by the Office of Student Accessibility Services or the Office of Institutional Equity, as appropriate, for conflicts involving service animals and animals permitted as emotional support animals; those offices may utilize the Companion and Assistive Animals Committee in an advisory capacity.
  - e. Conflicts involving companion animals may be directed to the Companion and Assistive Animals Committee for resolution by that committee.
  
- F. Related Procedures and Forms: Consistent with Policy 1.10 E. 4, the policy administrators, in consultation with the Companion and Assistive Animals Committee, and approval from their respective vice president or equivalent administrator, may issue supplemental procedural guidelines and/or forms. Such procedures shall not conflict with the policy, and are intended to facilitate the implementation, application, and enforcement of this policy. Such procedures and forms shall be posted at an appropriate NMSU website, and linked from this Section.

### **3.07 Awareness, Assessment and Response to Behaviors of Concern** *[New Policy recommended by Administrative Council 04.09.13; approved by Board of Regents 05.10.13]*

- A. Purpose: The purpose(s) of this policy, and corresponding procedural guidelines, as they may be subsequently issued by the policy administrators, are as follows:
  1. To heighten awareness and mutual concern for the welfare of all within the New Mexico State University (NMSU) system, which includes all campuses and work sites, and to encourage the reporting of observed behaviors of concern occurring in the classroom, on campus, in NMSU Housing, in the workplace, or at any other university location or sponsored event.
  2. To facilitate communication and coordination amongst university officials charged with maintaining a safe and secure environment for university students, employees, and others, specifically with a focus on the avoidance of critical incidents caused by individual or group misconduct, through early detection and reporting, risk assessment and responsive action.
  3. To formally recognize and authorize the Conduct Assessment/Response, and Education (CARE) Committee and its subcommittee, the Behavioral Intervention Team, and to clarify their respective roles and responsibilities relative to the process by which the behavior of concern will be assessed for risk and determination of appropriate precautionary and/or follow up action.
  
- B. Scope: This policy applies throughout the NMSU system, at all university owned, controlled, or leased properties, as well as at off campus locations used for university sponsored events or activities. The policy may also be applied, at the discretion of the policy administrators on a case by case basis, in response to reported off-duty or off-campus conduct, depending upon the nature

of the impact to university interests, including but not limited to, its students and personnel.

- C. Policy Administrator(s): The Dean of Students, NMSU Police Chief and Asst. VP for Human Resource Services, or their respective designees, shall administer this policy as outlined herein; they may jointly approve any supplemental operational protocols to facilitate implementation of this policy. The policy administrators work closely with the Conduct Assessment/Response and Education (CARE) Committee, its subcommittee, the Behavioral Intervention Team and designated police personnel, as appropriate for each case. All NMSU supervisors shall assist, as may be requested by the primary policy administrators, with university community education necessary to implement this policy.
- D. Definitions: For purposes of the administration of this policy and corresponding procedural guidelines, the following definitions apply:
1. “Behavior of Concern”: Behavior of concern is any behavior, including verbal, physical, written or expressed via electronic media or other mode of communication, that reasonably causes someone to be concerned about:
    - a. the health, safety, or welfare of the individual exhibiting the behavior;
    - b. the health, safety or welfare of any other individual(s) or property, or
    - c. disruption in the classroom, program, or other academic or work environment.
  2. “Campus Resident”: Any person who lives in university housing; such individual may or may not meet the definition of “student”.
  3. “Student”: Any person enrolled in any course or program at New Mexico State University, which includes all NMSU campuses and work sites.
  4. “University Community”: The university community includes students, faculty, staff, campus residents, contractors and other vendors, volunteers, and visitors to campus.
  5. “University Facility”: Any campus, college, center, building, open space or other facility or area owned by, or operated under the control of, New Mexico State University.
  6. “Violence”: Violence includes, but is not limited to: murder, sexual assault, robbery assault; battery; harassing or intimidating behavior that creates a reasonable fear of harm; stalking; and/or, threats of violence made in any medium (verbal, electronic, telephonic, written, gestures, etc). It also includes all incidents of hate crimes, dating violence, and domestic violence.
- E. General Principles:
1. Early Reporting and Intervention: While potential incidents of violence are at the forefront of concern, this policy is intended to address individual behaviors that may be, or may become, a disruption to the environment, whether classroom, office, housing or other university facility. Outreach at an early stage is desirable to prevent violence in some instances, and to retain an employee or student in more instances. This policy is therefore designed to encourage the reporting of behaviors of concern before they lead to violence or other serious harm. In the unfortunate event that a critical incident should occur, administrators are not relieved of their duties under other policies and protocols (e.g. emergency notification and response; support to victims of violence; internal and/or police investigation into alleged misconduct; and student/employee disciplinary action and/or punitive consequences, including arrest).
    - a. Any person, including university employees and students, who observes behavior of concern is encouraged to submit a report under this policy.
    - b. Persons who in good faith submit a report or take other action authorized by this policy shall not be subjected to adverse action for having done so.
    - c. It is acknowledged that some individuals may be both student and employee; in those situations, action will be taken in the best interest of the individual and the institution,



- and may include administrative action under either student policies/procedures or employee policies/procedures, or both.
- d. As part of a larger and institution-wide commitment to a secure campus and workplace environment, the university is committed to the development of preventive measures. In addition to the work of the CARE Committee, the Behavioral Intervention Team and/or NMSU Police Chief and/or designee; other examples include: pre-employment screening, employee assistance program, student support services, and other outreach and educational initiatives.
  - e. The university's Office of Human Resource Services-Employee Management Services provides collaborative problem-solving assistance to supervisors and employees in the area of conflict resolution in an attempt to address and diffuse tensions caused by interpersonal disputes or other reasons, before disputes in the workplace reach a level at which violence may erupt.
  - f. Individuals found to have intentionally and maliciously submitted a false report may be subject to appropriate administrative, civil or criminal action.
2. **Retaliation Prohibited:** Individuals who are found to have retaliated against any individual reporting or taking other action under this policy, including encouraging or assisting another to report behavior of concern, may be subject to administrative, civil or criminal action as may be appropriate under the circumstances.
  3. **Establishment of the CARE Committee:** To facilitate implementation and administration of this policy, the Board of Regents formally recognizes and authorizes the Conduct Assessment/Response, and Education (CARE) Committee as a standing university board, along with its subcommittee, the Behavioral Intervention Team. *See [Official List of University Boards](#).*
  4. **Role of the CARE Committee and the Behavioral Intervention Team:** The CARE Committee and Behavioral Intervention Team assess and coordinate response to reported behaviors of concern that do not pose an immediate threat of personal harm (to self or others), nor to property. These committees have been established in part to facilitate the assembly of information from the distinct NMSU entities that may be privy to relevant information, in order to assist with the assessment for risk of harm. The CARE Committee defers to the Behavioral Intervention Team and other qualified professionals the decision making regarding the nature and type of appropriate responsive action.
    - a. The CARE Committee and the Behavioral Intervention Team do not provide counseling or medical advice or services, but each may act to refer individuals to such internal or external resources, especially in situations involving victims of violence.
    - b. The CARE Committee and the Behavioral Intervention Team are not responsible for responding to campus emergencies. Emergency response is performed by the appropriate public safety entities (e.g. police or fire), with consequence management (continuity of operations and disaster recovery) addressed by the Central Administration Response Team ("CART"), consisting of university executive administrators (*See Policy [2.25 Emergency Preparedness and Response](#)*) However, the CART or other public safety professional may request information or assistance from either the CARE Committee or the Behavioral Intervention Team as needed when responding to or managing an emergency. This provision is not intended to affect or otherwise limit the authority of the individual members of the Behavioral Intervention Team to act in their professional capacity, or to take emergency medical action as permitted by state law.
    - c. The CARE Committee and the Behavioral Intervention Team will work with other university offices and resources to publicize, throughout the NMSU system, the purpose and functions of the committee and the protocols in place for reporting behavior of concern, including new employee and new student orientation at all campuses.
    - d. The members of the CARE Committee and the Behavioral Intervention Team are authorized to obtain information pertaining to a matter pending review by the committee or team about individuals from supervisors of the NMSU entities and from students for relevant information; supervisors and students shall respond cooperatively and timely to such requests, for the benefit of the person involved as well as for that of the institution.

- e. The Office of General Counsel provides legal counsel to the CARE Committee and the Behavioral Intervention Team, and is included in their meetings as an *ex officio* member.
- f. All members of, as well as individuals involved with, proceedings of the CARE Committee or the Behavioral Intervention Team shall maintain confidentiality at all times as required by law, including professional licensing standards regulated by the State of New Mexico.

F. Procedural Guidelines and Flowchart: See Dean of Students - Worried About Someone

### 3.10 Campus Access-Prohibited, Restricted

- A. Restrictive Access Policy: In order to establish an appropriate environment and preserve university property for educational purposes, the university reserves the right to restrict access to some of its lands and facilities. Academic spaces are generally used for educational purposes only, and buildings which serve as residences for students are restricted to students, their guests, and appropriate university employees. While some other university facilities and grounds are available to the general public, activities must be scheduled and authorized, and facilities/grounds must be used according to university rules and regulations. No individual(s), except for those contracted to reside on campus, shall temporarily or permanently remain overnight on the property of the Board of Regents, or dwell on the property of the board, including but not limited to, in motor vehicles, or in temporary or permanent structures, without the specific prior approval of the vice president for student affairs and enrollment management (or designee). Members of the campus community, as well as visitors, are expected to behave in ways that do not interfere with the rights of others to pursue an education and/or do not disrupt community living on campus. Behaviors of any individuals that interfere with, disrupt, impair, or obstruct the processes, procedures, or functions of the university are prohibited.

Failure to comply with this policy could subject the individual to warning, probation, and removal from the campus, arrest, barring from the campus, or any other sanctions applicable under the Student Code of Conduct, university personnel policies, or state or federal laws. Actions taken under this policy will be initiated by the appropriate dean or vice president (or designee). Contested administrative actions may be appealed in writing to the executive vice president and provost within 3 working days after receipt of the decision made by the appropriate dean or vice president. The decision of the executive vice president and provost is final.

- B. Prohibited Access Policy: The following individuals may be prohibited from entering upon land or buildings owned or used by the board, its colleges, departments, community colleges, experiment stations, ranches, and all property owned or occupied by agencies supervised by the board:
1. Persons charged with criminal acts against the board or students or employees during the pendency of such criminal charges.
  2. Persons found guilty by a court of competent jurisdiction of criminal acts against the board or students or employees.
  3. Any individual whose presence on the campus constitutes a clear and present danger to the persons, property, or peace of the board, or students, employees, or agents (contractors).
  4. Any individual whose presence on campus, given all attendant circumstances, could reasonably cause injury against the persons or property of the board or students or employees.
  5. Any student ordered withdrawn under the Medical/Psychiatric Withdrawal Policy (available in the Office of the Vice President for Student Affairs and Enrollment Management).

In order to be prohibited from use of university lands and buildings, individuals must be notified in writing of the prohibition by the vice president for student affairs and enrollment management (or designee). Notice may be made personally or by certified mail. Individuals so notified shall be immediately barred subject to the right to request a hearing within 3 days of the service of the

notification or within 6 days of the date of mailing the certified letter. Extension of time will be given to the next business day for any day that occurs on a weekend or a holiday as established by the university. Appeals shall be made by giving written notice to the Office of the Executive Vice President and Provost of intent to appeal. Hearing on the appeal shall be within 7 days from the receipt of the notice of appeal. Neither the individual prohibited nor the university shall be represented at the hearing by legal counsel.

The hearing need not conform to the strict rules of legal evidence. In the event that the executive vice president and provost reverses the prohibition, the individual shall be immediately entitled to enter upon university land or property. In the event that the executive vice president and provost affirms the decision, the individual's prohibition shall continue. The decision of the executive vice president and provost is final. Under most circumstances, prohibitions under this policy will be for one year or less. When the prohibition is indefinite, the affected individual may petition for the removal of the prohibition after one calendar year by submitting a written request to the vice president for student affairs and enrollment management. With respect to individuals convicted of criminal acts against the university, its students, or employees, the one year shall commence at the time the individual is released from incarceration resulting from the conviction. Any violation of such prohibition may result in legal action by the board against the individual, including such criminal charges as may be appropriate under the circumstances, including criminal trespass.

- C. Vacating University Buildings or Property: The university recognizes the importance of providing a venue where members of the community can freely and openly express their ideas. However, if an individual(s) and/or organization improperly or illegally occupies university buildings or property, the following statement will be read:

*You are violating university regulations and/or state laws concerning improper occupation of buildings or property. If you leave within the next 10 minutes, no further action will be taken. If you do not leave within 10 minutes, you may be arrested. If you are a student, you may also be subject to disciplinary action as outlined in the Student Code of Conduct.*

In the event a crime (other than the peaceful but illegal occupation of a building or property) has occurred, is occurring, or is about to occur, action may be taken without regard to the above statement by the appropriate university officials in order to protect the safety, lives, and property of the university community.

### **3.15 Children in the Workplace**

Students, staff, faculty, and administrators can expect to attend and teach class, or complete work or research in laboratories, libraries, offices, and other workplaces with a minimum of distractions or interruptions. Consequently, the following regulations have been established, and will be enforced by the appropriate dean or administrative supervisor, to ensure that an appropriate academic and work environment is maintained.

- A. Children visiting campus must be closely supervised by an adult at all times.
- B. Children will be prohibited from entering dangerous settings such as labs and equipment rooms without the approval of the appropriate dean or administrative supervisor.
- C. Children may not attend a class in session without the prior approval of the class instructor. Children under the care of the instructor may not attend class without the prior approval of the immediate supervisor.
- D. Children may, on rare occasions and with the approval of the supervisor, accompany a parent to the workplace. However, the expectation is that parents will make alternate arrangements for the care of their children during normal working hours.
- E. Children taking part in programs and/or special events on campus are expected to abide by the rules and regulations established by the program or event sponsors.

### **3.19 Conflict of Interest – Ethical Conduct**

#### **3.19.10 General Statement**

Inherent within the responsibility for educating the future leaders of our society is the obligation to adhere to the highest ethical standards and principles. New Mexico State University is committed to maintaining the highest standards of ethics and integrity in all of its academic and administrative operations, by promoting such standards among its regents, administrators, faculty, staff, students and others acting on behalf of the university (including those acting on behalf of university controlled entities) and by striving to ensure a level of accountability appropriate for a public institution.

#### **3.19.20 Principles of Ethical Conduct:**

- A. Members of the university community are expected to exercise and demonstrate personal and professional honesty and to respect the rights, values and contributions of others.
- B. Members of the university community are expected to be aware of and comply with relevant laws, regulations, contract requirements and university policies and procedures. An unethical practice should never be condoned on the grounds that it is “customary” or that it serves a worthy goal.
- C. Individuals with access to confidential, proprietary or private information must never use or disclose such information except where authorized or legally obligated to do so.
- D. All members of the university community are responsible for avoiding, where possible, real or potential conflicts of interest and commitment between personal and professional responsibilities, including relationships that have the appearance of a conflict.
- E. The university’s interests should be foremost in all official decision making and employees and others acting on behalf of the university shall remove themselves from decision-making roles that involve them in any personal capacity or which involve their friends or family members.
- F. All individuals acting on behalf of the university have a responsibility to ensure that funds and other assets received are used in an ethical manner. Assets of the university (including personnel), whether tangible or intangible, may not be used for illegal purposes or personal gain.
- G. Members of the university community shall strive to present all information, including financial information and research data and results, completely and accurately.

#### **3.19.30 Addressing Concerns Relating to Ethical Conduct**

Individuals who have concerns about the propriety of a situation or about the conduct of a university employee or someone acting on behalf of the university, are expected to consult with appropriate university officials (that is, the person to whom the individual whose conduct is in question directly reports or, in the case of someone acting on behalf of the university, the chair of the Committee on Conflicts of Interest in Sponsored Activities, or when a regent is involved, the president). Confidentiality about individuals reporting violations of these standards will be maintained whenever possible and employees shall be free from retaliation for voicing concerns.

### **3.20 Conflicts of Interest and Conflicts of Commitment in General** (*See Policy [3.75 Non Work Related Use of University Resources](#), [3.92 Sales and Solicitation](#), [4.50 Outside Employment and/or Activities](#), [4.60 Public Affairs Participation](#), [5.30 Faculty Consulting](#), [7.05 Educational Opportunities for Employees and Their Families](#), and [8.25 Professional Staff Consulting](#))*

#### **3.20.10 Principles**

Both individual members of the university and entities controlled by the university have a vital need to recognize and deal with conflicts of interest and/or commitment. Such conflicts may compromise or have the appearance of compromising the integrity of university-related activities and have unforeseen

effects on those activities. Even if there is no perceptible effect on the activity, any apparent inability of the university to avoid and/or resolve conflicts of interest invites outside criticism and supervision. Such supervision could result in the loss of the university's ability to decide its own direction. Conflicts of interest may be primarily financial or may involve the use of one's position and powers for non-monetary self-interest. Such conflicts may be personal or relate primarily to the institution or its constituent organizations or involve an individual whose behavior is inextricably linked with her or his official position, such as an upper-level administrator or a member of the Board of Regents. In any of these situations, the general principles remain the same; 1) disclose always, 2) manage when possible; and 3) prohibit when necessary and where management is not possible.

- A. Disclose always: It is vitally important that individuals provide a clear picture of their activities and complete forms accurately and in a factually correct manner so that potential or actual conflicts of interest can be identified. Similarly, if situations change, disclosure needs to be made within 15 working days (*see* section 3.20.15 of this policy). The university is under no obligation to manage, as opposed to prohibit, a conflict of interest disclosed by someone other than the individuals primarily involved.
- B. Manage when possible: The vast majority of conflicts can and are managed through removing at least one of the parties from the conflict situation. For example, an individual might recuse him or herself from the review process on a proposal, have another individual become principal investigator or abstain from participating in a particular promotion or tenure situation. The preference of the institution will be to provide management solutions to a conflict of interest that will remove or isolate the conflict. However, such management is not possible when disclosure is not made.
- C. Prohibit when necessary and where management is not possible: In some few cases, it will not be possible to manage a conflict and the individual or organization will have to withdraw from the activity. In some cases, university policy and/or state or federal law allows no solution other than prohibition. For example, no member of the Board of Regents may act as a vendor of goods or services to the university (Board of Regents Bylaws and Section 21-1-35, NMSA 1978).

### **3.20.15 Procedures and Remedies in Cases of Conflicts of Interest and/or Commitment** *[Amendment presented to Administrative Council 04.13.10; ratified by the Board of Regents 07.20.10]*

It is the responsibility of all persons covered by this policy to report any real, apparent or potential conflict of interest or commitment to their supervisors. The primary means of doing this is through the completion of the Conflict of Interest Disclosure Form upon hire and on an annual basis, with disclosure updates submitted on the basis of changes in circumstance. Additional policies, as set forth in Section 3.21.26 of this policy, are applicable to conflicts arising from sponsored activities but are based upon the annual disclosure requirement.

- A. Procedure: Each person covered by this policy is required to complete, sign and submit a Conflict of Interest Disclosure form upon hire with any NMSU entity; as new conflicts arise during employment by NMSU; and on an annual basis as requested by the Office of Human Resource Services. Completed forms will be reviewed and approved by the applicable supervisor (and only require next level supervisor review as defined below). Disclosure forms submitted containing no conflicts require only one level of review and approval. Disclosure forms submitted containing one or more (real or perceived) conflicts of interest require two levels of review and approval. In addition, a plan to manage or eliminate the conflict(s) must be submitted. If a conflict of interest or commitment exists for which no management plan is possible, the supervisor is required to recommend a plan of action. Conflicts of interest and commitment that have been submitted may be reviewed by the Committee on Conflicts of Interest in Sponsored Activities as necessary. Maintenance of the form is the responsibility of the Office of Human Resource Services.
- B. Paths Towards Remedies: There are two basic conditions that influence the path taken to remedy a conflict of interest or commitment. These may be summed up in the questions: 1) did the conflict arise as part of a sponsored activity? and 2) who disclosed the conflict? These questions must be asked together, as a conflict may be self-disclosed or disclosed by others and may or may not arise as part of a sponsored activity.

The first question that determines disposition of conflicts of interest and/or commitment is whether or not the conflict arises from a sponsored activity. The treatment of conflicts in non-sponsored activities will follow normal personnel procedures as outlined in Policies [4.05 Appeals/Grievances](#) and [4.25 Due Process](#) of the policy manual, drawing informally on the advice of the Committee on Conflicts of Interest in Sponsored Activities as desired. Resolution of conflicts arising from sponsored activities shall be governed by the procedures set forth in Section 3.21.27 of this policy. The second question is whether the individual(s) involved in the conflict made the disclosure prospectively or as part of a timely update, or whether someone else has brought the conflict to the university's attention. In cases disclosed by the individual(s) having the conflict, the university will generally try to manage the conflict in a manner agreeable to the parties involved and in agreement with applicable university policies and state and federal laws. The person(s) identified as having the conflict may elect to manage the conflict by participating in measures that will guard the integrity of the situation. Such measures require the approval of the relevant dean, vice president or vice provost or (in the case of sponsored activities, the Committee on Conflicts of Interest in Sponsored Activities). The person(s) involved may choose or be told to withdraw from the activity or situation that creates the conflict. In some cases, the supervisor and appropriate dean, vice president or vice provost and, if applicable, the Committee on Conflicts of Interest in Sponsored Activities, shall approve the action taken. When someone other than the individual(s) involved in the conflict brings an existing conflict to the attention of the university, the university is under no obligation to try to remedy the conflict and may require that the individual(s) withdraw from the activity or situation creating the conflict. In addition, the individual(s) may be required to repay monies that have been obtained in a situation involving a conflict of interest or commitment. Other sanctions up to and including termination of an individual's employment, may be imposed; subject to the appeals process outlined in Policies [4.05 Appeals/Grievances](#) and [4.25 Due Process](#).

### **3.20.20 Definition of Terms**

The definitions and example listed below are intended to aid university employees and appropriate review bodies in identifying conflicts of interest. Identifying conflict situations and documenting steps taken to manage these conflicts serve to protect the employees and the institution, as well as ensure that the university will remain eligible for government sponsored research.

### **3.20.22 Member of the University Community**

Members of the university community includes regents, employees (administrators, faculty, staff, student employees) and others acting on behalf of the university (including those acting on behalf of university controlled entities such as the NMSU Foundation).

### **3.20.23 Relationships**

For purposes of this policy, the term "relationships" shall mean and include the following; "family", as defined in the university policy manual, *i.e.*, legal spouse, domestic partner, parent (including in-laws, adoptive, step or surrogate), child, brother (including half , step and in-law), sister (including half, step and in-law), grandparent, grandchild, legal guardian. The term "family" shall also include the legal spouses of any of the individuals named above.

- A. Close personal friends
- B. Business partners and corporate professional associates

### **3.20.24 Investigator**

Investigator means the principal investigator or co-investigator and any other person at the university who is responsible for the design, conduct or reporting of a sponsored activity which has been funded or proposed for funding. For purposes of this policy and the disclosure requirements set forth herein, the term "investigator" includes the investigator's family members.

### **3.20.25 Sponsored Activity**

A sponsored activity is a research, training, service or other type of project with identifiable objectives and/or deliverables for which external funding, material support or other compensation, in the form of a grant, gift, contract, cooperative agreement or other formal arrangement, is being requested or has been received.

### **3.20.26 Significant Financial Interest**

Significant financial interest means anything of monetary value owned or payable to a faculty or staff member, including but not limited to:

- A. Salary, royalties, commissions, consulting fees or honoraria and/or any other form of compensation for services which is:
  - 1. Directly or indirectly paid or payable to the faculty or staff member by an entity other than the university or an affiliate or instrumentality of the university; and
  - 2. In excess of \$10,000 per year when aggregated for the faculty or staff member and his or her family members.
- B. Equity interests such as stocks and stock options and other ownership interests which:
  - 1. Exceed \$10,000 in value or represent more than five percent ownership interest in any single entity, when aggregated for the faculty or staff member and his or her family members; and
  - 2. Do not comprise widely held, publicly available, diversified investment funds over which the faculty or staff member does not and has no ability to exercise control; and
  - 3. Are not held in a blind trust where the faculty or staff member has no knowledge of trust assets.
- C. Intellectual property rights, such as patents and copyrights and royalties from those rights.
- D. Student stipends, scholarships, fellowships, work/study grant monies and/or any other form of financial aid paid or payable by an entity other than the university to a faculty or staff member or a member of his or her family.
- E. Gifts or donations of goods or services to a faculty or staff member or a member of his or her family; provided, however, that gifts of a nominal value (\$100.00 or less aggregated in a year) do not comprise a significant financial interest.

### **3.20.27 Conflicts of Interest**

Conflicts of interest occur when there is a competition between a member of the university community's private interests and the member's professional obligations to the university such that an independent observer might reasonably question whether the member's professional actions or decisions are determined by any considerations other than the interests of the university. In this context, the term member of the university community also includes that member's family members, close personal friends and business partners and corporate professional associates, as listed in Section 3.20.23.

- A. Examples of conflicts of interest may include but are not limited to:
  - 1. The presence of a real or apparent incentive for the faculty or staff member to decide an issue in such a way as to have the opportunity for a financial interest in the result.
  - 2. A faculty or staff member having a significant financial interest in a concern that is in direct

competition with the interests of NMSU.

3. Procuring goods or services for NMSU from a concern in which an NMSU regent, administrator, faculty or staff member or member of their family has a significant financial interest.
  4. Using NMSU resources or staff for non-NMSU projects or granting external entities access to the same, in more than an incidental way, unless permission has been given and the activity benefits the university.
  5. Reviewing proposals or bids from family members, or those with whom the faculty or staff member has a close, professional relationship, or from an entity in which the faculty or staff member has a significant financial or management interest.
- B. Examples of permitted activities may include but are not limited to:
1. Serving as principal investigator or co-investigator on a multi-institutional project where NMSU is a participating member.
  2. Permitting access to NMSU resources as part of licensing agreements or as part of statutory permitted activities.

### **3.20.28 Conflicts of Commitment**

Full-time faculty and staff of New Mexico State University owe their primary professional allegiance and their primary commitment of time and intellectual efforts to the education, research and service programs of NMSU. Conflicts of commitment occur whenever the time devoted to external activities adversely affects a faculty or staff member's capacity to undertake NMSU responsibilities, including maintaining appropriate time and accessibility as defined by the requirements of the job.

- A. Examples of conflicts of commitment may include but are not limited to:
1. Maintaining full-time paid employment at another institution/organization that interferes with work performance and/or attendance. (*See Policy [4.50 Outside Employment and/or Activities](#)*)
  2. Excessive (not more than one day per week, on average) private consulting or advisory committee service, even if it is in the public interest or pro bono.
  3. Taking on a significant management role in a non-NMSU entity as part of consulting activities.
  4. Holding an elective political office.
- B. Examples of permitted activities may include but are not limited to:
1. Faculty consulting for private companies not in excess of one day per week during that portion of the year when drawing an academic or summer salary (*see Policy [5.30 Consulting and 8.25 Consulting \(Exempt Staff\)](#)*).
  2. Serving on advisory committees of public or private concerns for the benefit of the university, even if an honorarium is paid for such activities, as long as it does not interfere with work performance and attendance.
  3. Acting as an editor or reviewer for a professional society journal.
  4. Preparing chapters, textbooks or monographs related to teaching, research or service activities, even if paid royalties as an author or editor.



5. Occasional lectures, colloquia or seminars to disseminate results of university -related teaching, research or service activities.
6. Holding an office in a professional society.

### **3.20.30 Policies for Specific Situations**

#### **3.20.32 Nepotism** *[former Policy 4.45, renumbered]*

Members of a family may be employed by the university except when one individual will directly supervise the work of the other. If one member of the family is to be employed in the same department as another, approval shall be obtained from the executive vice president and provost prior to any offer of employment. Under no circumstances will a supervisor evaluate a family member.

#### **3.20.33 Faculty or Staff as Students**

When a university faculty or staff member enrolls in a program to earn a degree at the university, a potential for conflict of interest may arise as a result of the dual role as student and as a faculty or staff member. Persons in this status who are seeking degrees or certificates must demonstrate that the potential for conflict of interest will not compromise the quality of their program of study. Approval of cognizant department heads and deans will be required. In any case, supervisors should never have the responsibility of grading individuals whom they supervise.

In the case of graduate degrees or certificates, such programs must also be approved on a case-by-case basis by the dean of the Graduate School with the concurrence of the executive vice president and provost. When appropriate, the dean may confer with the Graduate Council about the potential for conflict of interest in such programs. The graduate dean may require a specific representative on such a graduate committee, possibly including off campus representatives, as a condition for approving programs.

#### **3.20.34 Relatives and Significant Others as Students**

Faculty of NMSU may not place themselves or be placed by others in situations in which they supervise, evaluate, teach or grade the work of members of their families enrolled in courses offered by the university main campus and/or its community college campuses unless the cognizant department head and dean or equivalent approves a plan to manage the conflict. The same regulation applies to individuals with whom the faculty member is in a consensual relationship (*See* Section 3.22). Supervisors of faculty need to adopt the same procedure to manage situations in which the faculty they supervise teach members of the supervisors' family.

#### **3.20.35 Participation in Committees**

A conflict of interest can exist during the execution of routine committee service activities when they involve family members of close professional associates or friends. Normally, recusal from the committee's decision is the preferred way to manage these conflicts.

Examples of conflicts of interest in committee service work might include but are not limited to:

- A. Serving on employment selection committees when a family member (as defined above), friend or close professional associate from outside the department concerned is applying for the position.
- B. Serving on selection committees or promotion and tenure committees when a person who is or has been involved in a grievance relating to the committee member is applying for promotion or tenure.
- C. Serving on the promotion and tenure committee when a family member is applying for promotion or tenure.

- D. Serving on the graduate committee for a family member of a close professional associate.

### **3.20.36 Requests Made to Subordinates**

In order to prevent individuals from being placed in a position of conflict between the needs of the institution and those of supervisors, persons in a position of supervisory authority over another individual may not ask that individual to perform duties that benefit the supervisor or a family member in a way that does not directly relate to the official duties of the employee or supervisor. An example of such a request would be for a supervisor, including a faculty member, to ask that a subordinate nominate the supervisor or anyone else for an award. Another example might be suggesting that a subordinate purchase something to support a school activity of the supervisor's child.

### **3.20.37 Sales and Solicitations**

Sales and solicitations by individuals or organizations on university property that result in personal financial gain are expressly prohibited except as noted in Policy [3.92 Sales and Solicitation](#) of the *NMSU Policy Manual*.

### **3.20.38 Procurement**

No member of the Board of Regents or any employee, either directly or indirectly, shall sell to the university any supplies, equipment, services or insurance or receive any commission or profit on account thereof, and all such persons are prohibited from being parties directly or indirectly to any such contract. The university shall strictly comply with all state statutes and federal regulations to include, but not limited to, NMSA 1978 Section 21-1-35 and NMSA 1978 Section 13-1-190. Further guidance may be found under Section 4 of the *NMSU Business Procedures Manual*.

## **3.21 Conflicts of Interest and Commitment in Sponsored Activities**

Actual or perceived conflicts of interest or commitment that arise from Sponsored Activities are of special concern because they almost always involve or implicate entities outside of the university community (and thus are more prone to public scrutiny), are frequently governed not only by university policies but also by governmental conflict-of-interest regulations and are subject to special disclosure requirements administered by the vice president for research. The principles, definitions and policy statements set forth above in Policy [3.19 Conflict of Interest - Ethical Conduct](#) and [3.20 Conflicts of Interest and Conflicts of Commitment in General](#) apply also to this Policy [3.21 Conflicts of Interest and Commitment in Sponsored Activities](#). Specific guidance on conflicts of interest in sponsored activities is set forth below.

### **3.21.21 Conflicts in Sponsored Activities that Arise from Financial Interests**

Actual or perceived conflicts of interest or commitment in sponsored activities generally arise when an investigator or family member has a significant financial interest in, or a consulting arrangement with, a private business concern or other organization that is or may be affected by the sponsored activity. Some examples of this kind of conflict situation include, but are not limited to:

- A. Engaging for sponsored research a business firm in which the investigator or family member involved in the research project has a significant financial interest.
- B. Purchasing major equipment, instruments, materials or other items for sponsored research from a private firm in which the investigator involved in the research has a significant financial interest.
- C. Engaging a private consulting firm in connection with sponsored research where the investigator involved in such research has a consulting arrangement with or significant financial interest in a competing consulting firm.
- D. Acceptance by an investigator involved in a sponsored research project of gratuities or special favors from a firm or other organization with which the university does business in connection

with the sponsored research.

- E. Utilization of privileged information acquired by an investigator in connection with sponsored research for personal gain, or to economically benefit a business concern in which the investigator or family member has a significant financial interest.
- F. Sponsorship of research by a business firm in which an investigator involved in the research has a significant financial interest.
- G. In the absence of disclosure and express sponsor approval, employment of, or an offer of employment to, a family member of an investigator involved in sponsored research by either the sponsor of, or an organization engaged in, the research project.
- H. Receipt by a family member of an investigator involved in a sponsored activity of a scholarship, fellowship, work/study benefit, or other financial aid, which is funded by or through the sponsored activity.

### **3.21.22 Conflicts in Sponsored Activities that Arise from Personal Interest**

An actual or perceived conflict of interest or commitment may also arise from situations that may have a significant impact on an investigator involved in sponsored research, even though the situation does not involve a significant financial interest. These non-financial conflict situations frequently involve personal interests or relationships that are or may be affected by sponsored activities. Some examples are:

- A. An investigator's involvement in a sponsored activity where the investigator or a family member of the investigator acts as a non-paid advisor to, or board member of, the sponsoring entity.
- B. An investigator's involvement in a sponsored activity in which a family member is engaged as a human subject, student researcher or other non-paid participant.
- C. An investigator's involvement in a sponsored activity that includes testing and validation of new technology developed by a family member of the investigator.

### **3.21.24 Other Conflict Situations in Sponsored Activities**

It is important to realize that any number of other kinds of conflict situations can arise in the context of sponsored projects, some of which may be undeterminable at the outset of the project. Investigators involved in sponsored activities must be cognizant of the need to monitor project developments in order to identify potential or perceived conflict situations as they arise and to disclose them or facilitate their disclosure as soon as possible. Examples of other kinds of conflict situations might include:

- A. An investigator's involvement in a sponsored research project becomes so extensive during the course of the project that other obligations to the university are neglected, thus creating a conflict of commitment.
- B. An investigator's responsibility for multi-disciplinary sponsored research project gives rise to nepotism issues when a family member employed in a different university department falls under the investigator's supervisory authority in the context of the project and no disclosure of and express sponsor approval for such arrangement is in place.
- C. An investigator's loyalty to a family member (*See Policy [3.20.23 Relationships](#)*), close personal friend or a professional associate employed elsewhere results in sponsored research being conducted elsewhere which could and ordinarily would be conducted within the university, to the disadvantage of the university and its legitimate interests.

### **3.21.25 Governmental Conflict of Interest Regulations Concerning Sponsored Activities**

Any research or other project that is sponsored or funded by a governmental agency is likely to be subject to agency regulations or guidelines covering conflicts of interest as well as university policies. The federal Office of Management and Budget has promulgated rules, applicable to all federally funded grants and agreements with institutions of higher education, which define conflicts of interest and the financial thresholds applicable to them and which require grant recipients to maintain written standards of conduct governing real or apparent conflicts of interest. These rules are found in OMB Circular No. A-110, Sec. 42. Most federal departments and independent agencies have formally adopted these rules and codified them in various sections of the Code of Federal Regulations. A few agencies have adopted supplementary conflict of interest guidelines applicable to their own grant administration procedures. Two agencies, the National Science Foundation and the Public Health Service, have established specific financial disclosure requirements and disclosure review and conflict of interest management procedures applicable to grants from those agencies. The guidelines and requirements set forth in this Policy 3.21 Conflicts of Interest and Commitment in Sponsored Activities are intended to implement and comply with these federal conflict of interest rules, so that compliance with this university policy will generally assure compliance with governmental requirements. Investigators are urged, however, to familiarize themselves with the conflict of interest rules adopted by agencies sponsoring their research activities.

### **3.21.26 Disclosure Procedures for Sponsored Activities**

Each person engaged in an area of sponsored research and covered by this policy is responsible for determining whether any actual, potential or apparent conflict of interest or commitment exists. The principal investigator of each specific sponsored activity, in consultation with all other participants in the activity, is responsible for determining whether any possible conflicts exist with respect to such activity and for so indicating on the New Mexico State University Proposal Award Form submitted to the Office of the Vice President for Research at the time approval for such activity is sought. If any possible conflicts are identified, the person or persons having the conflicts should attempt to resolve them in advance of submitting the activity proposal for review and approval, but in any event must concurrently disclose them for review by the Conflict of Interest Committee during the pre-award process. Disclosure shall be made by submitting the individual's current annual Conflict of Interest Disclosure Form with the approval documentation provided to the Office of the Vice President for Research. If a new conflict of interest or commitment arises during the course of sponsored work, the person having such conflict must submit an updated disclosure form. The Office of the Vice President for Research shall furnish such disclosure forms to the Committee on Conflicts of Interest in Sponsored Activities.

### **3.21.27 Review and Resolution of Conflicts of Interest Relating to Sponsored Activities**

- A. Committee on Conflicts of Interest in Sponsored Activities: The Committee on Conflicts of Interest in Sponsored Activities shall be a standing committee consisting of the vice president for research, the director of a college/unit research center or institute director designated by the vice president for research and three faculty members appointed by the vice president for research and approved by the Faculty Senate. One member of the committee shall not be involved in sponsored research.
- B. Committee Authority and Functions:
  1. The Committee on Conflicts of Interest in Sponsored Activities shall meet as necessary to review all disclosure statements and decide in each instance whether:
    - a. There is no potential conflict of interest; or
    - b. There was a conflict of interest, which has since been resolved; or
    - c. There is a conflict of interest that has not been resolved.
  2. In making these determinations, the committee, at its discretion and under conditions of confidentiality, may seek the advice of additional persons.

3. The committee will exercise care at all times to ensure confidentiality and to protect the safety and privacy of persons involved in or affected by the review.
4. If the committee determines that there is an unresolved conflict of interest:
  - a. The appropriate dean, vice president or vice provost will be notified;
  - b. The committee will work with the affected principal investigator and other key personnel, including affected departmental personnel, to determine how the conflict should be managed so the sponsored activity can proceed if at all possible; and
  - c. Acceptance of an award for the affected sponsored activity will be delayed pending resolution of the conflict.
5. In order to effectively manage or remedy a conflict of interest, the committee may impose conditions or restrictions to control, reduce or eliminate the possibility that the conflict will affect the objectivity of the sponsored research or other activity. Examples of conflict of interest management options include:
  - a. Public disclosure of the conflict.
  - b. Divestiture of conflicting financial interests or placement in a blind trust.
  - c. Escrow of a conflicting equity interest until appropriate triggering conditions are met.
  - d. Disqualification of the conflicted individual from management, supervisory or other affected responsibilities for the sponsored activity.
  - e. Prohibition of the conflicted individual's involvement in affected aspects of the research or other activity.
  - f. Severance of business relationships that create the conflict.
  - g. Monitoring of research or other affected activities by independent reviewers.

### **3.21.28 Appeals from Decision Concerning Conflicts of Interest Arising from Sponsored Activities**

A sponsored activity may not be accepted in the event that the committee is unable to fashion a remedy for a specific conflict of interest and the conflict remains unresolved. In such case, the Committee on Conflicts of Interest in Sponsored Activities will notify the appropriate dean, vice president or vice provost. Appeal of the decision to not accept an award or to accept it subject to conditions in furtherance of a specific management plan, may be made to the executive vice president and provost, who will consult with the principal investigator and the Committee on Conflicts of Interest in Sponsored Activities prior to making a final determination. A final determination on appeal of a conflict of interest decision will be made within 30 days of the date the appeal was taken. A final determination on appeal shall be achieved before the university accepts a sponsored activity.

### **3.21.29 Retention of Records Concerning Conflicts of Interest in Sponsored Activities**

*[Amendment presented to Administrative Council 04.13.10; ratified by Board of Regents 07.20.10]*

The Office of the Vice President for Research will maintain records of all conflict of interest disclosures and all actions taken with respect to such disclosures for either:

- A. A period of three years following the final close-out of the affected sponsored activity or the resolution of any governmental action relating to such sponsored activity or the underlying conflict of interest, whichever comes later; or
- B. As otherwise provided by law. The original disclosure forms will be retained electronically by the Office of Human Resource Services as part of the employee's official personnel file.

### **3.22 Conflicts of Interest Arising from Consensual Relationships**

- A. Policy Statement: It is the policy of the university that employees with direct teaching, supervisory, advisory or evaluative responsibility over other employees, students and/or student employees recognize and respect the ethical and professional boundaries that must exist in such

situations. Consensual relationships can create conflicts of interest that impair the integrity of academic and employment decisions. Such relationships also contain the potential for exploitation of the subordinate employee, student or student employee and the possible professional or academic disadvantage of third parties, and can subject both the university and individuals to liability. Therefore, the university strongly discourages consensual relationships between supervisors and subordinates, teachers and students, and advisors and students. Should such a relationship develop, the faculty member, supervisor or advisor has the obligation to disclose its existence to an immediate supervisor and cooperate in making alternative arrangements for the supervision, evaluation, teaching, grading or advising of the employee, student or student employee.

- B. Scope: This policy applies to all NMSU employees including faculty, staff and student employees.
- C. Definitions:
  - 1. A consensual relationship is a mutually acceptable, romantic and/or sexual relationship.
  - 2. A conflict of interest arises when an individual with the authority and responsibility to evaluate the work or performance of an employee, student or student employee acquiesces or engages in a consensual relationship with the employee or student.
  - 3. An employee is defined as any individual, whether paid or not, who is listed and active on the university's Human Resources Management System. This includes all faculty, staff and student employees to include affiliated faculty and associated employees.
- D. Reporting Responsibility: In the event a conflict of interest exists arising from a consensual relationship, the individual in the supervisory, teaching or advisory position shall immediately notify the supervisor about the relationship and cooperate with the supervisor in making arrangements necessary to resolve the conflict of interest. Notification of the consensual relationship shall be provided in writing and signed by both parties involved.
- E. Supervisor Responsibility: A supervisor who is notified shall take immediate steps to alter the conditions that create the conflict of interest caused by the relationship. In most instances, this will be accomplished by providing an alternative means for the supervision, teaching, advising and/or evaluation of the subordinate employee, student or student employee. A supervisor who becomes aware of a consensual relationship that has not been declared shall investigate and take action as appropriate and required by this policy. Both parties in the relationship and the supervisor shall sign the resolution. All documentation will be maintained in a departmental file.
- F. Failure to Report or Cooperate: Employees in positions of authority who enter into or continue consensual relationships without reporting them, or who fail to cooperate in efforts to eliminate the conflict of interest resulting from a consensual relationship may be subject to disciplinary action, which may include counseling, letters of warning, reprimand, suspension or termination. In the event that a complaint of sexual harassment or sexual misconduct is reported by the subordinate party regarding an unreported relationship, there will be no presumption that the relationship was consensual in nature.
- G. Grievance of Disciplinary Actions: Disciplinary actions imposed for violations of this policy may be grieved or appealed by the individual who is disciplined pursuant to existing university policies and procedures.
- H. For Assistance: Questions regarding this policy should be directed to the assistant vice president for human resource services.

**3.25 Discrimination, Harassment and Sexual Misconduct on Campus.** (See also Policies 1.20 Gender Equity Policy and Statement of Principles, 3.22 Conflicts of Interest Arising from Consensual Relationships; (Recommended by Administrative Council 02.11.14; approved by the Board of Regents 03.10.14)

- A. New Mexico State University (NMSU) is dedicated to providing equal opportunities in areas of employment and academics without regard to age, ancestry, color, disability, gender identity, genetic information, national origin, race, religion, serious medical condition, sex, sexual orientation, spousal affiliation or protected veteran status as outlined in federal and state anti-discrimination statutes. As a federal contractor, NMSU's affirmative action program also supports this effort. The following is a listing of applicable federal and state laws:
1. Age Discrimination in Employment Act of 1967
  2. Americans with Disabilities Act of 1990, as amended
  3. Civil Rights Act of 1991
  4. Title IX of the Education Amendments of 1972
  5. Executive Order 11141
  6. Executive Order 11246
  7. Equal Pay Act of 1963
  8. Pregnancy Discrimination Act
  9. Section 504 of the Rehabilitation Act of 1973, as amended
  10. Title VI & VII of the Civil Rights Act of 1964
  11. Vietnam Era Veterans Readjustment Act
  12. Genetic Information Non-discrimination Act of 2008
  13. NM Human Rights Act, 1969
  14. Campus SaVE Act, 2013
- B. The Office of Institutional Equity (OIE) is designated as the office that receives and processes internal discrimination complaints within the NMSU system. The NMSU OIE website will include office address, location and contact information: <http://eeo.nmsu.edu/>
- C. Title IX Notice:
1. NMSU does not discriminate on the basis of sex in education programs and activities; Title IX of the Education Amendments Act of 1972 is a federal law that states:
 

*"No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance."*
  2. Title IX prohibits:
    - a. Sexual misconduct (including sexual violence)
    - b. Sex discrimination (gender bias)
    - c. Sexual harassment
    - d. Retaliation
  3. Title IX applies to students, staff and faculty. Title IX requires reporting from "responsible employees" for which purposes of policy can be defined to include:
    - a. Those with authority to address and remedy sex-based discrimination and harassment; and/or
    - b. Those with responsibility to report sexual misconduct to a supervisor and OIE; and/or
    - c. Those who a student would responsibly believe have such authority or obligation.
  4. In cases involving harassing speech, assessing Title IX applicability to off-campus behavior will require a two-prong test:
    - a. Does NMSU have control over the harasser (subject to our rules) and

- b. Does NMSU have control over the context of the harassment (on our property, in our programs, on land we lease or control, or at events we sponsor)
5. NMSU will reserve the option to take off-campus jurisdiction in cases involving sexual violence, sexual assault, or rape that involve students or employees.
6. The President will designate an administrator to serve as the NMSU Title IX Coordinator, whose duties will include overseeing all Title IX complaints and identifying and addressing systemic problems that arise during the review of such complaints.
7. Inquiries concerning the application of Title IX may be referred to the NMSU Title IX Coordinator or the Office of Civil Rights of the United States Department of Education. The NMSU OIE website will include the NMSU Title IX Coordinator's name, office address, telephone number, and e-mail address as well as the link to the Office for Civil Rights.

D. Campus Violence Elimination Act (Campus SaVE Act) Notice:

NMSU does not tolerate any sexual violence to include intimate partner violence which can be defined as any physical, sexual, or psychological harm against an individual by a current or former partner or spouse of the individual. Such sexual violence covers domestic violence, dating violence and stalking. The Campus SaVE Act complements and is a companion to Title IX and assists with the response to and prevention of sexual violence in higher education. The Act provides a framework for educational institutions to address incidents of sexual violence occurring on-campus, on public property within and adjacent to campus, and at non-campus properties like off-campus student organization housing, campus sponsored events and remote classrooms.

Specifically, the Campus SaVE Act outlines provisions for the following:

- a. **Transparency:** Students or employees reporting victimization will be assisted by campus authorities in reporting a crime to law enforcement and with obtaining or enforcement of no contact directives or restraining orders. Employees and students should be aware of bystander intervention which includes taking action to prevent harm or intervene when there is a risk of domestic violence, dating violence, sexual assault, or stalking against another person. Individuals who make reports will be provided options and assistance in changing academic, living, transportation and working situations if requested and reasonably available. Further, a resource guide will be provided which includes information on counseling, health, local advocacy and legal service agencies. The range of any possible disciplinary actions or sanctions and procedures may be found in the *NMSU Student Code of Conduct* and/or the *NMSU Policy Manual*.
- b. **Accountability:** Provide a fair investigation and resolution of complaints. Additionally, both accuser and accused may be accompanied during proceedings by an advisor of their choice and both parties will receive written outcomes of disciplinary hearings at the same time.
- c. **Education:** Conduct initial and ongoing awareness programming for students and employees that addresses issues of primary prevention, definition of consent, reporting, bystander intervention and risk reduction.
- d. Inquiries concerning the application of the Campus SaVE Act may contact any of the following: Office of Institutional Equity (OIE) Executive Director; the NMSU Police Department Victim's Assistance Coordinator or the Dean of Students. The NMSU OIE website will include the most current names, office address, telephone number and e-mail address as well as the link to the Office for Civil Rights.

E. Discrimination Policy:

1. NMSU is committed to providing a place of work and learning free of discrimination and harassment on the basis of a person's age, ancestry, color, disability, gender identity, genetic



information, national origin, race, religion, serious medical condition, sex, protected veteran status, sexual orientation, or spousal affiliation. Where a violation of policy is found to have occurred, NMSU will act to stop the conduct, to prevent its recurrence, to remedy its effects, and to discipline those responsible in accordance with the *NMSU Policy Manual* and/or *NMSU Student Code of Conduct*.

2. No employee or student, either in the workplace or in the academic environment, should be subjected to discrimination which includes inappropriate conduct. Even one incident may constitute a violation of policy. It is expected that students, faculty and staff will treat one another and campus visitors with respect.
3. It is against NMSU policy to discriminate in any aspect of employment or education, which includes, but is not limited to:
  - a. hiring actions and terminations;
  - b. compensation, assignment, or classification of employees;
  - c. transfer, promotion, layoff, or recall of employees;
  - d. job advertisements;
  - e. recruitment actions;
  - f. testing;
  - g. grading;
  - h. acceptance or participation in an academic program or activity;
  - i. use of university facilities;
  - j. training programs;
  - k. benefits;
  - l. retirement plans, and paid and unpaid leave programs;
  - m. housing;
  - n. academic accommodation;
  - o. employment accommodation;
  - p. financial aid;
  - q. other terms and conditions of employment
4. Determining what constitutes discrimination under this policy will be accomplished on a case by case basis and depends upon the specific facts and the context in which the conduct occurs. Some conduct may be inappropriate, unprofessional, and/or subject to disciplinary action, but would not fall under the definition of discrimination. The specific action taken, if any, relating to a particular instance depends on the nature and the seriousness of the conduct that is reported.
5. Discriminatory practices include, but are not limited to:
  - a. discrimination on the basis of a person's age, ancestry, color, disability, gender identity, genetic information, national origin, race, religion, sex, protected veteran status, sexual orientation, serious medical condition or spousal affiliation;
  - b. retaliation against an individual for engaging in a protected activity such as filing a charge of discrimination, participating in an investigation, or opposing discriminatory practices;
  - c. Use of electronic mail or computer dissemination of offensive material relating to protected categories;
  - d. Denying or interfering with an employee's or student's authorized reasonable accommodation based on disability or religion;
  - e. employment or education decisions based on stereotypes or assumptions about the abilities, traits or performance of individuals based on age, ancestry, color, disability, gender identity, genetic information, national origin, protected veteran status, race, religion, serious medical condition, sex, sexual orientation, or spousal affiliation; and
  - f. conduct that has the purpose or effect of substantially interfering with an individual's academic or work performance, or of creating an intimidating, hostile or offensive environment in which to work or learn.

F. Sex Discrimination/Sexual Harassment Policy:

1. NMSU is committed to providing a place of work and learning free of sexual misconduct which includes sexual harassment and sexual violence. Engaging in sexual behavior that is inappropriate, unwanted and unsolicited is a violation of NMSU policy. Where sexual harassment is found to have occurred, NMSU will act to address the reported conduct, to prevent its recurrence, to remedy its effects, and to discipline those responsible in accordance with the *NMSU Policy Manual* and/or *NMSU Student Code of Conduct*.
2. No employee or student, either in the workplace or in the academic environment, should be subjected to unwelcome non-verbal, verbal or physical conduct that is of a sexual nature. Even one incident may constitute a violation of NMSU policy.
3. Determining what constitutes sexual harassment under this policy is dependent upon the specific facts and the context in which the conduct occurs. Some conduct may be unprofessional and/or subject to disciplinary action, but would not fall under the definition of sexual harassment. The specific action taken, if any, depends on the nature and the seriousness of the reported conduct and may include disciplinary processes.
4. Under this policy, unwelcome sexual advances, requests for sexual favors, and other non-verbal, verbal or physical conduct of a sexual or gender bias nature, constitute a violation of policy when:
  - a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic status;
  - b. Submission to or rejection of the conduct is used as a basis for academic or employment decisions or evaluations, or permission to participate in an activity; or
  - c. The conduct has the purpose or effect of substantially interfering with an individual's academic or work performance, or of creating an intimidating, hostile or offensive environment in which to work or learn.
5. Sexual harassment may take many forms, subtle and indirect, or blatant and overt.
6. Examples of unwelcome conduct of a sexual or sex related nature that may constitute a violation of policy may include, but are not limited to:
  - a. Rape, sexual assault, sexual battery, sexual coercion, sexual exploitation, stalking, or other sexual violence;
  - b. Sexual violence is a physical act perpetrated against a person's will or where a person is incapable of giving consent due to the victim's use of drugs or alcohol. Additionally, a person may be unable to give consent due to an intellectual or other disability;
  - c. Sexually explicit or gender related statements, comments, questions, jokes, innuendoes, anecdotes, or gestures;
  - d. Uninvited touching, patting, hugging, or purposeful brushing against a person's body or other inappropriate touching of an individual's body;
  - e. Remarks of a sexual nature about a person's clothing or body;
  - f. Use of technology, electronic mail or computer dissemination of sexually oriented, sex-based communications or sexually explicit images;
  - g. Sexual advances, whether or not they involve physical touching;
  - h. Requests for sexual favors in exchange for actual or promised job or educational benefits, such as favorable reviews, salary increases, promotions, increased benefits, continued employment, grades, favorable assignments, letters of recommendation;
  - i. Displaying sexually suggestive objects, pictures, magazines, cartoons, or screen savers; or
  - j. Inquiries, remarks, or discussions about an individual's sexual experiences or activities and other written or verbal references to sexual conduct.

G. Retaliation:

1. Retaliation against an individual who in good faith complains of alleged discrimination or sexual harassment or provides information in an investigation about behavior that may violate this policy

is prohibited and may be grounds for discipline. Retaliation in violation of this policy may result in discipline up to and including termination and/or expulsion. Any employee or student bringing a discrimination or sexual harassment complaint in good faith or assisting in the investigation of such a complaint will not be adversely affected in terms and conditions of employment and/or academic standing, nor discriminated against, terminated, or expelled because of the complaint.

2. "Retaliation" may include, but is not limited to such conduct or adverse actions as:
  - a. Adverse action taken to keep someone from opposing a discriminatory practice, or from participating in an discrimination proceeding;
  - b. Employment actions such as termination, refusal to hire, and denial of promotion;
  - c. Threats, unjustified negative evaluations, unjustified negative references, or increased surveillance;
  - d. Action such as an assault or unfounded civil or criminal charges that are likely to deter reasonable people from pursuing their rights; or
  - e. An unfair or unjustified grade.

Note that petty slights and annoyances, such as stray negative comments in an otherwise positive or neutral evaluation, snubbing a colleague, or negative comments that are justified by an employee's or student's poor work/academic performance or history are not considered adverse actions.

#### H. Applicability and Sanctions:

1. All students and employees are subject to this policy. Any student or employee who violates this policy is subject to discipline up to and including termination and/or expulsion in accordance with the *NMSU Policy Manual* or in the case of students, the *NMSU Student Code of Conduct*. Complaints may also be filed against visitors, consultants, independent contractors and outside vendors whose conduct violates these policies, with the possible sanctions of limiting access to campus facilities and other measures to protect the campus community.

#### I. Policy Statement Distribution:

1. The President's policy statement references the University's position as contained in this policy. All employees will be provided the President's policy statement on an annual basis. Human Resource Services (HRS) and the Office of Institutional Equity (OIE) will maintain documentation (written or electronic) that each employee received the President's policy statement. New employees will be provided a copy of the President's policy statement at the time of hire, generally at New Employee Orientation (NEO) and documentation will be maintained by HRS. Additionally, the President's policy statement will be provided to students at least annually. The distribution and receipt documentation may be accomplished electronically for either employees or students. The complete text of this policy will be maintained on the OIE website: <http://eeo.nmsu.edu/>

#### J. Complaints and Investigation:

1. Employees and students may file an internal discrimination complaint with OIE within fifteen (15) working days from the date of the incident(s). Individuals may use the NMSU Internal Discrimination Complaint Form to submit their complaint. The use of this form facilitates the gathering of information that is necessary to assess the complaint. The OIE Executive Director (or designee) may extend the filing date of a complaint beyond the fifteen (15) working days if there are extenuating circumstances.
2. OIE will provide the option to the complainant of pursuing their complaint through an informal (which may include mediation) or formal process (submittal of the complaint). The formal internal discrimination complaint will be subject to an initial review to determine if the complaint will proceed to the investigation. If the initial review finds that the complaint will not be accepted for investigation, the OIE Executive Director (or designee) will inform the

complainant in writing of the decision. The complainant may appeal the decision in writing to the Executive Vice President and Provost (or designee) within five (5) working days of receipt of the notification letter.

3. If the internal discrimination complaint is accepted, the accused individual(s) will be provided a copy of the complaint and will be extended five (5) working days to provide a written response to OIE. OIE shall initiate the process to investigate the complaint. This process includes interviewing the complainant, respondent, potential witnesses and the gathering of any related documents.
4. All individuals are required to cooperate with any investigation in response to allegations of discrimination. Refusal to cooperate in an investigation may result in disciplinary action in accordance with university policy or student code of conduct. The completion of the investigation will be within sixty (60) days of initiation unless there are extenuating circumstances. A report of inquiry will be generated by the investigator and forwarded to the Executive Vice President and Provost. Within fifteen (15) days of receipt, the Executive Vice President and Provost (or designee) will review the report and render a decision in writing to the OIE Executive Director. The standard of evidence used for internal discrimination investigations is the "preponderance of the evidence". Preponderance of the evidence means the greater weight of the evidence. The OIE Executive Director (or designee) will transmit the Executive Vice President and Provost's (or designee) decision in writing to the complainant, the accused and appropriate administrators. The completion of the decision transmittal exhausts the internal process available under this policy for employees, students and others or may file complaints.
5. Penalties: Cases for students who are found to have violated the *NMSU Student Code of Conduct* and/or *NMSU Policy Manual* will be referred to Assistant Dean of Students. Cases for employees who are found to have violated *NMSU Policy Manual* will be referred to Human Resource Services/Employee and Management Services. Sanctions for students may include action up to and including expulsion. Sanctions for employees may include employment action up to and including termination in accordance with provisions of the *NMSU Policy Manual*.

#### K. General Information

1. Supervisors: If anyone in a supervisory, managerial, administrative or executive role or position, such as a supervisor, department chair, or director of a unit, receives a complaint of alleged discrimination or sexual harassment, or observes or becomes aware of conduct that may constitute discrimination or sexual harassment, that person must immediately contact OIE.
2. Employees: An employee who believes that he or she has been subjected to discrimination or sexual harassment by anyone is encouraged, but it is not required, particularly if it may be confrontational, to promptly tell the person that the conduct is unwelcome and ask the person to stop the conduct. An employee is not required to do this before filing a complaint. A person who receives such a request must immediately comply with it and must not retaliate against the employee. If the employee feels uncomfortable about discussing the incident with the immediate supervisor, the employee should feel free to bypass the supervisor and file a complaint with OIE.
3. Students: A student who believes that he or she has been subjected to discrimination or sexual harassment by anyone is encouraged, but it is not required particularly if it may be confrontational, to promptly tell the person that the conduct is unwelcome and ask the person to stop the conduct. A student is not required to do this before filing a complaint. A person who receives such a request must immediately comply with it and must not retaliate against the student. If the student feels uncomfortable about discussing the incident with the faculty member, department head, dean or director of an administrative unit, the student should feel free to bypass the person and file a complaint with OIE.

When discriminatory conduct involves a crime of violence or a non-forcible sex offense, FERPA permits NMSU to disclose to the alleged victim the name of the alleged perpetrator, any violation found to have been committed and any sanction imposed).

In the event a student is found to have engaged in sexual harassment of another student, NMSU will disclose to the student who was harassed, information about the sanction imposed on the student when the sanction directly relates to the harassed student.

4. **Internal NMSU Units:** Internal units such as the Dean of Students Office, Housing and Campus Life, Athletics and community colleges will promptly contact and consult with OIE when knowledge is obtained relating to potential discrimination or sexual harassment.
5. **Non-employees and non-students:** Individuals who are neither NMSU employees nor NMSU students and who believe they have been subjected to discrimination or sexual harassment by an NMSU employee during the employee's work hours or by a NMSU student on campus or at a NMSU-sponsored event may utilize the complaint process set forth above.

L. Prompt Attention:

Complaints of discrimination or sexual harassment are taken seriously and will be dealt with promptly, impartially, and equitably. Where discrimination is found to have occurred, NMSU will act to stop the reported conduct, to prevent its recurrence, to remedy its effects, if any, and to discipline those responsible.

M. Confidentiality:

NMSU recognizes that confidentiality is important. However, confidentiality cannot be guaranteed. The administrators, faculty or staff responsible for implementing this policy will respect the privacy of individuals reporting or accused of discrimination or sexual harassment to the extent reasonably possible and will maintain confidentiality to the extent possible. Examples of situations where confidentiality cannot be maintained include, but are not limited to, necessary disclosures during an investigation, circumstances where the NMSU is required by law to disclose information (such as in response to legal process), or when an individual is in harm's way.

To the extent provided by law and university policy, documents concerning a discrimination investigation and investigative results are not subject to public disclosure. Investigative materials and documents contain matters of opinion related to the working relationship between NMSU and its employees. Documents protected by the Family Educational Rights and Privacy Act (FERPA), Privacy Act of 1974, the New Mexico Inspection of Public Records Act, etc. are not subject to disclosure.

N. Supervisor Responsibilities:

1. Every supervisor (includes faculty in academic setting) has responsibility to take reasonable steps to prevent acts of discrimination or sexual harassment, which include, but are not limited to:
  - a. Monitoring the work and school environment for signs that discrimination or harassment may be occurring;
  - b. Refraining from participation in, or encouragement of actions that could be perceived as discrimination or harassment (verbal or otherwise);
  - c. Stopping any observed acts that may be considered discrimination or harassment, and taking appropriate steps to intervene, whether or not the involved individuals are within their line of supervision; and
  - d. Taking immediate action to minimize or eliminate the work and/or school contact among individuals where there has been a complaint of sexual harassment, pending the completion of the investigation.

If a supervisor (or faculty in academic setting) receives a complaint of alleged discrimination

or sexual harassment, or observes or becomes aware of conduct that may constitute discrimination or sexual harassment, the supervisor (or faculty in academic setting) must immediately contact OIE.

Failure to take the above action to prevent the occurrence of or stop known discrimination or harassment may be grounds for disciplinary action in accordance with provisions of the *NMSU Policy Manual*.

O. Relationship to Freedom of Expression:

NMSU is committed to the principles of free inquiry and free expression. Vigorous discussion and debate are fundamental rights and this policy is not intended to stifle teaching methods or freedom of expression. Discrimination or sexual harassment, however, is neither legally protected expression nor the proper exercise of academic freedom; it compromises the integrity of this institution, the tradition of intellectual freedom and the trust placed in the institution by its members.

**3.30 Disability Accommodation** (*See also Policies 3.25 Discrimination, Harassment and Sexual Misconduct on Campus*)

The university is dedicated to providing reasonable accommodation to qualified university employees and applicants for positions in accordance with state and federal laws. Qualified individuals with disabilities are protected from discrimination in hiring, promotion, discharge, pay, job training, fringe benefits, and other aspects of employment. Accessibility to buildings, programs, and services will also be safeguarded to the extent that an undue financial hardship is not imposed on the university. The accommodation process begins when an employee (or applicant) discloses a disability and requests specific accommodation(s). Under normal circumstances, requests for accommodation(s) are considered after the employee completes and processes the Petition for Accommodation Form available at the Office of Institutional Equity/EEO.

**3.31 Distribution of Effort**

There are competing demands on the energies of a faculty member (for instance, research, teaching, committee work, outside consulting). The way in which a faculty member divides effort among these various functions does not raise ethical questions unless the university or government, industrial, or business agency supporting the research is misled in its understanding of the amount of intellectual effort actually devoted to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions performed are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of effort to the government, industrial, or business sponsored research, a demonstrable relationship between the indicated effort of responsibility and the actual extent of involvement is to be expected. Research administering agencies in the university have established simple procedures of accounting which indicate the proportion of the investigator's time spent on sponsored research. Each administering agency will inform the investigator of the procedures developed to assure that proposals are responsibly made and complied with.

**3.40 Drug-Free Workplace** [*Amendment adopted by Administrative Council 07.08.08; ratified by Board of Regents 07.15.08*]

The university is a recipient of federal grants and contracts in excess of \$100,000 and is subject to the provisions of the Drug-Free Workplace Act of 1988, the special Drug-Free Workforce rules promulgated by the Department of Defense, and the Drug Free Schools and Communities Act. The Board of Regents has directed the president to institute and maintain programs that meet the requirements of federal drug and alcohol regulations. These programs are administered through the Office of Human Resource Services.

- A. General Policy Prohibiting Drugs and Alcohol on NMSU Property: *The unlawful possession, use, or distribution of illicit drugs and alcohol on its property or as part of any of its activities is prohibited and a violation of university policy. University property is defined as all lands and building under the control of the Board of Regents. It is a federal requirement and a university policy that, as a condition of employment, an employee will notify the immediate supervisor within 5 days after conviction of a criminal drug offense occurring in the workplace. Supervisors will inform the Office of Human Resource Services, through appropriate channels, of any notifications received.*
- B. Disciplinary Sanctions for Employees: Employees who violate the university's alcohol or drug policies are subject to termination, demotion, or suspension. Additionally, employees may be required to report to the Employee Assistance Program for a clinical assessment and participate in a recommended counseling/rehabilitation program. When returned to work, the employee must comply with all university policies and maintain acceptable job performance or be subject to appropriate disciplinary action.

### **3.50 Firearms**

It is unlawful and against university policy for anyone to carry a firearm on university premises except for: (1) a peace officer; (2) university security personnel; (3) student, instructor or other university - authorized personnel who are engaged in army, navy, marine corps or air force reserve officer training corps programs or a state-authorized hunter safety training program; (4) a person conducting or participating in a university-approved program, class or other activity involving the carrying of a firearm; or (5) a person older than nineteen years of age on university premises in a private automobile or other private means of conveyance, for lawful protection of the person's or another's person or property.

As used in this policy, university premises means: (a) the buildings and grounds of a university, including playing fields and parking areas of a university, in or on which university or university - related activities are conducted; or (b) any other public buildings or grounds, including playing fields and parking areas that are not university property, in or on which university-related and sanctioned activities are performed. Whoever commits unlawful carrying of a firearm on university premises is guilty of a petty misdemeanor and may be subject to disciplinary action as appropriate.

### **3.55 Fires, Fireworks**

This fire prevention policy establishes fire restrictions for the main campus to include the main campus, university-owned lands east of Interstate 25, the Horticulture Farm, the Horse Center, and the Leyendecker Plant Science Farm. The following acts are prohibited unless an appropriate permit has first been obtained through the university fire department: (1) building or using an open fire on university land; and (2) use of all fireworks on university land.

### **3.60 Flags-National, State**

The national flag will be flown at half-staff on the deaths of those prescribed in the National Flag Code or on special request from Washington. (Typically the flags are lowered from the date of a death through the date of funeral services.) The state flag will be flown at half-staff on the occasion of the death of any of the following: regent, past regent, president, past president, vice president, dean, and others as decided by the administration.

### **3.63 Freedom of Expression** (*See also Policies [3.86 Political Activity](#) and [3.92 Sales and Solicitation](#)*)

The university recognizes and promotes an intellectually open campus. The free exchange of ideas through written, spoken, and other forms of expression reflects its public land-grant heritage, support of diverse points of view, and commitment to excellence in education and research.

- A. Campus Use for Free Expression: Any outdoor area that is generally accessible to the public may be used by any individual or group for petitioning, distributing written material, handing out

newspapers, or conducting speech acts. Prior approval is not necessary as long as the primary action is not to advertise or sell a commercial product. Activities must follow all applicable fire codes, local, state, and federal laws. Activities shall not:

1. Unreasonably obstruct vehicular or pedestrian traffic.
2. Block the entrances or exits to buildings and facilities.
3. Permanently occupy land areas or permanently locate signs and posters.
4. Erect permanent structures, shelters or camps.
5. Unreasonably interfere with classes, university work, and scheduled events.

In exercising the right of free expression, an individual must also accept the responsibility of following the laws related to the safety of people and property. If property damage or excessive littering occurs, or other unusual expenses are incurred by the university as a result of the event, event organizers may be held responsible for reasonable charges if deemed appropriate by the president (or designee).

- B. Petitioning and the Distribution and Posting of Literature and Signs: All literature distributed must contain identifying information (either the name of a university sanctioned organization; the name and address, which may be an organization and e-mail address, of the unaffiliated entity or person; or the telephone number of the unaffiliated entity or person) for someone to contact in case of litter problems. Literature may be distributed hand-to-hand, through the use of tables, or by posting on designated bulletin boards and kiosks. Written materials may not be placed in non-approved locations. Written materials may not be placed on any part of a university building or structure without university permission. Posting on traffic signs, power poles, trees, and automobile windshields is not allowed. Tables are allowed as long as the tables do not unreasonably interfere with pedestrian traffic. Materials may not be left on unattended tables. While scheduling of tables is not required in advance, those individuals who have previously scheduled a site through the campus activities office or other appropriate university offices will take precedent.
- C. Group Speech Activities: Group speech activities, including rallies, parades and demonstrations that are advertised through public media including newspapers, radio, television, flyers, or electronic lists may need to be coordinated through the university police department. Any individual, group, or organization sponsoring a group speech activity that is expected to draw more than 100 persons at one time and uses public media for advertising must notify the NMSU Police Department no less than 72 hours in advance of the activity, so that the NMSU Police Department can take appropriate actions to ensure the safety of the event and issue a permit as proof of prior notification. Activities expected to draw 500 or more participants, or require road closures or detours, must be scheduled 2 weeks in advance. Any individual, group, or organization planning a group speech activity is encouraged to contact the campus activities office in advance so that activities may be coordinated with appropriate university offices. This will allow for locations to be reserved or other concerns to be addressed, such as the use of sound amplification equipment. Contacting the Department of Campus Activities is voluntary and does not constitute an approval process. All scheduling is done on a first come, first serve basis. Activities that are scheduled receive priority in the use of space on campus.
- D. Electronic Sound Amplification: The use of electronic sound amplification equipment is authorized in the open lots to the east of the Pan American Center and Aggie Memorial Stadium, the Corbett Center Outdoor Stage, and the Aggie Pond area off Espina Street, from 7:00 a.m. to 7:00 p.m., Sunday through Thursday; and from 7:00 a.m. to midnight on Friday and Saturday. Sound amplification equipment may be allowed at other times and in other locations if coordinated in advance through the Department of Campus Activities.
- D. Use of Chalk: Chalk may be used on campus as long as it is restricted to concrete walkways. All chalk used must be of a temporary or removable nature. Permanent chalk, such as



surveyor's chalk, may not be used under any circumstances.

- F. Policy Enforcement: Any person violating this policy will be subject to:
1. Being asked to cease and desist or to relocate by appropriate university employees acting within the scope of their duties.
  2. Being ordered to leave the premises or property owned or controlled by the university by the police or a person in charge of the property.
  3. Institutional disciplinary proceedings under the *NMSU Student Code of Conduct* if a student. Violations by faculty or staff will be referred to the appropriate department or academic unit.
  4. Arrest for violation of local, state, and federal law(s).
  5. Restriction of future use of, or access to, the university campus.
- G. Reference to Other Policies Impacting Freedom of Expression: In the event that the terms of this policy conflict with other existing policies impacting freedom of expression in areas generally accessible to the public, the terms of this policy shall prevail.

### **3.65 Protection of Sensitive Information** *[New Policy recommended by Administrative Council 09.13.11; approved by Board of Regents 10.10.11]*

Certain information generated by the operations of the various university colleges and other units is sensitive in nature, and requires a heightened level of protection to ensure its confidentiality. Examples of sensitive information included, but are not limited to: classified information, controlled unclassified information, and proprietary information.

- A. Definitions.
1. Classified information refers to information owned by, produced by or for, or is under control of the United States Government specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret; unauthorized disclosure, either by itself or in context with other information, reasonably could be expected to cause damage to national security, including defense against transnational terrorism.
  2. Controlled unclassified information refers to information that loss, misuse, unauthorized access or disclosure, or modification thereof could cause harm to important interests, such as personal or medical privacy to which individuals are entitled under laws, national security, law enforcement, proprietary commercial rights, or the conduct of government agency programs. Controlled unclassified information includes, but not is limited to, information designated by a federal government agency as "For Official Use Only", personally identifiable information generated in research approved by the Institutional Review Board, and information protected by the International Trafficking in Arms Regulations (ITAR), the Export Administration Regulations (EAR), the Family Educational Rights and Privacy Act (FERPA), the Health Insurance Portability and Accountability Act (HIPPA), the Gramm-Leach-Bliley Act (GLBA), and the Red Flags Rule under the Fair and Accurate Credit Transactions Act of 2003.
  3. Proprietary information refers to confidential information shared for the purpose of research or other academic inquiry and that is often protected by agreements not to be disclosed to competing commercial entities or the general public.
- B. Duty to Safeguard Sensitive Information. Units keeping or using sensitive information should develop appropriate procedures for its protection and train faculty, staff, and students whose positions require access to such information. All employees shall comply with applicable laws and regulations, university policy, governing university and/or departmental procedures, and contractual agreements regarding non-disclosure of such information. Related policies include:

- [2.35.1.1.1 Acceptable Use of Information and Communications Technology](#)
- [2.35.1.2.3 NMSU Institutional Data Security](#)
- [2.90.20 Student Educational Records – Compliance with FERPA](#)
- [2.90.30 Protection of Non Public, Personal Information](#)
- [2.91 Identity Theft Protection Program](#)
- [4.65 Security Clearance \(Department of Defense\)](#)
- [5.94 D. Protection of Confidential Information](#)
- [5.94.30 D. Institutional Review Board](#)
- [5.94.40 D. Maintenance of Sponsored Project Records](#)
- [6.93 Embargo of Dissertations or Master’s Theses](#)
- [3.19.20 Principles of Ethical Conduct](#)

### **3.70 Office Hours - Administrative** (See also Policies [5.84 Office Hours](#); [7.10 Holidays \(NMSU Official\)](#); [8.75 Workweek](#))

As a general rule, individual work schedules will conform to the public hours of 8 a.m. to 5 p.m., Monday through Friday. (Some offices close from 12 noon to 1 p.m. for lunch.) Most offices are closed on Saturday and Sunday except on special occasions and as required by the vice provost for distance education and extended learning. However, with approval of the appropriate dean or vice president and the executive vice president and provost, departments may establish alternate work schedules if it is determined they better meet the needs of the clientele and/or better serve the needs of an individual employee without adversely affecting the clientele. Alternate work schedules are to be of a semi-permanent nature (e.g., 1 semester at a time, 1 academic year at a time, etc.). All requests and subsequent approval or denial of alternate work schedules are to be in written form. It is understood that not all jobs are open/available for alternate work schedule consideration.

### **3.75 Non-Work Related Use of University Resources** (See also [2.35 NMSU General ICT Policies](#)) [*Amendment, deleting material superseded by amended Policy 2.35, adopted by Administrative Council 04.14.09; ratified by Board of Regents 07.29.09*][*Amendment (FS Senate Proposition 19-09/10) passed 04.29.10; recommended by Administrative Council 06.08.10; approved by Board of Regents 07.20.10*]

University employees should always be mindful of the resources entrusted to them by the public, government entities, and private donors, including the public’s perception of how the university conducts its business. Employees should strive to conduct themselves consistent with the highest ethical principles, to avoid any action that may be viewed as a violation of the public trust in the use of these resources, and to act responsibly in order to preserve and/or safeguard university resources. These resources include, but are not limited to, employee’s time, facilities, supplies, and equipment, such as telephones, fax machines, and computers. Employees do not have a right or expectation to privacy as it relates to information or data contained on or accessed through university equipment or resources.

The application of the following guidelines for non-work related use will depend upon the particular circumstances surrounding each such use, including factors such as the nature of the use, reasonableness, cost, time, employee needs and work habits etc. Employees should consult with their supervisors in advance if they have any questions about appropriateness of certain practices.

- A. **Guidelines:** The use of the university’s resources and services for non-work related purposes is permitted only in compliance with the following criteria:
1. The cost to the university is negligible.
  2. The use does not interfere with an employee’s obligation to carry out university duties in a timely and effective manner. Time spent engaged in the non-work related use of university resources is not considered to be university work time.
  3. The use does not undermine the use of university resources and services for official purposes, nor violate any university policy or state or federal law.

4. The use neither expresses nor implies sponsorship or endorsement by the university.
5. The use does not involve the viewing, displaying, downloading, printing, procuring, or transmitting of sexually explicit material; nor of any other material that would violate university policy or the law, including but not limited to, those relating to sexual harassment, fraud, hostile workplace, obscenity, libel, defamation, or hate/violent misconduct.
6. Users should be aware that internal or external audit or other needs may require examination of uses of university resources or services and should not expect such uses to be free from inspection.
7. University resources shall not be used in conduct of business or marketing or political activities for non-work related purposes in an inappropriate manner or in violation of NMSU policy and procedures.
8. The NMSU internal mail delivery system shall not be used to deliver non-work related material. University accounts shall not be charged for mailing personal and non-university business material.
9. NMSU vehicles shall not be used for personal or non-university business purposes. *See also Policies [9.33 Vehicle Assignments](#); [9.34 Fleet Asset Management Program](#); and the [Vehicle Use Procedures](#).*

### **3.82 Picnics**

Group picnicking is allowed if scheduled through Conference Services.

### **3.86 Political Activity** (*See also Policies [3.63 Freedom of Expression](#) and [3.92 Sales and Solicitation](#)*)

Campaign activities for candidates for public office or for ballot issues to be presented in local, state, and national elections may be permitted on the university campus when conducted by candidates or their representatives. These activities are subject to the freedom of expression policy. In addition to the locations covered by the freedom of expression policy, Corbett Center (lower lobby information table areas and meeting rooms and spaces) may be used for political activity subject to the rules, regulations, and fees applying to those sites. The responsible authority for the enforcement of this policy shall be the vice president for student affairs and enrollment management (or designee), whose decision shall be final.

### **3.90 Religious Denominations**

Various religious denominations, representing many faiths and doctrines, are engaged in campus ministries and other religious activities near the university. The Board of Regents and the university are completely impartial and give no preference to any religious denomination or organization, and no religious denomination or organization is an official part of the university and has no right, by using the name New Mexico State University, or by using a reproduction of the Seal of New Mexico State university, or by any other means, to give the impression that it is an official part of the university or that its activities are an official part of the program or curriculum of the university. Although not an official part of the university the Interfaith Council (IC) is a coalition of over 14 religious groups ministering to the spiritual needs of the students, faculty, and staff. Collectively and individually they provide fellowship, recreation, worship, service projects, retreats, conferences, and speakers for student groups.

### **3.92 Sales and Solicitation** (*See also Policies [3.63 Freedom of Expression](#) and [3.86 Political Activity](#)*)

It is the intent of the university to assure that permitted activities occur with the full knowledge and approval of designated university officials in a manner which is applied equally to all eligible parties. Toward this end, the sales and solicitation policy will be administered through the vice president for student affairs and enrollment management, with delegation for its enforcement to the director of

campus activities. Copies of the policy may be obtained through the Department of Campus Activities. In the event that the terms of this policy conflict with other existing policies impacting freedom of expression in areas generally accessible to the public, the terms of the other existing policies shall prevail.

A. Definitions:

1. **Activity Request Form:** A form used by the Department of Campus Activities to sanction and plan for special academic and nonacademic events on campus requiring approval by designated campus authorities having involvement with or supervision over the event.
2. **Fund-Raiser:** Any activity which has as its goal financial gain for a cause or an activity to include the solicitation of contributions or the sale of a product of service conducted by university departments, agencies, or student organizations.
3. **Off-Campus, For-Profit Organizations:** Organizations that have, as their central purpose, the generating of a profit for their owners, partners, or stockholders.
4. **Off-Campus, Nonprofit Organizations:** Public, governmental, and charitable organizations that, while not part of the university, may be permitted in some instances to utilize university facilities or services because of their nonprofit status.
5. **Personal Gain:** An activity which is intended to benefit an individual financially.
6. **Solicitation:** The act of selling or encouraging the purchase of a product either directly or indirectly.
7. **Student Organizations:** Organizations (recognized by the Department of Campus Activities) whose membership is registered students who meet with the intention of accomplishing specific goals or interests of the members as stated in their by-laws (Hospitality and Tourism Student Association, Hispanic Business Student Association).
8. **University-Affiliate Organizations:** Organizations which are recognized by the university to support its efforts and promote its welfare while operating outside its regular reporting structure (Aggie Athletics Fund, Faculty Women's Club, ASTC, The Symphony Guild).
9. **University Department:** An operating unit of the university which is supported by university funds and reports through the university structure (Electrical and Computer Engineering Department, English Department, Facilities).

B. Sanctions: Failure to adhere to the sales and solicitation or general fund raising policy may result in sanctions such as withdrawal of solicitation privileges for the offending individual or organization, removal of the right to conduct future activities on campus, loss of recognition, and/or any other penalties which may apply under university policies or state or federal laws.

C. On-campus Sales and Solicitation by university Departments, Staff, Faculty, Students, and Student Organizations: All sales (except those covered by university contracts or accomplished through the Ticket Office) and/or solicitations on campus by recognized university departments, staff, faculty, and student organizations for the purpose of selling merchandise or services, or obtaining contributions, are subject to prior approval and authorization. The request for approval shall be signed by an appropriate representative of the group or its supervisor and the cognizant university officials. Such sales and solicitations shall be in accordance with regulations and policies governing the facilities where the activity will be held and shall be within the general policies of the university contained herein. All funds collected shall be exclusively used to fulfill the purpose of the group earning the funds. Groups utilizing university accounts shall make weekly deposits. (The department head or organization president shall keep appropriate documentation on file should an audit be found necessary, and such documentation shall be made available upon a request from a cognizant university official.) University departments will also be governed by university rules and regulations and State of New Mexico Purchasing and Property Disposal

Policies and Statues. Affiliated organizations are not considered university organizations for the purpose of this policy and are not extended privileges for on-campus sales under this section.

1. **Sale of Products:** Sale of products, merchandise, or services normally will not be permitted on campus when in direct competition with an existing university or agency provider, such as the university Bookstore, which either provides or has the jurisdiction to provide the same or similar goods or services. This section shall also apply when the requested activity is in competition with services provided by a business holding a contract with the university to provide goods and services such as for food or vending.
2. **Personal Financial Gain:** Sales and solicitations by individuals or organizations on university property which result in personal financial gain are expressly prohibited except as noted in this policy. However, reimbursement for legitimate, direct expenses incurred by organizations or their members for an event are not considered personal financial gain for the purpose of this policy.
3. **Door-to-Door Solicitation:** No door-to-door solicitation of any kind shall be permitted by individuals or organizations in university facilities to include residential units. Solicitations may, however, be permitted at approved solicitation sites at various university facilities in accordance with the policies governing those facilities. This section does not preclude the conduct of official university business requiring contact at an individual's residence.
4. **Electronic Media Solicitation:** The university's resources are provided for official university business and may not be used for personal gain by faculty, staff, or students. These resources shall include the university's World Wide Web site and its attached materials, the electronic e-mail system (including Hotline and ABCD), and facsimile equipment. Use of public address systems, message boards, and/or the electronic message display sign in advertising/promoting an event is permitted with proper authorization.
5. **Manner of Solicitation:** Approved solicitations shall be carried out in a manner which does not:
  - a. Unreasonably obstruct vehicular or pedestrian traffic.
  - b. Block the entrances or exists to building and facilities.
  - c. Erect permanent structure, shelters, or camps.
  - d. Unreasonably interfere with classes, university work, and scheduled events.
6. **Distribution of Printed Materials:** Solicitations via distribution of printed materials shall be conducted consistent with the following regulations as well as other policies governing university facilities.
  - a. Student organizations and employees may distribute printed materials on campus as provided in the freedom of expression policy.
  - b. Printed material may be posted only on interior campus bulletin boards designated for that purpose or in locations designated for that use by the Department of Campus Activities or as designated by the deans or vice presidents in buildings under their control. Approval shall be sought from building monitors in each area prior to posting. A list of building monitors is available through the Office of the Assistant Vice President for Facilities and Services.
  - c. Materials may not be attached to walls, doors, window glass, floors, or any other parts of university buildings or structures, traffic signs, mailboxes, power or light poles, sidewalks, artistic displays, university signs or trees.
  - d. Printed materials may not be placed on automobiles under any circumstance.
  - e. The sponsoring group is responsible for timely removal and appropriate disposal of the material at the end of its usefulness or 30 days after posting, whichever comes first.
  - f. Printed materials to be posted shall be affixed in designated locations in a manner appropriate to the display space (tacks and pins for bulletin boards and masking tape for non-tackable surfaces). Nails, transparent tape, etc., which leave a residue or which damage surfaces, shall not be used, and the group or individual will be held accountable

for any damage.

7. **Commercial Sponsorship:** Commercial sponsorship of university -organized events is permitted in certain circumstances when prior approval is secured in a manner noted below. If an event advertisement references a sponsor, it shall feature minimal display of the sponsor's name and, in no case, will the sponsor's name be bigger than that of the event or the organization's name. The sponsor shall provide a sample of the identification to be used. Large banners or posters featuring the sponsor's name are not acceptable.
8. **Sale of Personal Items/Services:** Individual students, faculty, and staff are permitted to advertise the sale of personal items or services (*e.g.*, books, tutoring, typing, babysitting, automobiles, stereo equipment, computers, etc.) only at approved, designated locations and subject to the following:
  - a. Individuals may not advertise as commercial distributors of products or services (*e.g.*, Avon, Tupperware, credit cards, magazines, review courses, etc.).
  - b. Approved locations for posting personal material can be obtained from building monitors, directors of various facilities, or from the director of campus activities.
  - c. Individuals in campus residences may advertise and conduct certain businesses in their residences (*e.g.*, child care, résumé typing, etc.) when that business is appropriate to the residence area, has been registered with the Department of Housing and Dining Services, and is not related to a commercial vendor.
  - d. Yard sales in student family housing may be conducted at individual units provided that Housing and Residential Life is notified in advance. Instruction in the proper methods of conducting sales and assistance in the advertisement of these sales is provided by Housing and Residential Life. Housing and Residential Life reserves the right to limit the number or duration of yard sales should they become disruptive to the neighborhood, excessive in nature, or if it is determined that the sales are being organized for commercial purposes. Yard sales in conjunction with other chartered groups/organizations are permissible upon approval of an Activity Request Form.

*(Note: Personal advertising of items for sale in university publications or media such as the student newspaper or the student radio station is allowed.)*

9. **Requests for Permission to Solicit:** Requests to conduct on-campus sales/solicitations or off-campus fund-raising events/activities by student organizations shall be initiated at the Department of Campus Activities by completion of an Activity Request Form. Requests to conduct on-campus sales and solicitations by university departments and/or university employees shall be submitted to the vice president for student affairs and enrollment management (or designee) in memo form, and shall include project purpose, dates, times, specific activities, and solicitation methods. Requests to conduct off-campus projects by student organizations, university departments/employees shall be submitted in the appropriate format to the Office of the Vice President for Student Affairs and Enrollment Management and shall include project purpose, dates, times, budget, methods of solicitation, and names of solicitor(s). (*See General Fund Raising Policy*) Requests to conduct university events having commercial sponsorship shall be submitted to the director of campus activities and shall include the purpose of the event, dates, times, specific activities, and solicitation methods.
10. **Sales by University Employees:** University policy prohibits the sale of goods and services by employees to the university, or the purchase of same by the university from employees. Requests for an exception to this policy must be initiated through the director of purchasing. (*See also Chapter 3 Codes of Conduct - Conflict of Interest and Policy 4.50 Outside Employment and/or Activities*) university employees desiring permission to use the university's name, reputation, facilities, programs, etc., for the purpose of accruing personal financial gain shall obtain prior written approval from the director of purchasing. Existing academic or human resources policies governing such activities shall take precedence over this policy (*e.g.*, consulting, personal appearances, or authorship for any pay in media areas of TV, radio, or print media, implying university product or service endorsement, etc.).

D. Sales/Solicitation Policy for Non-university Organizations and Individuals:

1. Commercial advertising, promotion and/or solicitation are not permitted on the campus except in the following instances:
  - a. Media advertising/solicitation utilizing campus media outlets, including the *Round Up*, KRUX, campus television, and university publications, etc., is permitted when done in accordance with any policies governing these media and when such advertising is presented in that media's primary format.
  - b. The university's electronic media may not be used for commercial solicitation. These media shall include (but are not limited to) the World Wide Web site and its attached materials, electronic mail (e-mail) system, and facsimile equipment.
  - c. Physical properties donated or provided by commercial interests may display the name, identifying symbol, or features of the donor or provider, when such displays are consistent with the campus planning regulations and are judged by the executive vice president and provost and the president to benefit the university.
  - d. Use of a public address system, message boards, and/or the electronic message display sign in advertising/promoting an event is permitted when authorized by the vice president for student affairs and enrollment management (or designee).
  - e. Distribution of printed commercial advertising materials or similar advertising on the university grounds or in facilities during an event is permitted when the university sponsor or host of the event has received prior written approval for such an activity from the key administrator of the building used and the cognizant vice president or president.
  - f. In-person solicitation on campus is permitted when a solicitor receives a personal invitation from an individual to meet on a private basis. Individuals (students or employees) may not extend invitations to solicitors to meet with a group of individuals for the purpose of soliciting without prior written approval. Requests for approval shall be in writing to the director of campus activities, and must follow the activity request process.
  - g. In-person solicitation to individuals or select groups of employees by representatives of commercial organizations is permitted when directly related to the official business of the university and its departments (e.g., trade fairs or scientific equipment vendors). Such solicitation shall be approved by the cognizant department head, dean, and/or vice president.
  - h. Public sales and solicitation of products on university property by non-university vendors may be permitted under limited conditions on a private basis when the vendor is sponsored by a recognized campus organization or a university department; such activity will be directly related to the purposes and goals of the university and pertinent to the sponsoring group (e.g., fraternity and athletic club photographers, etc.) In all such cases, prior written approval must be obtained from the director of campus activities.
2. Distribution of Informational Material: Non-university, nonprofit, or noncommercial organizations or individuals are permitted to display informational material within campus buildings upon approval of the cognizant building monitor or building director. This approval shall be subject to the specific policies governing the operation of the particular facility, or group of facilities, and other university policies. Such organizations are not permitted to conduct in-person distribution of materials (handouts) or in-person direct contact with students unless prior approval is received from the director of campus activities (e.g., distribution of Bibles, etc.). Activities by affiliate organizations shall be conducted in compliance with all the regulations contained herein for sales and solicitation, and shall be reviewed and approved by the university department to which each is affiliated. These regulations exist to support the organizations and to supplement the efforts of the university (i.e., Aggie Athletics Fund/Athletics Department, Library Associates/Libraries). Distribution or presentation of informational materials in a university facility hosting a particular event (to which the material is directed) may require approval from the event sponsor in addition to that of the cognizant vice president (or designee). Direct public solicitation of gifts and/or donations on campus is prohibited except in instances involving approved and scheduled private, organized group activities (i.e., fund-raising banquets, meetings, gatherings with the sole intent of fund raising, and/or political campaign activities). (See Policy 3.86 Political

Activity)

3. Food Service Policy for Sales/Solicitations/Acquisition: The university food service contractors are granted the right to operate/conduct food services on the university campus. Clarification of this right is necessary, however, in view of the many activities conducted on the campus which involve food products, and which may or may not conflict with contractual obligations of the university to the contractors. The following food service policy outlines the conditions under which student, staff or faculty activities may involve food and beverage services:
  - a. Student groups and university departments must seek and receive approval for any food events not catered by the university food service providers by completing an Activity Request Form from the Department of Campus Activities.
  - b. No off-campus firm or agency may be contracted to provide or to cater food service to university students, staff, administrative groups, conferences, or visitors in Corbett Center Student Union or other locations on university property where the primary university food services contractor is providing food services.
  - c. Non-university vendors providing services in approved locations on campus other than athletic facilities must be pre-certified by the director of housing and dining services and rebate to the Office of Housing and Dining Services a commission of seven percent of all sales applicable to the campus event.
  - d. Student groups and university units or offices may secure prepared food products from off-campus sources to serve on the campus when all of the following conditions are met:
    - i. The products are served exclusively to the members and guests of the sponsoring organization at private gatherings, such as club meetings.
    - ii. The products are served or sold in a manner or under conditions that are not construed to be in competition with the university food contractors. (The sale is construed to be in competition when the seller is soliciting the same consumer prospects as those sought or being serviced by the university food contractors and offering products similar to those provided by the contractors.)
    - iii. If food is prepared in the homes of participants and is served pot luck, it shall be only for the participants and their personal guests and constitute a private gathering where the general public is not invited.
  - e. Individuals on campus may secure food from those off-campus vendors who provide delivery service (e.g., pizza or other campus delivery products) when done on an individual order basis. Any other delivery policies for individual buildings or facilities shall apply (e.g., a residence hall's policy).
  - f. Given health, safety, and liability concerns, raw food may not be secured for preparation and distribution on campus unless approval is obtained in writing from the director of campus activities and from the Public Health Division (per following paragraph):

*Organizations granted approval for a public event where the preparation, sale, or distribution of food products is conducted must apply for and receive a State of New Mexico Food Purveyors License. The license must be obtained from the Public Health Division of the State Health Department, Office of Health Facilities Licensing, 1170 North Solano Drive, Las Cruces, New Mexico, in accordance with the New Mexico Food Service Sanitation Act, Chapter 309, Laws of 1977. A copy of the license must accompany the Activity Request Form or other request for conducting the event. Failure to secure the license constitutes automatic disapproval of the request.*

- D. General Fund-Raising Policy for Student Organizations, University Departments, and Other Affiliated Groups: Raising funds from private sources is an important means of supplementing the various programs in teaching, research, extra-curricular, and service activities. The university recognizes and encourages the efforts of campus groups in this regard, but also recognizes the necessity to establish guidelines which aid in coordinating



these activities to avoid conflicts, duplication, violation of laws or regulations, or activities which reflect negatively on the university. This policy applies to fund-raising/solicitation of individuals and business firms by student organizations, departments, and agencies of the university as well as other groups which are affiliates of the university. It does not pertain to proposals for research support addressed to government agencies supporting research that are covered by existing university policies and procedures.

1. Proposals for fund-raising activities from university departments, agencies, academic classes and other affiliated groups must be submitted in writing to the Office of the Vice President for University Advancement no less than 2 weeks prior to the activity. Proposals shall include the purpose, budget plan, amount sought, prospective donor or donors, and a time schedule for the activity.
2. Fund-raising activity proposals from recognized student organizations will be initiated with the director of campus activities by completing an Activity Request Form.
3. Approved fund-raising activities are to be coordinated through the Office of the Vice President for University Advancement or the Department of Campus Activities in a manner appropriate to each activity/project and in accordance with policy guidelines stated herein.
4. Organizations incorporated outside the university which raise funds for a university department, agency, or unit are requested to confer with the vice president for university Advancement before commencing to fund-raise.
5. Approved activities must comply with all university, city, state, and federal laws, ordinances, and regulations, including taxation; and it shall be the responsibility of the activity sponsor to become aware of applicable requirements.
6. Internal operating policies related to fund-raising events in specific facilities shall have jurisdiction when an event is held in these facilities (*e.g.*, residence halls, Corbett Center, Pan American Center).
7. No member of the sponsoring organization or participant in the activity shall receive personal financial gain from it. Reimbursement of planned, bona fide expenses of the activity (labor or materials), however, shall not be considered as personal gain. In no case shall an employee receive payment for personal services (labor) unless prior written approval is obtained from the executive vice president and provost.
8. All funds raised through an activity and deposited in NMSU Foundation, Inc. accounts shall be administered in accordance with policies and procedures of the NMSU Foundation.
9. Fund-raising at university events is not permitted unless specific approval is sought and granted through the director of campus activities in consultation with the vice president for university advancement.
10. On- campus fund-raising involving the sale of merchandise or services must receive the prior approval of the director of campus activities in order to avoid contractual, operational, or jurisdictional conflicts.
11. Expectations: It is expected that all fund-raising events held on or off campus will be conducted in a manner which reflects positively on the sponsor and the university. While it is recognized that the type of activities will vary greatly, event sponsors are urged to avoid telephone solicitation, door-to-door sales or solicitations, and direct collections at civic or service organization meetings off campus. These methods are often over-used and may be counterproductive. Caution is also advised in the repetitious solicitation of businesses or prominent citizens for the same reason. (*See Policy [2.70 United Way](#) for exception.*)

### 3.98 **Smoking Policy** *[Amendments adopted by Administrative Council 05.09.06; ratified by Board of Regents 09.08.06]*

- A. General: Accumulating evidence has shown environmental or second hand tobacco smoke increases the risk of cancer and other health hazards for non-smokers as well as smokers. New Mexico State University has a vital interest in maintaining a healthy and safe environment for its students, faculty, staff and visitors while respecting individual choice. Consistent with these concerns and the New Mexico Clean Indoor Air Act, NMSA 1978, § 24-16-1 through 11, the following policy has been established to restrict smoking of tobacco, or any other weed or plant, and provide procedures for accommodating the preferences of both smokers and nonsmokers.

Smoking of tobacco products is prohibited in all buildings (exceptions below) owned or leased by the university as well as within 25 feet of entrance or exit, vehicles, and during some organized outdoor events on university property.

- B. Smoke Free Areas: Smoking is prohibited in or at:
1. All enclosed buildings and facilities including classrooms, offices, food service venues, lavatories, and most residence halls ( in accordance with Housing and Residential Life policies);
  2. within 25 feet of building entrances and exits (when reasonable) and fresh air intake grills unless it is a specially designated smoking area;
  3. partially or fully enclosed walkways, corridors, elevators;
  4. vehicles owned, leased or rented by the university ;
  5. within 50 feet of any area where flammable materials are handled or stored, or where other significant fire hazard may exist; and/or
  6. indoor athletic or other university-sponsored or designated events.

No Smoking signs or the international no smoking symbol will be posted at major entrances of all university buildings except for those campus residences where smoking is permitted.

- C. Smoking Permitted Areas: Smoking is permitted outdoors on university property except during organized events which have been designated as “No Smoking”. Individuals choosing to smoke outdoors must be 25 feet from doorways, open windows, enclosed walkways, and ventilation systems to prevent smoke from entering enclosed buildings and facilities, and to prevent public access from being denied to an individual with a respiratory medical condition.

In accordance with Housing and Residential Life policies, smoking is permitted in those units which constitute private residences; when everyone in the shared residence is a smoker or at the discretion of each family housing unit.

Fraternities and sororities will work toward an agreement, consistent with university policy during the 2006-07 school years.

- D. Education and Services for Smokers: In light of numerous adverse health effects associated with active smoking, and with exposure to second hand smoke, the university will provide educational services to faculty, staff, and students about the hazards of smoking and information and services on quitting smoking. In addition to consulting with their own health care providers, students, faculty, and staff may get assistance from the following university programs.
1. Students may contact the NMSU Student Health Center for information and programs on quitting smoking.
  2. Faculty and staff may obtain assistance in smoking cessation through the Employee Health

Center.

- E. **Cooperation and Compliance:** This policy relies on the mutual courtesy and cooperation of smokers and nonsmokers for its success. It is the responsibility of all members of the NMSU community to observe the provisions of this policy on smoking. Complaints or concerns or disputes regarding its implementation should be referred to the immediate supervisor for resolution. The Office of Environmental Health & Safety will assist in determining what distance or location is reasonable for the particular situation. If a resolution cannot be reached, the matter will be referred by the supervisor to the appropriate department head, director, dean, vice president for mediation. Managers, department heads and unit directors are responsible for seeing that persons in their areas are informed and comply with this smoking policy. Those having difficulty complying with these restrictions are encouraged to seek assistance from the resources listed in Section D. Students, faculty, and staff violating this policy are subject to disciplinary action. Any person who commits an unlawful act under any of the provisions of the New Mexico “Clean Indoor Air Act” shall be fined in an amount not less than ten dollars or more than twenty-five dollars for each violation.
- F. **Disposal of Tobacco Waste:** Anyone who chooses to smoke or use smokeless tobacco on campus must discard the waste in an appropriate manner.

### 3.99

#### **Prohibition of Hazing and Hostile Misconduct** *[New policy adopted by Administrative Council 10.14.08; ratified by Board of Regents 07.29.09] [Amendment recommended by Administrative Council 03.09.11; approved by Board of Regents 03.14.11]*

- A. **Policy Overview:** New Mexico State University promotes a safe environment where students, faculty, staff and visitors may reside on campus, participate in university sponsored activities and be members of organizations recognized by NMSU without compromising health, safety, or wellness. It is therefore the University’s policy to prohibit any act or omission which constitutes hazing, bullying or other hostile misconduct, as well as retaliation against persons who report misconduct pursuant to this policy. In the event an allegation of hazing, bullying, hostile misconduct or retaliation is substantiated after objective investigation, appropriate corrective or disciplinary action will be taken to ensure that the offensive behavior does not recur.
- B. **Definitions:**
1. **Bullying.** “Bullying” is an act or omission that intimidates or mistreats a person, typically a person perceived to be weak or vulnerable.
  2. **Hazing.** “Hazing” is an act committed by one or more individuals, on or off campus, where the following apply:
    - a. The act was committed in connection with student or employee status or in connection with an initiation into, an affiliation with, or the maintenance of membership in, any organization. For the purpose of this policy, “organization” means an intercollegiate or intramural athletic team; chartered student organization; or other association, order, society, corps, cooperative, club, department, unit, division or similar group that is officially affiliated with the university and whose membership consists primarily of enrolled students or employees of the university; and
    - b. The act creates unreasonable risk of emotional or physical harm, or causes actual physical harm, mental duress or degradation, or interferes with a person’s academic endeavors or progress, or work environment.
  3. **Hostile Misconduct.** “Hostile Misconduct” is an act or failure to act, which is sufficiently severe, pervasive or persistent so as to interfere with or limit a person’s ability to participate in academic opportunities or activities, or to work productively in the workplace. The hostile misconduct prohibited by this policy need not be based on any protected class, which is similarly prohibited by the university’s anti-discrimination policies.
  4. **Retaliation.** “Retaliation” for purposes of this policy is retribution in any form against a

person who has in good faith: (a) opposed the misconduct prohibited by this policy; (b) filed a complaint of hazing, bullying or other hostile misconduct with their supervisor, the Office of Human Resource Services department or other appropriate office with jurisdiction; (c) assisted with or participated in an investigation, proceeding or hearing related to enforcement of this policy. Retaliation in and of itself, if substantiated by investigation, will result in disciplinary action, up to and including termination.

- C. Discriminatory Misconduct/Report to OIE: An act of hazing, bullying or other hostile misconduct may also constitute illegal discrimination if it is based upon age, ancestry, color, mental or physical disability, gender, genetics, serious medical condition, national origin, race, religion, sexual orientation, gender identity, spousal affiliation, or veteran status. In this event, it shall be reported to the Office of Institutional Equity for action under the university's anti-discrimination policies, which also prohibit retaliation.
- D. Hate Crimes/Report to NMSU Police: An act of hazing, bullying or other hostility may also constitute a hate crime under the laws of New Mexico, and shall be reported to the NMSU Police Department for potential criminal investigation and prosecution.
- E. Acquiescence Not a Defense: It is a violation of this policy even if the recipient of the misconduct consented to or acquiesced in the hazing, bullying or other hostile act or omission.
- F. Examples: Examples of hazing, bullying and other hostile misconduct may include, and are not limited to:
  - 1. Verbal acts and name calling; graphic and written statements, which may include the use of cell phones or the internet;
  - 2. Threats of, or actual harm or humiliation;
  - 3. Physical abuse, such as whipping, beating, branding, pushing, shoving, or tackling, use of physical restraints, etc;
  - 4. Forced physical activity, such as consumption of food, liquor or drugs, or sleep deprivation;
  - 5. Theft and/or destruction of property under any circumstance;
  - 6. Yelling, screaming, or calling members (prospective or actual) demeaning names, or restricting normal routine social interaction;
  - 7. Engaging in behavior that a reasonable, similarly situated, person would consider humiliating and or degrading to others;
  - 8. Forcing, requiring or endorsing new members to violate university policies, organization/association bylaws, team rules and/or any local, state, or federal law.
- G. Exclusions: This policy is not intended to prohibit the following conduct:
  - 1. Customary public athletic events, contests or competitions as sponsored by the University;
  - 2. Activity or conduct that furthers the goals of NMSU educational curriculum, extracurricular program, military training program, or other official university function or program.
- H. Duty to Report: Prevention of hazing, bullying, hostile misconduct and retaliation is the responsibility of every member of the university community. Each organization, association, athletic team, department, unit, division, as well as each individual, has the obligation to report incidents that are believed to be associated with hazing, bullying, hostile misconduct, or retaliation, to the Office of Student Judicial Services, the Office of Institutional Equity, the NMSU Police Department, or other university supervisor or official independent from the offensive conduct.

- I. **Prompt Investigation and Corrective Action:** All alleged incidents of hazing, bullying and other non-discriminatory hostile misconduct or retaliation addressed by this policy will be taken seriously, shall be investigated and when warranted, corrective or disciplinary action will be taken.
1. An objective, confidential investigation will be conducted by the supervisor, in consultation with the Office of Human Resource Services, into each complaint received.
  2. The actions or omissions subject of a complaint and substantiated by investigation will be assessed based on the totality of the circumstances, and will involve making a determination whether the alleged hostile misconduct was sufficiently severe, pervasive or persistent such that a similarly situated reasonable person would be significantly and adversely impacted in his or her ability to benefit from the educational or work opportunities provided by the institution.
  3. Substantiated violations will result in administrative, civil and/or criminal sanctions to the offending employee, student or student organization.
  4. One or more of the following offices or processes may be involved in affording relief to the person who has experienced the hazing, bullying, hostile misconduct or retaliation: the Employee Assistance Program, Counseling Center, Employee Health Services, Student Health Center, the Office of Student Judicial Services, the administrative review process of the Department of Campus Activities, the Social Misconduct Review Board of the Department of Athletics, the Office of Housing and Residential Life, the appropriate supervisor in coordination with the Office of Human Resource Services in accordance with the applicable NMSU grievance and /or disciplinary process, as well as through the appropriate local, state, and/or federal law enforcement agencies.

**3.100 Protocols in the Event of a Missing Residential Student** *[New policy recommended by Administrative Council 05.03.11; approved by Board of Regents 06.23.11]*

- A. **Purpose:** To maximize the use of all available university resources and information, in order to facilitate and expedite the search for a residential student reported or suspected to be missing; to provide policy and procedures, in compliance with the federal Clery Act, as amended by the Higher Education Opportunity Act of 2008.
- B. **Scope:** This policy applies within the NMSU System.
- C. **Policy Administrators:** This policy is administered by the Office of Housing and Residential Life and the NMSU Police Department.
- D. **Definitions:**
  1. “Residential Student”: For purposes of this policy, a residential student is one who resides in on-campus housing, under a housing contract, and is currently enrolled at the University.
  2. “Missing Resident Student”: A missing residential student means a residential student whose whereabouts are unknown to the Office of Housing and Residential Life, roommate or immediate family member and the circumstances of whose absence indicate that:
    - a. The student did not voluntarily leave the housing unit, residence hall or campus (excludes involuntary escort by law enforcement); or
    - b. The student voluntarily left the housing unit, residence hall or campus, but indicated an intent not to return. (For example, belongings are missing or student made comment indicating intent to harm self.)
- E. **Policy:** It is the policy of the university to coordinate the resources available from various campus offices in order to expedite the location of any resident student suspected or reported to be missing, consistent with the notification and reporting requirements of the federal Clery Act and corresponding regulations.

1. Upon entering into the housing contract, or as part of the housing check in process, the resident student, or parent or guardian if student is a minor, shall sign an acknowledgment of receipt of this policy.
2. Upon entering into the housing contract, or at the time of the housing check in process, the residential student shall be given the opportunity to confidentially identify one or more “missing person contact”, whom the campus will attempt to contact immediately, and in no case later than 24 hours after the student is deemed missing. The confidential missing person contact may be a person other than the next of kin Emergency Contacts provided via *MyNMSU* pursuant to Policy [2.35.1.1.8 Emergency Notification](#) for general emergencies. The student, or guardian if the student is a minor, is responsible for ensuring that the all emergency notification contact information, including any distinct missing person contact, is up-to-date and accurate.
3. The Office of Housing and Residential Life will collect and maintain the confidential missing person contact information, which may be shared with others in furtherance of a missing person investigation. The information may be stored electronically in a manner that integrates the “missing person contact” with campus records system(s), to facilitate mutual access by staff of student affairs, housing and university police.
4. If the Office of Housing and Residential Life or the NMSU Police Department deems any residential student to be missing, university administration shall be notified as soon as possible under the circumstances.
5. If a residential student under 18 years of age and not emancipated is deemed missing, the NMSU police chief or designee shall notify the confidential missing person contact and the custodial parent or guardian not later than 24 hours after the time that the student was deemed missing.
6. This policy and accompanying procedures are not intended to limit or prohibit law enforcement personnel from contacting anyone they may deem necessary as part of their missing person investigation.

F. Procedures:

1. Any student, staff or faculty member or other person who receives a report that a residential student may be missing, or has a reasonable suspicion based on personal knowledge of the student’s schedule and habits to conclude that the person has involuntarily disappeared, shall immediately notify either the Office of Housing and Residential Life or the NMSU Police Department. The report should not be delayed in the hope the person will return. There is no requirement to wait 24 hours to report that someone is suspected to be missing, and in fact, such a delay can be detrimental to search efforts.
2. The office or department receiving a report of a suspected missing resident student shall notify the other in order to clarify and expedite the assignment of responsibilities. The office or department receiving such a report shall notify the Office of the Dean of Students, and keep that office informed about the status.
3. All students and employees shall cooperate with preliminary inquiries by the Office of Housing and Residential Life or other NMSU department personnel, as well as with law enforcement personnel, should a criminal investigation become necessary. A failure to cooperate may result in disciplinary action, as may be appropriate, based on the circumstances, including any adverse impact caused by the lack of cooperation. A failure to cooperate with law enforcement personnel may also result in criminal charges as appropriate.
4. NMSU housing staff will conduct preliminary inquiries, in accordance with the departmental protocol that the Office of Housing and Residential Life has promulgated for such incidents. (See [Housing and Residential Life](#)). During the preliminary inquiry stage, Housing staff may utilize available university resources and information, including but not limited to the Offices

of the Registrar, the Dean of Students, Parking and Transportation, to facilitate and expedite verification of the student's whereabouts. If housing personnel are not able to speak with the student or to otherwise verify the student's whereabouts within 3 hours from the first report or suspicion that the student might be missing, the matter will be reported to the NMSU Police Department for a formal missing person investigation.

5. Consistent with applicable New Mexico law, the NMSU Police shall conduct a missing person investigation, and if necessary, shall be given access to university resources and information, including but not limited to the Offices of the Registrar, Dean of Students, Parking and Transportation, Housing and Residential Life.

## Chapter 4

### Human Resources - General Policies

- 4.05 Appeals/Grievances
  - 4.05.11 Appeals/Grievances - Non-Discrimination-Based Staff, Applicable to all Regular Non-Probation Employees
  - 4.05.20 Appeals - Consulting
  - 4.05.30 Appeals - Disability Accommodation
  - 4.05.50 Faculty Grievance Review and Resolution (Faculty Grievance Review Board established to replace Salary Increase/Performance Evaluation and Faculty Grievance Review Boards, to hear grievances raised by faculty)
  - 4.05.60 Appeals - Intellectual Property
  - 4.05.70 Appeals - Layoff /Financial Exigency
  - 4.05.80 Appeals - Sick Leave Bank
  - 4.05.90 Appeals - Student
- 4.10 Children, Employment of
- 4.25 Due Process
- 4.26 Employee Separation Policy
- 4.30 Hiring
  - 4.30.05 Employment Background Review Policy
  - 4.30.10 Hiring - Definitions
  - 4.30.20 Hiring of Individuals Named in a Contract
  - 4.30.30 Ineligibility for Rehire [*Former Policy 8.40.1*]
- 4.40 Layoff/Financial Exigency
- 4.50 Outside Employment and/or Activities
- 4.60 Public Affairs Participation
- 4.65 Security Clearance (Department of Defense)
- 4.70 Supplemental Employment/Compensation



## CHAPTER 4- HUMAN RESOURCES-GENERAL POLICIES

### 4.05 Appeals/Grievances *(See Policy [4.25 Due Process](#))*

New Mexico State University is dedicated to providing equal employment opportunities in all areas of occupation without regard to age, ancestry, color, mental or physical disability, gender, gender identity, serious medical condition, national origin, race, religion, sexual orientation, spousal affiliation or veteran status, according to state and federal laws. This dedication extends to recruiting and hiring, promotion and other human resources actions such as compensation, benefits, transfers, layoffs, termination, training, education, tuition assistance, social and recreational programs. NMSU's comprehensive affirmative action program supports this effort. A listing of applicable state and federal laws includes the following:

- Age Discrimination in Employment Act of 1975
- Americans With Disabilities Act of 1990
- Civil Rights Act of 1991
- Education Amendments of 1972, Title IX
- Executive Order 11141
- Executive Order 11246
- Equal Pay Act of 1963
- New Mexico Human Rights Act
- Pregnancy Act of 1978
- Section 504 of the Rehabilitation Act of 1973
- Titles VI and VII, Civil Rights Act of 1964
- Vietnam Era Veterans Readjustment Act of 1974

#### 4.05.11 Appeals/Grievance - Non-Discrimination-Based Staff, Applicable to all Regular Non-Probation Employees *[Amendment adopted by Administrative Council 09.09.08; ratified by Board of Regents 07.29.09]*

- A. Hostile Work/Academic Environment: A hostile environment claim may be based on offensive conduct or behavior that is sufficiently severe and/or pervasive to create an abusive work/academic environment or related activities. *See* below for definition:
- B. Nondiscrimination-Based Harassment: The university prohibits any unlawful practice of harassment in work place, classroom environments, including related activities, which has the effect of creating a hostile environment based on disputes arising from nondiscrimination matters. Responsibility for such matters is designated to the appropriate directors, department heads, deans, vice presidents or vice provosts. On the occasion that nondiscrimination harassment is reported or discovered during an investigation by the assistant director of Employee Management Services, a referral to the appropriate official may be made for further review and action. Examples of nondiscrimination harassment may include conduct and behavior that is sufficiently severe and/or pervasive to create an abusive work or academic environment. (*See* Policy [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#))
- C. Grievance Exceptions: Grievable items do not include basic management rights such as, but not limited to, the right to manage, direct and assign employees, determine staffing patterns, rate of pay and/or tasks to be performed. Any action or complaint commenced in any state or federal agency or court (or before any state or federal employee or hearing officer) may, at the discretion of the executive vice president and provost result in a stay of any pending or filed internal proceeding (grievance, appeal, etc.) filed by or on behalf of an employee of the Board of Regents. Upon termination of the external proceeding the executive vice president and provost will review the status of the internal proceeding in the light of the results of the external proceedings. If, in the executive vice president and provost's opinion, further action is required, the internal proceeding may continue in accordance with established procedures. If no further action is deemed necessary, the internal proceeding will cease

- D. Nondiscrimination-Based Grievance Procedures: Employees are encouraged to resolve issues through discussion with the immediate supervisor(s) and may contact the Office of Employee Management Services for consultation on nondiscrimination matters at any time. If resolution is not attained, a formal or informal grievance may be filed with the Office of Employee Management Services. Employees shall be free to discuss matters with the Office of Employee Management Services and file grievances without fear of reprisal.

[BYPASS - If the complainant wishes to bypass STAGES ONE and TWO and go directly to STAGE THREE, a letter requesting a Human Resources board hearing may be addressed to the assistant director of the Office of Employee Management Services (or designee) within 10 working days of the occurrence. In addition to the letter, the complainant will be required to complete the appropriate grievance form and provide supporting documents. These documents will be provided to the party charged, who will prepare a response and submit any supporting documents to Office of Employee Management Services (or designee) within 10 working days of receipt of complainant's documents. Employee Management Services (or designee) will provide the complainant with a copy of materials submitted by the party charged and provide the Human Resources Board with copies of all appropriate documents.]

### STAGE ONE

- A. Informal Complaint: The complainant may elect to pursue an informal complaint by meeting with the Office of Employee Management Services within 15 working days of occurrence of the grievable item. During the informal stage, the complainant may elect not to self identify. The remedy may include seminars, exchange of information, newsletter articles, memorandums, administrative review, or counseling. Informal settings (where the parties are identified) may also include mediation at the departmental level or other direct communication with both parties. If the informal filing does not result in resolution, the complainant may exercise the formal grievance process within 5 working days of completing the informal complaint process.
- B. Formal Grievance: Completion of the Office of Employee Management Services Grievance Form is required within 15 working days after the occurrence or within 5 working days following the informal complaint process. The complainant will include the basis of the grievance which identifies specific employment practices and procedures. The grievance will be accepted or denied in writing by the Office of Employee Management Services (or designee). If denied, the complainant may appeal in writing to the Office of General Counsel (or designee) within 5 working days of receipt of written denial letter. If accepted, the party charged will be provided with a copy of the complaint documents and will be extended 10 working days to respond. Additional time may be granted on a case-by-case basis by written request. The complainant will be provided a copy of the response, and may amend the initial grievance within 2 working days of receiving the response. If amended, the party charged will also be extended 2 working days to provide any additional documentation. The Office of Employee Management Services (or designee) will investigate relevant issues, secure appropriate statements, and prepare a report for administrative review.
- C. Disclosure of Witness Statements: All witness statements are the responsibility of the person filing or responding to the grievance(s). Witness statements provided by either complainant or the party charged must be provided to the opposing party at the time the statements are presented to the Office of Employee Management Services. The Office of Employee Management Services may conduct any further investigation deemed appropriate, which may include additional witness statements. The result of that investigation is the work product of the investigator and not subject to disclosure.

### STAGE TWO - Administrative Review

The assistant vice president for human resource services (or designee) will review the report provided by the Office of Employee Management Services and render a decision. The determination letter will be transmitted in writing by the Office of Employee Management Services (or designee) to the complainant, party charged and appropriate administrators. If the complainant or respondent is not in agreement with the decision, new or additional documentation may be provided through the Office of

Employee Management Services to the assistant vice president for human resource services (or designee) within 5 working days of receiving the determination letter. Following the review of the new or additional information, a final decision will be issued from the assistant vice president for human resource services (or designee) within 5 working days of receipt of the information to the complainant and party charged.

### **STAGE THREE - Board Review:**

[The Human Resources Board may be convened to address: terminations, suspensions, demotions, and related issues resulting in reduction/loss of wages and/or appeals of overall unsatisfactory, needs improvement, or does not meet expectations performance evaluation ratings for regular non-probationary staff employees.]

If the complainant does not agree with the assistant vice president for human resource service decision in STAGE TWO, a request to convene the Human Resources Board may be submitted in writing to the Office of Employee Management Services within 5 working days of receiving the decision from the assistant vice president of human resource services. The complainant and party charged will be required to provide all documentation to be reviewed by the Human Resources Board according to procedures cited herein. The Human Resources Board will hold a hearing and issue a recommendation to the executive vice president and provost (or designee) within 5 working days of said hearing. Should the Human Resources Board require additional time, the chair will notify the complainant, party charged, and executive vice president and provost. The executive vice president and provost (or designee) will issue a final decision in writing to both complainant and party charged within 5 working days of receiving the Human Resources Board's recommendation. STAGE THREE concludes the appeal process for non-probationary staff employees at the university.

### **HUMAN RESOURCES BOARD OPERATING PROCEDURES**

- A. The Complainant is Responsible for Providing The Office of Employee Management Services (or Designee) with:
1. A written request for a Human Resources Board hearing within 5 working days of completing STAGE TWO or within 10 working days if STAGES ONE and TWO are bypassed.
  2. A list of witnesses (by name, title, employer, telephone number, and order of appearance at the hearing). It is the complainant's responsibility to secure permission from and arrange for attendance of named witnesses prior to submittal.
  3. Seven copies of all documentation to be reviewed during the hearing, plus an additional copy for each individual named in #2 above.
  4. The name(s) of legal counsel and/or other representative(s) who will be in attendance at the hearing. Legal counsel or representative(s), who are not university employees, may only actively participate in the hearing process for appeals involving termination, demotion, or suspension. Cross examination of witnesses will be permitted through the chair. Any questions for parties charged/complainant(s) may be channeled through the chair, who will determine the relevance and appropriateness of the question.
  5. A written request for an open or closed hearing.
    - a. Open Hearing - an open hearing is one in which the public may attend, but may not participate in the hearing. In an open hearing, witnesses may stay only after completing their testimony.
    - b. Closed Hearing - a closed hearing is one in which only the complainant and party charged may be present to offer testimony to the Human Resources Board. In a closed hearing, witnesses will be present only during their testimony.
  6. A request for special accommodation(s), if needed.

- B. The Party Charged is Responsible for Providing to the Office of Employee Management Services (or Designee) with:
1. A list of witnesses (by name, title, employer, telephone number, and order of appearance at the hearing). It is the responsibility of the parties charged to secure permission from and arrange for attendance of named witnesses prior to submittal.
  2. Seven copies of all documentation to be reviewed during the hearing, plus an additional copy for the complainant.
  3. The name(s) of legal counsel and/or other representative(s) who will be in attendance at the hearing. Legal counsel or representative(s), who are not university employees, may only actively participate in the hearing process for appeals involving termination, demotion, or suspension. Cross examination of witnesses will be permitted. Parties charged will not be subjected to cross examination.
  4. A written request for an open or closed hearing.
  5. A request for special accommodation(s), if needed.
- C. The Office of Employee Management Services (or Designee) is responsible for ensuring that:
1. The Human Resources Board has been notified in writing of the hearing.
  2. The parties charged, complainant(s) and Human Resources Board members are advised in writing of the date, time, and location of the hearing.
  3. The complainant and party charged are informed in writing of time constraints of 2 hours each to present material, including witness testimony and rebuttal. (Additional time may be considered, if requested).
  4. Grievance procedures and exchange of statements are provided to both the complainant and party charged at least 48 hours prior to the hearing.
  5. A pre-hearing orientation is provided to the Human Resources Board for purposes of receiving documents, instructions, and appropriate policies and procedures.
  6. An agenda is prepared for the hearing and time constraints are monitored.
  7. An official tape recording of the hearing is available, upon written request, to the complainant and/or party charged.
  8. Reasonable accommodations are made, upon request.
- D. The Chair is Responsible for ensuring that:
1. An open or closed hearing is stated for the record during the hearing.
  2. Instructions at the hearing are recorded for the record.
  3. The nature of the charge is clearly understood.
  4. All issues presented during testimony are relevant to the charge. It is the chair's prerogative to determine when issues have been clarified and may terminate the process accordingly.
  5. Additional documentation (if provided by either party after documents have been submitted) is pertinent and reasonable.
  6. Both parties are extended an opportunity for an executive Session at the end of the Human

Resources Board hearing (not recorded). An executive session provides the complainant and party charged with an opportunity to present any relevant extenuating or mitigating matters after closing statements, not to exceed 5 minutes each. During an executive session, only the voting board members and party requesting executive session will be present.

E. The Human Resources Board is responsible for ensuring that:

1. An open or closed hearing is designated after considering the sensitivity of the issues, in conjunction with any specific requests from the complainant or party charged.
2. A conflict of interest situation is called any time a Human Resources Board member's relationship or association (personal or business) with either the complainant or party charged may interfere with the process.
3. A written Human Resources Board recommendation is forwarded to the executive vice president and provost within 5 working days following the hearing.

F. Nonexempt Human Resources Board: The Nonexempt Human Resources Board members are restricted to two consecutive terms of 3 years each. The Nonexempt Human Resources Board will hear grievances from nonexempt employees only. Representatives include:

1. Chair: Dean selected by the executive vice president and provost to serve for 3 years. The previous chair will serve as alternate and assume all duties of the chair in case of absence. [Note: The same chair will serve on both nonexempt and exempt boards.]
2. Member: Nonexempt employee and alternate selected from and by the NMSU Employee Council to serve for 3 years.
3. Member: Nonexempt employee and alternate selected from and by the Institutional Equity/EEO Advisory Committee to serve for 3 years.
4. Member: Nonexempt employee and alternate appointed by the president to serve for 3 years.
5. Member: The Office of Employee Management Services (or designee), permanent, *ex officio* member.
6. Member: Assistant Vice President for Human Resource Services permanent, *ex officio* member.

G. Exempt Human Resources Board: Exempt Human Resources Board members are restricted to two consecutive terms of 3 years each. The Exempt Human Resources Board will hear grievances from exempt employees only. Representatives include:

1. Chair: Dean selected by the executive vice president and provost to serve for 3 years. The previous chair will serve as alternate. [Note: The same chair will serve on both nonexempt and exempt boards.]
2. Member: Exempt employee and alternate selected from and by the NMSU Employee Council to serve for 3 years
3. Member: Exempt employee and alternate selected from and by the Office of Institutional Equity/EEO Advisory Committee to serve for 3 years.
4. Member: Exempt employee and alternate appointed by the president to serve for 3 years.
5. Member: The Office of Employee Management Services (or designee), permanent, *ex officio* member.
6. Member: Assistant vice president for human resource services, *ex officio* member.

#### 4.05.20 Appeals - Consulting

The faculty member may appeal decisions (denial of consulting privileges) to the Faculty Grievance Review Board.

#### 4.05.30 Appeals - Disability Accommodation *(See Policies [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#))*

#### 4.05.50 Faculty Grievance Review and Resolution *[Amendment (FS Proposition 14-09/10A, merging the SI/PE Review board and Faculty Grievance Review Board into one Faculty Grievance Review Board and revising policy and procedures) passed 04.29.10; recommended by Administrative Council 06.08.10; approved by Board of Regents 07.20.10][Amendment FS Proposition 19-11/12A passed Faculty Senate 05.03.12; signed by the President 05.21.12; approved by Board of Regents 06.21.12]*

The university encourages the early resolution of disputes in the work place through informal discussion; for matters not resolved in the Pre-Grievance Resolution stage (*See A.2.a.*), this policy provides structured mediation and grievance hearing procedures for resolution by peer and administrative review.

##### A. Purpose and Overview:

1. To allow matters in dispute to be resolved at the lowest administrative level possible.
2. To provide faculty members a fair, impartial and expeditious grievance review process by which faculty members may seek redress for wrongs they may perceive, and to resolve disagreements/disputes arising in the work place. An overview of this process is given in subsections 2. a through f immediately below; Sections G through L provide the specific procedures for the grievance process. The timeframe provided in brackets is an estimate of the length of time that each stage of the proceedings should take, absent a time extension.
  - a. Pre-Grievance Resolution [30 days]: Prior to initiation of any grievance, the faculty member has 30 days from the date of action or inaction giving rise to the grievance to inform the department head or other administrator not directly involved in the dispute in an attempt to discuss and resolve. A faculty advisor may be chosen at this stage or later by the grievant to assist, or appointed on behalf of the faculty member, upon request. (*See Section G. 2.*)
  - b. Formal Initiation of Grievance [same 30 days of pre-grievance stage]: If the pre-grievance discussions are unsuccessful, the faculty member submits a written grievance within thirty (30) days from the date of the action or inaction giving rise to the grievance. (*See Section H.*)
  - c. Jurisdictional Screening of Grievance [up to 18 days, if appealed]: The grievance is either accepted or declined by a majority of a quorum of the nine member Faculty Grievance Review Board; either party may appeal the board's determination, within three (3) days, to the assistant vice president of human resource services. (*See Section I.*);
  - d. Dispute Resolution by Mediation [30 days]: A member of the Faculty Grievance Review Board who will not be on the hearing panel (*See Section K.*) coordinates a mediation effort aimed at resolving the grievance without a formal hearing. (*See Section J.*)
  - e. Formal Hearing [30 days or less]: If mediation fails to produce a mutual agreement for resolution, the Faculty Grievance Review Board hearing panel conducts an administrative hearing within 20 days; the board forwards factual findings, the grievance record, and recommendations to the Office of the Executive Vice President and Provost within 10 days from hearing. (*See Section K.*)
  - f. Final Decision [15 days or less]: With the concurrence of the university president, the executive vice president and provost issues the final decision. (*See Section L.*)
3. To establish the Faculty Grievance Review Board ("FGRB") as the faculty peer review body charged with facilitating the resolution of faculty grievances in accordance with this policy,

- and any corresponding procedures. (*See Section F.*)
4. To prohibit retaliation against any person that attempts dispute resolution in accordance with this policy, including the pre-grievance stage, and/or against those who may be called upon to advise, cooperate, testify, investigate, counsel, mediate or adjudicate matters under this policy. (*See Section G. 8*)
- B. Scope of Policy and Standing to Grieve: This policy applies throughout the NMSU System. This policy is intended for and limited to grievances in which the faculty member is personally and materially affected by a decision, action, or inaction.
- C. Policy Administrator: The Faculty Grievance Review Board (*See Section F.*), the Office of the Executive Vice President and Provost, and the Office of the President; with support assistance from the Faculty Senate Chair, and the Offices of Human Resource Services and General Counsel administer this policy.
- D. Definitions:
1. “Chair of Faculty Grievance Review Board”: A member of the Faculty Grievance Review Board elected by the membership to serve as the contact person for the full board, who will coordinate procedural matters and communicate on behalf of the board. The chair shall administer policies and procedures, and communicate for the panel collectively, which may necessitate a vote of the board from time to time, if the matter is in debate.
  2. “Chair of the Hearing Panel”: A member of the three member hearing panel, designated amongst the three panel members, to serve as the lead in conducting the administrative hearing for the grievance matter. The hearing panel chair conducts the hearing fairly and impartially, consistent with these policies and procedures, and communicates for the panel collectively, which may necessitate a vote of the panel from time to time, if matters are in debate.
  3. “Day”: means Monday through Friday, excluding official university holidays and closures.
  4. “Delivered” or “delivery”: means hand-delivery or delivery via certified mail to the address listed in the university directory, return receipt requested. E-mail delivery marked with the “confidential” option may also be used as a supplemental means to expedite unofficial notice of a communication or decision, but is not to be used as the date of delivery for purposes of calculating deadlines.
  5. “Faculty”: as used in this policy means any full or part time tenured, tenure track, or regular non-tenure track faculty member.
  6. “Faculty Advisor” as used in this policy means a member of faculty selected by or on behalf of the grievant to provide consultation support regarding grievance preparation and/or presentation in the informal and formal grievance steps. The faculty advisor may also attend the mediation and formal hearing at the request of the grievant, but may not actively advocate nor participate. The grievant may enlist the faculty advisor, or may request that the Faculty Senate Chair enlist a member of faculty to serve in such capacity. (*See Section G. 2.*)
  7. “Grievance Record”: The grievance record consists of all correspondence between the grievant and member of the Faculty Grievance Review Board (usually the mediator or the chair of the panel); notifications setting the date, time and location of the mediation session or formal hearing; any written procedural guidance provided to the parties, supplemental to that provided herein; all evidence submitted by the parties at the formal hearing, labeled as to which party submitted it; the written findings of fact determined by a majority of the formal hearing panel, and the written final decision. No materials from an unsuccessful mediation shall be part of the grievance record; if the grievance is resolved in mediation, the resultant Mediation Agreement shall be part of the grievance record.
  8. “Grievant”: means any faculty member, or any group of faculty alleging a claim that is

- grievable pursuant to this policy. (*See also* D.5. above)
9. “Hearing Panel”: The hearing panel consists of three members from the nine member Faculty Grievance Review Board, designated by the Faculty Grievance Review Board to conduct the formal hearing, if the matter is not resolved in mediation.
  10. “Mediator”: as used in the policy is the person or persons designated by the Faculty Grievance Review Board to explore pre-hearing dispute resolution. (*See Sections F. 5. and J.*)
  11. “NMSU Entity”: is used to describe a department or other administrative unit within an NMSU college or campus, including but not limited to extension service, and experiment stations. The Main Campus library is considered a single entity for purposes of this policy. Private not-for-profit corporations affiliated with NMSU for fundraising, research, public service, or student activity purposes, while possibly subject to follow applicable NMSU policy to maintain their recognized status, are not “NMSU entities”.
  12. “University Policy”: as used in this policy includes the formally adopted policies and procedures, as well as protocol clearly established through practice, of any NMSU entity.
- E. Grievable and Non-Grievable Matters:
1. Grievable Matters: Anything not excluded under subsection 2. below is grievable.
  2. Non-Grievable Matters: The following types of issues are not grievable to the Faculty Grievance Review Board:
    - a. Job direction, including coaching and counseling provided for purpose of improving work performance;
    - b. Disciplinary verbal warnings, unless subsequently at issue as part of written reprimand being appealed;
    - c. Non-renewal of annual employment contract (“temporary contract”) during probationary period of tenure track faculty member, unless a violation of policy or procedure is alleged;
    - d. Promotion and tenure decisions, unless a violation of policy or procedure is alleged. (*See* Policy 5.90 Promotion and Tenure Policy);
    - e. Disputed matters that fall within the jurisdiction of another NMSU entity or hearing body, including but not limited to: involuntary termination for cause (Policy 5.47 Faculty Discipline and Appeal Processes), complaints of unlawful discrimination (Policy 3.25 Discrimination, Harassment and Sexual Misconduct on Campus), and intellectual property disputes (Policy 5.94.20 Research);
    - f. Reassignment or transfer, provided no change in tenure home, loss in pay or faculty rank, or other violation of policy or procedure;
    - g. Changes in status of an academic administration position, consistent with policy and letters of hire;
    - h. The substance of a policy or established practice, unless it has an alleged unfair impact;
    - i. A resignation that has been sent and received.
- F. Faculty Grievance Review Board (“Faculty Grievance Review Board”): The Faculty Grievance Review Board consists of nine members, from which mediators and smaller hearing panels will be assigned as needed.
1. Authority. The Faculty Grievance Review Board and/or its members assigned as mediators or hearing panel members, as appropriate, are authorized:
    - a. To elect a chair and vice chair from the nine member leadership. The chair will receive and send correspondence relating to procedural matters for pending grievances, and take the lead in setting meetings and coordinating with other officials and offices as necessary for the board to administer this policy. The vice chair will act in the chair’s absence.
    - b. To decide whether or not matters brought before it are within its authority, in accordance



- c. To ascertain the best approach for mediation, including selection of an appropriate mediator (*See Section J.*);
  - d. To conduct fact finding hearings and to issue recommendations to senior academic administration (*See Sections K-L.*);
  - e. To recommend revisions to this policy; to issue supplemental mediation or hearing procedures as may be necessary to assist the mediator, hearing panel and parties during the various grievance steps. Such supplemental procedures shall be consistent with this policy. Supplemental procedures shall be reviewed by the Office of HRS and General Counsel, and approved by the Office of the EVP/Provost. Any procedures that impose duties on the parties to a grievance will be provided to the parties in advance of any mediation session or hearing.
2. Composition/Election of Members:
- a. Composition of the Faculty Grievance Review Board: The Faculty Grievance Review Board shall consist of a total of nine faculty members, six at-large members (4 tenured or tenure track faculty and two college faculty) and three department heads. Only one person from a department may serve at the same time. No more than three may come from the same Faculty Senate electing group, as defined in VI of the Faculty Senate Constitution (*Appendix I-D*).
  - b. Election of Members: The nominations and elections shall be conducted prior to the Fall Semester, or as soon thereafter as possible. The Faculty Senate Chair or designee shall coordinate the following:
    - i. At Large Members: The faculty at large members shall not be currently serving as a department head, associate dean or dean on interim or permanent basis. Nominations for the faculty at large positions (either the tenured/tenure track or the college faculty positions) shall be made by members of the Faculty Senate, and shall be elected by the faculty at large. Elections shall be conducted in accordance with procedures followed for election of Faculty Senate chair, with the exception that the number of candidates shall not be limited, and there shall be at least two nominees for each vacant position.
    - ii. Department Head Members: The Faculty Senate will nominate at least four department heads with faculty rank to fill two of the three department head positions; the Office of the University President will nominate at least two department heads. The election of the three department heads is conducted by the Faculty Senate. One of the three elected must be from the university president's list of nominees.
3. Term of Service: The first nine members elected after enactment of this policy shall serve either a one, two or three year term, to be decided by lot. After these initial terms have been completed, elected members shall serve staggered three year terms. No member shall serve more than two consecutive three year terms. Members of the board who take an extended leave of absence, including periods of sabbatical, shall resign from the board.
4. Commencement of the Staggered Terms. The term(s) shall commence in the spring, on faculty's first day back to work, or as soon thereafter as practicable. The membership shall continue in office until their replacement(s) have been elected, notwithstanding the limitation of serve to two consecutive three year terms.
5. Vacancies Due to Resignation During Term of FGRB Service:
- a. Upon a vacancy created by a faculty member's resignation, the Faculty Senate Chair shall announce the vacancy, ask interested/qualified faculty to submit their names, and select from these names an individual to serve on the board until elections in the fall.
  - b. Upon a vacancy created by a department head's resignation, the Faculty Senate chair shall inform the president who will submit two names, from which one will be appointed by the Faculty Senate Chair to serve on the board until elections in the fall.
  - c. Replacement members will serve out the remainder of the former member's term.

6. Meetings.
  - a. For all meetings of the Faculty Grievance Review Board, a minimum of 24 hours email or written notice will be given to all members of the board.
  - b. For actions taken by the Faculty Grievance Review Board, a minimum of a quorum of five is needed. To facilitate meetings of the board, members may participate telephonically or by other electronic/digital means, provided that confidentiality is able to be maintained.
  - c. For hearing panels, each member appointed to serve on the panel shall attend and participate.
7. Faculty Grievance Review Board Hearing Panel: Three members of the Faculty Grievance Review Board, consisting of two faculty members and one department head, shall constitute the hearing panel. The hearing panel shall select one of its members to chair the panel. The hearing panel chair shall communicate with the parties and other NMSU personnel as appropriate, on behalf of the panel.
8. Faculty Grievance Review Board Mediator: For each grievance, at least a majority of a quorum of the Faculty Grievance Review Board shall select one of its members to coordinate the mediation phase of the grievance process, in order to resolve the grievance pre-hearing, if possible. (*See Section J.*) The member assigned as mediator shall not be eligible to serve on the hearing panel for the same case, should the matter proceed to formal hearing.
9. Administrative Support for Faculty Grievance Review Board: The chair of the Faculty Senate or vice chair, as determined between them, and the assistant vice president of human resource services shall coordinate to provide the Faculty Grievance Review Board with the necessary clerical, administrative and/or technical support it requires, which shall include guidance relating to applicable time deadlines and other procedural issues that may arise.
10. Initial Transition of Membership: The initial board shall be comprised of existing members of the Review Board on Salary Increase/Performance Evaluation and the Faculty Grievance Review Board. Any discrepancy in the number of faculty involved will be resolved by lot and staggered terms will adhere, as close as possible, to those existing within the current bodies, with discrepancies also being resolved by lot.

G. General Grievance Review and Resolution Policies:

1. Creation and Preservation of the Grievance Record:
  - a. Method of Communication: Communication between the grievant and any member of the Faculty Grievance Review Board should either be in writing or be promptly documented for the benefit of the other members of the panel or full board. Official correspondence shall be sent by the Faculty Grievance Review Board chair, mediator or hearing panel chair, as appropriate, and in a manner that maintains confidentiality, and that facilitates confirmation of receipt.
  - b. Timing of Creation of "Grievance Record" (*See Also Subsection G. 7.*): At the conclusion of the faculty grievance, at whatever stage it might be resolved, the official grievance record as defined above in Section D. will be forwarded by the chair of the Faculty Grievance Review Board, with the assistance of the Office of HRS; there is no need to copy the Office of the EVP/Provost or any other office with the correspondence generated during the grievance proceeding.
2. Grievant's Right to Faculty Advisor: At any point in the process, the aggrieved faculty member may enlist the aid of a Faculty Advisor, whose role shall be to provide guidance and/or to attend the mediation or formal hearing. The role of Faculty Advisor does not include actively advocating or participating in mediation sessions or hearing on behalf of the grievant. If the aggrieved faculty member requests assistance in obtaining an advisor, the Faculty Senate Chair or designee shall appoint a senior faculty member to serve in that

- capacity.
3. **Stay of Proceedings:** With the concurrence of the Office of the General Counsel, a grievance may be stayed by the chair of the Faculty Grievance Review Board when the grievant is also seeking relief based upon the same set of facts in another forum, or agrees to explore alternative dispute resolution outside the scope of this policy. The matter may be re-opened, if appropriate, depending upon the outcome of the other proceeding. Any party may submit a written request to the chair of the Faculty Grievance Review Board that a particular grievance be stayed.
  4. **Confidentiality:** All university personnel shall maintain and preserve confidentiality regarding faculty grievance matters, particularly matters discussed or divulged in a confidential mediation setting. *See Section J.7.*
  5. **Fair and Impartial Mediation and Hearing Process:** Faculty members are entitled to a fair and impartial review of their claims. This includes the prompt resolution of actual or perceived conflicts of interest:
    - a. **Conflicts Guidelines:**
      - i. Under no circumstances will a Faculty Grievance Review Board mediator or hearing panel member participate in a hearing convened to hear a grievance from a person with whom the member has a familial, personal or close professional relationship. A Faculty Grievance Review Board member shall not mediate, nor hear, a matter involving faculty from their own NMSU entity.
      - ii. If one or more of the witnesses has a close relationship with one of the hearing panel members, disqualification of the hearing panel member from service shall not be automatic, but shall be decided based upon the specific facts of each case.
      - iii. If the grievant or a witness has had prior contact with either the assigned mediator or a hearing panel member, disqualification of the mediator or panel member from service shall not be automatic, but shall be decided based upon the specific facts of each case.
    - b. **Early Disclosure of Conflict/Voluntary Recusal:**
      - i. Any Faculty Grievance Review Board member selected to serve as either the mediator or as a member of the hearing panel in a grievance matter shall disclose actual and potential conflicts of interest immediately or as soon as it is realized, in order that it may be resolved prior to the informal or formal grievance processes.
      - ii. A party shall also raise the issue of an actual or potential conflict of interest on the part of a mediator or hearing board member as soon as the conflict is known.
      - iii. After consideration of the relevant facts and positions of the parties, if it is determined that a conflict exists sufficient to call into question the impartiality of the Faculty Grievance Review Board member, the resolution will be either voluntary recusal by the member of the Faculty Grievance Review Board alleged to have the conflict, or by substitution of a different member by the chair of the Faculty Grievance Review Board.
    - c. **Process to Resolve Alleged Conflict of Interest:** In the event a conflict of interest issue is raised and not resolved amicably by substitution of another board member, the chair of the Faculty Grievance Review Board, the mediator or the hearing panel chair, as appropriate, shall give notice of the potential conflict to the parties and proceed to resolve the issue as expeditiously as possible.
      - i. If a challenged Faculty Grievance Review Board mediator or hearing panel member agrees that the conflict is sufficient to render the member unable to participate in a fair and impartial manner, the member shall be excused from further participation.
      - ii. If the challenged Faculty Grievance Review Board mediator or hearing panel member disagrees that there is a conflict sufficient to affect impartiality, the matter will be decided by the chair of the Faculty Senate.

- Each party may provide their position on the issue, and to comment on the position of the other party. Other evidence may be considered if relevant or needed to decide the issue; however, the parties are entitled to know and comment on any other evidence considered by the chair of Faculty Senate in making the decision.
  - If a Faculty Grievance Review Board mediator or hearing panel member is excused based on a finding of conflict of interest, another Faculty Grievance Review Board member shall be selected to serve.
6. Time Deadlines (*See Also Section H. for time limit to initiate grievance*):
- a. The informal and formal review hearings and appeal process will be conducted as expeditiously as possible.
  - b. Upon written request, a party shall be granted a one-time extension of the time deadline by the Faculty Grievance Review Board mediator or the hearing panel chair, as appropriate. If an extension is requested, the chair of the Faculty Grievance Review Board will be informed.
  - c. Upon written request, an official with responsibility under this policy shall be granted a one-time extension of the time deadline by the chair of the Faculty Grievance Review Board; if the Faculty Grievance Review Board chair requests an extension, it shall be considered by the chair of the Faculty Senate.
  - d. A second or subsequent written request for time extension from a party or from a Faculty Grievance Review Board official may be granted by the Faculty Senate Chair, due to exceptional circumstances, after consideration of the basis for the request and the respective positions of the parties.
7. Filing and Storage of Grievance/Hearing Records: The Faculty Senate Chair, together with the Offices of HRS, with guidance from the Office of General Counsel as needed, shall ensure that the official grievance record documentation (consisting of official grievance, any written response, official correspondence, evidence submitted for hearing and final decision but NOT INCLUDING anything from an unsuccessful mediation session) is maintained as follows:
- a. The grievance record is typically voluminous, and shall not be filed in the official personnel file, but will be housed in a grievance file with the Office of Human Resource Services. Occasionally, it may be appropriate to file or to cross reference a grievance decision in the official personnel file (i.e. to justify a mandated change in salary).
  - b. If the grievant prevails on an issue affecting a document contained in the official personnel file, that document will be revised and the original document will be moved to the grievance file, to document compliance with the decision on the grievance.
  - c. Copies of the final administrative decision, which may be a Mediation Agreement, shall be stored permanently in the Office of the Executive Vice President and Provost.
  - d. The grievance record, consisting of official correspondence and notifications, exhibits and other evidence, recordings, factual findings, and final decision, shall be maintained by the Office of Human Resource Services, in accordance with the university's retention of records policy.
8. Prohibition of Retaliation: Retaliation against any person that attempts dispute resolution in accordance with this policy, including the pre-grievance stage, and/or against those who may be called upon to advise, cooperate, testify, investigate, counsel, mediate or adjudicate matters under this policy is strictly prohibited. Any such claim shall be reported immediately to the Assistant Vice President of Human Resource Services. Such claims will be taken seriously, investigated independently, and if substantiated, will be grounds for corrective or disciplinary action, appropriate to the circumstances.
- H. Procedures to Initiate Grievance: After internal communications between individuals with authority to resolve the grievance have failed to resolve a disagreement or dispute that has been identified to the department head as a potential grievance, a faculty member may initiate a formal grievance by delivering a memo with the subject line "Faculty Grievance", to the chair of the Faculty Grievance Review Board, through the Faculty Senate chair. A copy shall also be delivered

by the grievant to the department head, cognizant dean or equivalent administrator, and assistant vice president of human resource services. Throughout grievance proceedings, communications between one party and any member of the Faculty Grievance Review Board shall be copied to the other party as well as the assistant vice president of human resource services. Examples include requests for extensions of time and the responses thereto, supplemental submittals if permitted, notices of appeal. The grievance should be initiated within thirty (30) days from the date of the action or inaction being grieved, or from the time the faculty member reasonably should have known about the action/inaction subject of the grievance. This time limit for submitting a grievance will be interpreted liberally in order to encourage informal resolution. The chair of Faculty Senate may also grant, in writing to all parties, an extension of the deadline, for extenuating circumstances, or if so doing facilitates pre-grievance resolution. The memo initiating the grievance resolution process shall:

1. Identify the issue in dispute;
  2. Identify involved parties and provide email and physical address of the grievant to which official grievance correspondence should be sent;
  3. Identify efforts made to date to resolve dispute;
  4. Outline the points in support of the grievant's position, and if known the points contra;
  5. Attach or reference any supporting documentation; and
  6. State the remedy requested.
- I. Procedures to Determine Jurisdiction: The Faculty Grievance Review Board Chair shall convene a quorum of the board to review the grievance and determine whether or not the matter(s) alleged state a grievable claim within the purview of this policy. Typically, the Faculty Grievance Review Board Chair will issue the official correspondence to the parties; however, as agreed by the members, any member may issue the written determination to the grievant on behalf of the Faculty Grievance Review Board, provided it is reflective of what the majority decided. The determination to accept or decline a grievance shall be issued in writing to all parties within ten days from the date the grievance was received by the Faculty Grievance Review Board Chair. A copy of the board's determination relating to acceptance shall be sent to the Office of HRS-EMS and University General Counsel. The Faculty Grievance Review Board's determination may be appealed by either party within three days from receipt to Assistant Vice President of Human Resource Services, who will issue a written decision letter sent to all parties within five days from receipt of the appeal.
- J. Procedures for Informal Resolution/Mediation: The purpose of the mediation phase of this grievance procedure is to explore whether or not mediation or other alternate method of dispute resolution might resolve the grievance and obviate the need for the formal hearing and decision making process.
1. The Faculty Grievance Review Board member selected (*See Section F. 8.*) to coordinate the mediation phase of the grievance may serve as mediator, or, if warranted by the facts alleged or the parties involved, and with the approval from the Faculty Grievance Review Board chair, may utilize a mediator external to the Faculty Grievance Review Board to conduct the pre-hearing dispute resolution (mediation) phase of the grievance process.
  2. The Faculty Grievance Review Board mediator may conduct the mediation jointly with an external mediator; may rely on external mediator(s) to conduct the mediation; and may require that more than one mediation session be held.
  3. The Faculty Grievance Review Board member selected to coordinate the mediation phase is encouraged to work with the Faculty Senate Chair, the Office of Human Resource Services and the Office of General Counsel regarding the logistics of conducting the pre-hearing dispute resolution session(s), especially with regard to compliance with applicable time

- deadlines.
4. The mediator(s) shall work directly with the parties and the appropriate NMSU officials, as needed, for approval of any mutually agreed upon resolution, if any.
  5. The mediator(s) will provide the parties to the grievance written ground rules for the pre-hearing dispute resolution session(s) prior to or at the commencement of the first mediation session. The parties will be asked to read them and to sign, indicating their willingness to abide by them. If any party refuses, the mediation will be cancelled, and the grievance will be submitted to the Faculty Grievance Review Board hearing panel chair for a hearing and decision.
  6. If at any point during the mediation, a party's behavior is in violation of the ground rules, and the behavior is counterproductive to the mediation, the mediator has the authority to cancel the session and elect to submit the matter to the formal hearing stage.
  7. All documentation, information, positions asserted, admissions or concessions shared for purposes of exploring a pre-hearing dispute resolution shall remain confidential and shall not be divulged by any party or mediator to any person, including the other members of the Faculty Grievance Review Board, nor used against any party at any subsequent hearing or proceeding. With the exception of a Mediation Agreement, if any, the mediator will ask that the parties to leave written documentation behind which the mediator(s) will shred.
  8. The only documentation that shall be retained after mediation is a formal signed Mediation Agreement that documents that a mutually satisfactory agreement was reached by the parties. A Mediation Agreement, outlining the agreement, including the details relating to follow up action to be taken, will be drafted during the mediation session and shall be signed by all parties. Ideally, all parties whose authority will be required to resolve the matter will be present at the mediated dispute resolution session(s); however, if additional administrative approvals will be necessary before the parties' mutual agreement can be finalized, the mediator(s) may work outside of the mediation session to obtain the appropriate additional approvals or to further formalize the initial agreement. The provisions relating to confidentiality continue to apply and each NMSU official consulted regarding the potential for settlement shall be advised about the confidential nature of the communications.
  9. If the mediation resolves all or part of a grievance, the signed Mediation Agreement shall be filed with the grievance record; each party will be provided with a copy, to facilitate its implementation. The parties shall agree to maintain it in a secure manner that will not jeopardize confidentiality. If the mediation does not resolve all of the issues raised in the grievance, the issues remaining will be submitted for formal hearing. Each party has the authority to decide whether or not to agree to a Mediation Agreement that resolves only part of a grievance.
  10. The mediator(s) shall meet with the parties and take other action as necessary to resolve all or part of the grievance. This may include review of documents, interviews or consultations with persons not on the Faculty Grievance Review Board, including but not limited to university officials whose authority to implement a proposed solution will be necessary, provided they will not be involved in the formal hearing process.
  11. No later than thirty (30) days from the mediator's receipt of the grievance, absent an extension of time pursuant to Section G. 6., the mediator shall send a request for hearing to the Faculty Grievance Review Board hearing panel chair, with a copy to the Faculty Senate Chair. Unless the mediator indicates that progress is being made and there remains a viable possibility of resolving the grievance in the mediation stage, an extension of time shall not be granted.

K. Procedures for Formal Hearing:

1. **Transference from Mediation to Hearing Panel:** As soon as the mediator informs the chair of the Faculty Grievance Review Board and the chair of the hearing panel in writing that the

grievance was not resolved by way of a Mediation Agreement, or 30 days from the date the grievance was referred to mediation, whichever is sooner, the grievance shall be set for hearing by the designated hearing panel.

2. **Timeframe for Hearing:** The hearing shall be conducted within 20 days from notification by the mediator or from the 30 days mediation deadline, whichever is sooner. The chair of the formal hearing panel shall give the parties as much notice as possible of the hearing date.
  - a. If the hearing panel is not able to convene to hear the matter within said timeframe, the chair of the hearing panel shall inform the chair of the Faculty Grievance Review Board, and also seek an extension of time from the chair of the Faculty Senate.
  - b. In order to expedite the hearing, the chair of the Faculty Grievance Review Board may substitute hearing panel members; if necessary as a matter of last resort, the assistance of the chair of the Faculty Senate may be sought to coordinate with all parties about the applicable timelines and to facilitate the setting of the hearing date.
3. **Hearing Procedures:** The parties shall be directed to the applicable hearing procedures and/or given a copy.
  - a. **Disclosure Statement:** The hearing panel chair shall ensure that all perceived or actual conflicts of interest have been resolved prior to commencing the hearing by asking for all participants, including the panel members, to indicate that they are not aware of any potential conflicts of interest.
  - b. **Hearing Participants:** The parties include: The grievant and faculty advisor, if any; the party charged, and the department head or other academic administrator at the discretion of the hearing panel chair. Each party may call witnesses; witnesses may not stay in the hearing beyond the time necessary to provide testimony, with the exception of the parties, who may also provide witness testimony.
  - c. **Documentation for Hearing:** At least five days in advance of the hearing date, each party shall submit to the hearing panel chair four copies of a position statement outlining the points in support of that party's position, with attached exhibits and a list of witnesses, if any. The hearing panel chair shall distribute one copy to the other party, and the other two copies to other two members of the formal hearing panel.
  - d. **Role of Legal Counsel:** Neither administrators nor grievant may be represented at the hearing by legal counsel.
  - e. **Closed Hearing:** The hearing shall be closed to the public. Witnesses other than party representatives shall be excused after presenting testimony. *See subsection 3 b. above.*
  - f. **Time for Presentation at Hearing:** The hearing panel chair will assure that all parties have an opportunity to present their cases and may impose reasonable time limits; therefore, the parties should be prepared to make concise statements of their respective positions and refrain from presenting duplicative witness testimony etc.
  - g. **Conduct of Hearing:** The hearing panel chair shall maintain control of the proceeding, including evidentiary and procedural issues. As needed to determine the panel members' collective decision, each panel member may be asked to indicate a position by way of vote. For procedural issues raised by the parties, the chair may ask the parties to step out while the panel deliberates and decides; when the parties return, the chair shall announce the panel's decision on the issue.
  - h. **Witness Testimony:** Witness testimony shall be taken under oath given by a Notary Public. The chair of the hearing panel may request that all witnesses be sworn in at one time, then asked to leave until such time as they are called to testify, or they may be sworn in individually immediately prior to giving testimony.
  - i. **Deliberations:** The hearing panel shall deliberate in closed session, apart from the parties. The panel may elect to consult with the Office of the General Counsel or the Office of Human Resource Services or the Office of Employee Management Services staff during the hearing and/or during its deliberations.
  - j. **Preservation of Record:** The hearing shall be recorded; the parties shall be entitled to a copy of the recording, upon request, after the final decision has been rendered. Responsibility for transcription is on the party desiring the transcription.

4. Findings and Recommendations: Within ten days from the closure of the hearing (last date of deliberations by the hearing panel, the chair shall submit findings and recommendations representative of the hearing panel's collective decision, which may include any dissenting opinion, to the Office of the Executive Vice President and Provost, along with the grievance record.

- L. Procedures for Final Decision: Within fifteen days from receipt of the hearing panel's findings and recommendations, the executive vice president and provost, with the concurrence of the university president, shall issue the final written decision. The decision, together with a copy of the hearing panel's findings and recommendations, shall be delivered to the parties and to the hearing panel chair.

**4.05.60 Appeals - Intellectual Property** (*See also* Policy 5.94.20 D. 7 for Special Dispute Resolution Committee Hearing Process)

Decisions relating to disputes relating to intellectual property may be appealed from the Special Dispute Resolution Committee to the Faculty Grievance Review Board.

**4.05.70 Appeals - Layoff/Financial Exigency** (*See* Policy 4.40 Layoff/Financial Exigency)

Employees who are to be laid off may appeal through faculty processes or through staff processes, as applicable. (*See* 4.05.50 Appeals - Faculty, or 3.25 Discrimination, Harassment and Sexual Misconduct on Campus)

**4.05.80 Appeals - Sick Leave Bank** (*See also* Policy 7.20.25, Leaves-Sick (*See* procedures posted at HRS Benefits website associated with Policy 7.20.80-Leaves-Sick Leave Bank)

If application for use of leave is denied, the decision of the assistant vice president for human resource services may be appealed to the executive vice president and provost, whose decision is final.

**4.05.90 Appeals - Student** (*See* NMSU Student Handbook and current NMSU Undergraduate or NMSU Graduate Catalog)

**4.10 Children, Employment of**

Normally, employment of children under 16 years of age is prohibited. Consult the Office of Human Resource Services for any special considerations. Children under age 18 may not be employed or permitted to labor in any underground mine or quarry or at or about any place where explosives are used.

**4.25 Due Process**

Due process opportunities are available to all regular employees. These policies and procedures are designed to provide an objective consideration of employee grievances. Employees are provided peer group representation on review boards and committees in order to ensure fair and impartial hearings of their complaints. Within each appeal procedure, notice is given as to who makes the final decision. These decisions are final and cannot be further appealed within the university structure. The Board of Regents will periodically review these policies but will not hear individual grievances. The appeals procedures are designed to resolve grievances at the lowest level possible. Prior to formal appeal, all parties should exhaust every opportunity to settle the grievance through administrative review at the department or college level.

**4.26 Employee Separation Policy**

When an individual leaves employment with the university, a number of details must be attended to, both by the employee and the employing department. Employees separating from the university should make arrangements to return all university property in their possession and settle any accounts with the university prior to their separation. Property should be returned when an employee transfers



from one department to another department within the university as well. Examples of property that should be returned include, but are not limited to: keys, identification cards, university -issued credit cards, computer hardware and software, cell phones, classroom materials (such as grade books/files, completed exams), sponsored project files, etc. Accounts to be settled may include such things as parking or library fines, tuition and fees, advances or overpays, personal phone calls, and so on. Departing employees may need to make arrangements with the Office of Human Resource Services regarding such things as health insurance and retirement rollovers as well.

Supervisors of employing departments are separately responsible for ensuring that required forms and notifications to payroll and the Office of Human Resources are submitted in a timely manner, and that access to university property and systems is terminated by having combinations changed, canceling computer system access codes, etc. Computer hard drives should also be checked for sensitive information and unlicensed software.

An optional NMSU Separation Checklist is available that employees and employing departments may find helpful in the separation process and can be found at: [HR Forms](#) Employee Separation Checklist

#### **4.30 Hiring** (*See also* Policy [8.40, Hiring](#), Policy [5.15, Faculty Appointments](#) and [Search Committee Guidelines](#)) Specific forms and procedures are available through the Human Resources web page.

The Board of Regents has delegated to the president or to whomever the president delegates, the employment of all faculty, staff, and other university personnel. Although the board should never actively nor directly participate in the actual hiring of university personnel, with the exception of selection of the president, the board should always be at liberty to review any particular hiring by the administration to determine whether or not the board's hiring policies are being followed.

- A. **Exempt and Faculty Hiring Procedures:** The recruitment, selection, and hiring of exempt employees is accomplished by the employing department with approval of the appropriate director, dean/vice president, or executive vice president and provost, and the Office of Human Resource Services. Additional procedures for filling executive and faculty positions are contained in the [Search Committee Guidelines](#).
- B. **Recruitment:** If no underutilization exists in the job grouping, positions may be posted for a minimum of 14 calendar days. If underutilization exists, the position is normally posted for 28 calendar days in order to generate an adequate applicant pool. Requests for exception to the 28 day posting may be submitted to the Office of Human Resource Services for consideration.
- C. **Search Committee Procedures:** Procedures to be followed when involving a search committee in the recruitment and selection process are contained in the [Search Committee Guidelines](#) which is available in all departmental offices and the Office of Institutional Equity/EEO.
- D. **Dual Career Couples:** Dual career couples comprise an increasing percentage of university professionals. To recruit and retain diverse employees, New Mexico State University and the University of Texas at El Paso support efforts to accommodate the needs of dual career couples. Assistance in identifying employment opportunities in the southern New Mexico and El Paso, Texas area is available to aid in family relocation to our communities.
- E. **Job Sharing:** When two people may be in the same academic department, a job sharing arrangement may be established. Salary and work duties are negotiable between the two people and the department subject to approval by the appropriate college dean and the executive vice president and provost. Candidates should discuss job sharing with the department head as early as possible in the search process.

#### **4.30.05 Employment Background Review Policy** [*Policy adopted by Administrative Council 04.11.06; ratified by Board of Regents 9.08.06*] [*Amendment adopted by Administrative Council 07.08.08; ratified by Board of Regents 07.15.08*]

In order to create a safe and secure workplace and to ensure that New Mexico State University employees are qualified to perform the duties and responsibilities of the positions they hold, the university has adopted a background review policy. The policy and procedures are set forth below:

- A. Background Reviews: Background reviews, depending upon the position, may include:
1. Credential verification (academic degrees certification, professional licenses, etc.)
  2. Criminal history and identity (Federal, State and Local)
  3. Employment references
  4. Consumer credit reports
  5. Drug testing
  6. Social Security Number traces
  7. Motor vehicle driving history
- B. Positions/Employees Subject to Background Reviews:
1. The following employees will be subject to background review:
    - a. All regular employees who are hired, rehired, transferred, promoted, reclassified, or appointed to interim positions. Rank promotions of tenured, tenure track and non-tenure track faculty are not subject to a background review upon promotion.
    - b. University employees competing for vacancies through an external search process.
    - c. University employees changing positions from faculty to academic administrative or to administrative status.
    - d. Graduate assistants, teaching assistants, post doctoral appointments, temporary employees, student employees, volunteers (with the exception of 4-H volunteers) and affiliates with significant responsibilities listed in the NMSU Sensitive Duties Checklist. A background review will be conducted at the initial time of hire. Employees holding positions in any of these categories will not be subjected to another background review unless there is a break in employment of one year or more.
- C. Conditional Exception for Short Term Hires: For short-term hires of 30 days or less (no extensions), a waiver may be granted by human resource services. However, the department head/director is responsible for ensuring that the employee does not perform duties listed in the NMSU Sensitive Duties Checklist without adequate safeguards.
- D. Prior History of Criminal Conviction: Potential candidates, including graduate assistants, teaching assistants, post doctoral appointments, temporary employees, emergency hire employees, student employees, volunteers (with the exception of 4-H volunteers), and affiliates that disclose a felony conviction will be subject to a background review prior to a final offer of employment.
- E. Required Consent to Release: A signed Background Check Release Form is required as part of the application process and must be present before any background review may be conducted.
- F. Response to Adverse Information: Any background review report that reveals adverse information on an applicant or employee shall not automatically disqualify a candidate for the position being sought or held conditionally pending results of review.
- G. Rejection or Termination of Employment for Misrepresentation: Any material misrepresentation or omission on an application document may be grounds for rejection of the application, termination of employment, or refusal of subsequent employment consideration with the university.
- H. Possibility for Additional Employment Reviews: Additional employment reviews may be required by law, regulation, or contract.
- I. Confidentiality: Background review information findings are to be regarded as highly confidential

and will be released only under conditions consistent with applicable law.

J. Procedures:

1. **Determination Regarding Nature of Background Review:** When a department initiates any action requiring a background review, the hiring department will coordinate with Office of Human Resource Services to determine the type(s) of background review(s) to be conducted.
2. **Requirements for Job Posting and Application Packet:** All job postings must contain notice that background reviews will be performed on the finalist. The application packet required of candidates must include a Background Check Release Form to be considered a complete application.
3. **Hiring Department Duties:** The hiring department is responsible for obtaining the following information on finalists when required for the position:
  - a. **Educational credentials:** Verify through official transcripts the highest (terminal) degree of final candidates.
  - b. **Employment references and past performance:** Check and document at least three of the relevant references listed on the application or resume. Verify work dates, job titles, work experience and performance of candidates.
  - c. **Professional license or certifications:** If a position requires a license or certification(s), such as a licensed practical nurse, contact the responsible licensing board (local or national) to verify and document that the candidate has a current and valid license or include this in your background review request.
4. **Initiation of Post-Offer Background Review Process:** Once a finalist is selected, the hiring department will forward to Human Resource Services a completed permission to offer, Employment Background Review Request Form, a copy of the a Background Check Release Form, pertinent application materials, and Sensitive Duties Checklist. The Office of Human Resource Services will work with the hiring department to coordinate the appropriate background reviews.
5. **HRS Coordination with NMSU's Vendor:** The Office of Human Resource Services will coordinate requests to external vendors for the applicable background review checks and will note on the Employment Authorization Form the date the authorization was received and the date the request was made to external vendors. The Office of Human Resource Services will review all background review reports received.
6. **Non-Adverse Information Discovery:** If background review reports are non-adverse, the Office of Human Resource Services will notify the hiring department that the offer may be finalized or, if the individual is currently working, that the background check has been successfully completed and the hiring process is finalized.
7. **Adverse Information Discovery:** If the background review reports produce any information that might be considered as a cause for an adverse employment action, the Office of Human Resource Services will work with the hiring department, appropriate dean/vp and Office of the General Counsel to evaluate the value of the information against the total past employment record and future employment potential. These parties will assess the relevance of the information to job duties, the date of the offense(s), the nature of the offense(s), and the accuracy of the information the individual provided on the employment application. If consensus cannot be reached, the executive vice president and provost (or designee) will make the final decision.
8. **Pre-Adverse Action Notice Process:** If the information is deemed relevant and prompts the university to consider taking adverse employment action (*i.e.*, denying employment, reassignment, or termination), the Office of Human Resource Services, in compliance with Fair Credit Reporting Act (FCRA), is required to forward a New Mexico Pre-Adverse Action Notice to the applicant that includes a copy of the individual's background report and a copy

of "A Summary of Your Rights Under the Fair Credit Reporting Act." The Pre-Adverse Action Notice will provide the candidate an opportunity to challenge the information provided in the report and take steps to correct inaccuracies or provide explanation. A final employment decision will not be made by the hiring department until all information is gathered and considered, or at such time as the applicant fails to respond as required. A minimum of five days for an applicant to refute, explain or correct the information is required.

- a. Notice to Applicant: The Adverse Action Notice forwarded to the applicant must include:
    - i. The name, address, and phone number of the reporting agency.
    - ii. A statement that the agency supplying the report did not make the decision to take the adverse action and cannot give specific reasons for it; and a notice of the individual's right to dispute the accuracy or completeness of any information the agency furnished, and the right to receive a free additional consumer report from the agency upon request within 60 days, and to dispute with the reporting agency the accuracy or completeness of any information in a consumer report furnished by the agency.
9. Retention of Records: The Office of Human Resource Services will manage and retain employment background review information. Information collected on successful applicants will be stored separately from the official employee files. Information collected on unsuccessful applicants will be stored with the candidates' application materials and retained for three years. Documents related to employment background review information collected by hiring departments will be filed and maintained in the departments and destroyed three years after rejection for unsuccessful candidates or three years after termination or retirement for successful candidates.
10. Coordination Required: All hiring departments should contact the Office of Human Resource Services for further assistance if information obtained from a consumer report is to be used to take adverse action against a candidate or employee.

#### **NMSU BACKGROUND REVIEW - SENSITIVE DUTIES CHECKLIST**

New Mexico State University requires a background review on graduate assistants, teaching assistants, post doctoral appointees and other temporary employees, student employees, volunteers and affiliates that have significant responsibilities listed at [Sensitive Duties Checklist](#):

#### **4.30.10**

**Hiring - Definitions** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13][Amendment recommended by Administrative Council 03.11.14; approved by Board of Regents 04.03.14]*

- A. Purpose: To define the NMSU employment categories for regular and non-regular faculty appointments and for regular and non-regular staff employment.
- B. Scope: This policy applies throughout the NMSU system.
- C. Policy Administrator: The Office of Human Resource Services will administer this policy in consultation with the Office of the Executive Vice-President and Provost.
- D. Academic Appointments (Las Cruces Campus and Community Colleges): Academic appointments are extended to members of the faculty, administrators of academic programs, and individuals appointed to faculty ranks in the cooperative extension service, at the community colleges, and in the university library. Academic appointments are either regular or non-regular as defined below. Exceptions for extenuating circumstances must be approved by the Office of the Executive Vice President and Provost, with consultation from the Assistant Vice President for Human Resources or designee. Additional information regarding faculty hiring can be found in Policy 5.15 Appointments.
  1. Regular Academic Appointment:

- a. Definition: A regular academic appointment is a status for individuals hired in a 9-month or 12-month academic position with no predetermined appointment termination date.
  - b. FLSA Status: Exempt
  - c. FTE: A .5 FTE and not to exceed 1.0 FTE.
  - d. Appointment Period: Undefined, no predetermined termination date.
  - e. Multiple Jobs: Employees hired into regular faculty appointments are only eligible for simultaneous NMSU employment if all jobs are offered in compliance with other university policies and have a total combined FTE not to exceed 1.5.
  - f. Eligibility for Benefits: As allowed by [NMSU Policy, Chapter 7 Employee Benefits](#).
2. Non-Regular Faculty Appointments:
- a. Temporary Faculty Appointments
    - i. Definition: Temporary faculty appointment is a status for individuals hired for a predetermined length of time and may have a title rank of College Instructor, College Asst Prof, College Assc Prof, or College Prof as specified at the time of employment.
    - ii. FLSA Status: Exempt
    - iii. FTE: Not to exceed .74 FTE.
    - iv. Appointment Period: Not to exceed one (1) year but may be hired for a semester, academic year, or fiscal year. The department is authorized to continue to re-hire individuals as a new temporary appointment in compliance with other university policies; however, there shall be no entitlement or expectation of continued employment beyond the existing appointment period.
    - v. Multiple Jobs: Employees hired as temporary faculty may be hired into an appropriate category of non-regular employment simultaneously provided total combined job FTE does not exceed .74 and is in compliance with Policy [5.15.40](#).
    - vi. Eligibility for Benefits: As allowed by [NMSU Policy, Chapter 7 Employee Benefits](#).
  - b. Term Faculty Appointments
    - i. Definition: Term faculty appointment is a benefit eligible status for individuals hired for a predetermined length of time and may include the title rank of College Instructor, College Asst Prof, College Assc Prof, or College Prof as specified in the written offer letter at the time of hire.
    - ii. FLSA Status: Exempt
    - iii. FTE: Not less than .75 FTE and not to exceed 1.0 FTE
    - iv. Appointment Period: The appointment period is not less than six (6) months and may not exceed a total of two (2) consecutive years at which time the employee shall be required to have a 26-week break in NMSU employment. There is no entitlement or expectation of continued employment beyond the appointment period.
    - v. Multiple Jobs: Employees hired as term faculty may be hired into an appropriate category of non-regular employment simultaneously provided total combined job FTE does not exceed 1.0.
    - vi. Eligibility for Benefits: as allowed by [NMSU Policy, Chapter 7 Employee Benefits](#).
  - c. Advertising is optional for non-regular positions; however, faculty in non-regular positions may not be hired into a regular employment position without a competitive recruitment process.
  - d. Rights for Non-Regular Faculty Positions:
    - i. Grievance Rights for Non-Regular Faculty Positions: *see* Policies [3.25](#), [4.05.50](#) and [5.47](#)
    - ii. Not eligible for annual salary increases, promotion, transfer, retention, counter offers, etc.
- E. [Staff Employment Categories](#) (Las Cruces Campus and Community Colleges): Staff employment opportunities are extended to non-faculty and are either regular or non-regular employment, as defined below. Exceptions for extenuating circumstances must be approved by the Assistant Vice President for Human Resources or designee.

1. Regular Staff (Non-Faculty) Employment:
  - a. Definition: Regular staff employment is a status for an individual hired with no predetermined employment termination date.
  - b. FLSA Status: Employment within this category may be either exempt or nonexempt.
  - c. FTE: A minimum .5 FTE and not to exceed 1.0 FTE.
  - d. Employment Period: Undefined, no predetermined termination date.
  - e. Multiple Jobs: Individuals hired with a regular employment status are only eligible for simultaneous NMSU employment if all jobs have a total combined FTE not to exceed 1.5.
  - f. Eligibility for Benefits: As allowed by NMSU Policy, Chapter 7 Employee Benefits.
2. Non-Regular Staff (Non-Faculty) Employment:
  - a. Temporary Staff Employment
    - i. Definition: Temporary staff employment is a status for individuals hired for short or long-term employment periods usually to meet general operating requirements with a pre-determined end date that is specified at the time of hire.
    - ii. FLSA Status: All employment within this category will be based on either an exempt or nonexempt classification title and will be compensated on an hourly basis.
    - iii. FTE: Not to exceed .74 FTE. FTE should reflect average hours to be worked during the employment period and should not exceed the average of 29 hours per week.
    - iv. Employment Period: The employment period is a maximum of one (1) year; however, regardless of when initiated. The department is authorized to continue to re-hire the individual in temporary employment; however, there shall be no entitlement or expectation of continued employment beyond the existing employment period.
    - v. Multiple Jobs: Employees hired as temporary staff may be hired into another appropriate category of non-regular employment simultaneously provided total combined job FTE does not exceed .74.
    - vi. Eligibility for Benefits: As allowed by NMSU Policy, Chapter 7 Employee Benefits.
  - b. Seasonal Staff Employment
    - i. Definition: Seasonal staff employment is short-term employment performed on a seasonal basis where, ordinarily, the employment pertains to or is exclusively performed during certain seasons or certain periods of the year. Seasonal work from its nature may not be continuous or carried on throughout the year. Seasonal employees are typically hired to support an annual or semi-annual event or to work during a specific agricultural growing season.
    - ii. FLSA Status: All employment within this category will be based on either an exempt or nonexempt classification title and will be compensated on an hourly basis.
    - iii. FTE: Not to exceed 1.0 FTE.
    - iv. Employment Period: The employment period is a maximum of three (3) consecutive months. The individual is not eligible for rehire into any temporary or other non-benefit eligible position until there has been a break of employment greater than the current/previous employment period.
    - v. Multiple Jobs: Employees hired as seasonal staff may not be hired into another category of non-regular employment simultaneously.
    - vi. Eligibility for Benefits: As allowed by NMSU Policy, Chapter 7 Employee Benefits.
  - c. Term Staff Employment
    - i. Definition: Term staff employment is a benefit eligible status for individuals hired for a predetermined length of time specified at the time of hire.
    - ii. FLSA Status: Nonexempt level classifications compensated hourly or exempt level classifications compensated professional salaried.
    - iii. FTE: Not less than .75 FTE and not to exceed 1.0 FTE.

- iv. **Employment Period:** The employment period is not less than six (6) months and may not exceed a total of two (2) consecutive years at which time the employee shall be required to have a 26-week break in NMSU employment. There is no entitlement or expectation of continued employment beyond the employment period.
  - v. **Multiple Jobs:** Employees hired as term employment staff may be hired into another appropriate non-regular employment category simultaneously provided total combined job FTE does not exceed 1.0.
  - vi. **Eligibility for Benefits:** As allowed by NMSU Policy, Chapter 7 Employee Benefits.
- d. Advertising is optional for non-regular positions; however, employees in non-regular positions may not be hired into a regular employment position without a competitive recruitment process.
  - e. **Rights for Non-Regular Staff Positions:**
    - i. No grievance rights. This does not apply for complaints involving any type of unlawful discrimination, which shall be filed with the NMSU Office of Institutional Equity and shall follow NMSU Policy.
    - ii. Not eligible for annual salary increases, in-range adjustments, reclassification, promotion, transfer, retention, or counter offers, etc.

#### **4.30.20 Hiring of Individuals Named in Contract (Faculty and Exempt Staff Only)**

Under certain conditions it may be necessary for an employing department to hire an individual named in a grant or contract. With prior approval of the Office of Human Resource Services and the executive vice president and provost, a faculty or exempt staff member may be hired with full benefits under the following conditions:

- A. The individual is named as principal or co-principal investigator of the grant or contract.
- B. The individual named in the grant or contract possesses unique or highly specialized qualifications required by the granting agency in order to carry out the responsibilities required of the grant or contract.
- C. The granting agency has approved the award of the grant or contract subject to the appointment of the particular individual named.
- D. The university is awarded or assumes the oversight of an existing external workforce. Under these conditions, waiver of the advertising requirements for regular employment must be requested in writing to the Office of Human Resource Services and the Office of the Executive Vice President and Provost. Employment of an individual named in a grant or contract is contingent upon funding of that specific grant or contract and is not transferable to another source of funding.

#### **4.30.30 Ineligibility for Rehire [Former Policy 8.40.1] [Policy adopted by Administrative Council 06.10.08; ratified by Board of Regents 07.15.08][Amendment recommended by Administrative Council 03.13.12; approved by Board of Regents 05.11.12]**

- A. Purpose: To facilitate a safe and secure academic and employment environment in which faculty, staff and students may be effective and successful in their learning and working experiences at NMSU.
- B. Scope: This policy applies to all staff, faculty and student employees throughout the NMSU System.
- C. Policy Administrator: The various NMSU entities will assist the Office of Human Resource Services with the administration and enforcement of this policy.
- D. Definitions: For purposes of this policy, the following definitions apply:
  - 1. NMSU Entity: The term "NMSU entity" is a general term which may refer to a college,

department or any other administrative unit within any NMSU campus. The private not-for-profit corporate entities recognized to be affiliated with NMSU for fundraising, research, public service, or student activity purposes, while subject to certain NMSU policies and procedures to maintain recognized status, are not considered “NMSU” entities as used in the *NMSU Policy Manual*.

- E. Policy Statement: Former NMSU employees shall not be rehired by any NMSU entity, if their separation from employment was based on serious misconduct as determined jointly by the vice president, dean, or equivalent, with the concurrence of the Office of Employee and Management Services. This includes situations where the separating employee resigns or retires prior to or during investigative or administrative action, which once finalized, substantiate such serious misconduct.
- F. Procedures:
1. **Employee Notification**: Employees deemed to be ineligible for rehire pursuant to this policy will be notified of such determination in writing by the Office of Employee and Management Services either: 1) during an exit interview process, 2) in a notification letter following disciplinary termination, or 3) by other written notification mailed to the employee’s last known address.
  2. **Contesting Decision of Ineligibility**: The former employee may contest a determination of ineligibility by submitting a letter within ten (10) working days from receipt of the notification. The letter shall be addressed to HR Services for review by either the assistant vice president for human resource services or designee for staff or student employees or the executive vice president and provost or designee for faculty. The former employee shall include all information the employee wishes the university to review when reconsidering the ineligibility determination.
  3. **Final Decision**: In consultation with General Counsel, the assistant vice president for human resource services or designee or the executive vice president and provost or designee, as appropriate, will work to provide the university’s final decision to the former employee in writing within thirty (30) working days from receipt of the request for reconsideration. The decision will uphold, reverse or modify the original determination of ineligibility.

#### **4.40 Layoff/Financial Exigency** (*See also* Policy [8.45-Layoffs and Recall](#))

- A. University-Wide Exigency: Should the president believe that the university is threatened by a financial crisis which may justify a declaration of a university wide financial exigency, the president will convene and ask the advice of the Emergency Finance Committee. The composition of this committee will be:
- Senior Vice president for Administration and Finance
  - Associate vice president budget/controller
  - Faculty member appointed by head of Accounting and Business Computer Systems
  - Faculty member appointed by head of Agricultural Economics and Agricultural Business
  - Faculty Senate representative to Budget Committee
  - Chair of the Faculty Senate

The Emergency Finance Committee will elect its own chair. The Emergency Finance Committee will examine the financial records of the university, explore the options available for preventing an exigency and, if necessary, recommend the declaration of a university wide financial exigency to the president. After receiving the advice of the Emergency Finance Committee, the president will consult with the Board of Regents. The board, after reviewing the Emergency Finance Committee recommendations, will decide whether to declare a financial exigency. (*See also* [Faculty Senate Review of Proposed Program Elimination or Reorganization](#).) Once the board declares a university wide financial exigency, the president will so inform the university community, and will convene and ask the advice of the Emergency Action Committee. The composition of this



Emergency Action Committee will be:

- Chair (or designee) from each of the following Faculty Senate standing committees: Long-Range Planning, Faculty Affairs, Scholastic Affairs, University Affairs
- Chair (or designee) from the NMSU Employee Council
- Chair and Vice Chair (or designees) from ASNMSU
- Chair (or designee) from the Research Council
- Senior member (or designee) from Group III of the NMSU Employee Council
- Senior member (or designee) from Group IV of the NMSU Employee Council
- Nonvoting *ex officio* members will be:
  - Executive Vice President and Provost
  - Senior Vice President for Administration and Finance
  - Senior Vice President for External Relations and Chief of Staff
  - Associate Provost for Academic Affairs and Community Colleges
  - Chair of the Faculty Senate
  - Assistant Vice President for Human Resource Services

The Emergency Action Committee will elect its own chair. Once convened for an exigency, the voting committee members will continue to serve until the exigency has ended, even though their original office may have been refilled. The president will present the financial records and supporting data for the exigency to the Emergency Action Committee and will ask the managers of appropriate administrative units to prepare plans for achieving their share of the necessary reductions in expenditures. These plans should include a detailed discussion of the probable effects of the actions proposed. The president will present these plans to the Emergency Action Committee and seek the advice of the Emergency Action Committee before making a decision on future action. The Emergency Action Committee will analyze these data and plans, formulate detailed recommendations and report these to the president. After receiving the final recommendations of the Emergency Action Committee, the president will consult with the board. The board, after reviewing the Emergency Action Committee recommendations, will determine the procedures to be followed to end the financial exigency. The Emergency Action Committee will also issue periodic reports, and copies of a synopsis of its final recommendations, including estimates of their effects, to the Faculty Senate, the NMSU Employee Council, the Research Council and ASNMSU.

- B. Non I&G Unit Exigency: Individual units within the general I & G budget cannot be declared in financial exigency separate from a university wide exigency. However, should the president of the university believe that a financial exigency threatens any individual unit funded by state appropriated line items outside of the main campus I & G, the president will ask the advice of the unit manager and will convene the Emergency Finance Committee and seek its advice. After receiving the advice of the Emergency Finance Committee, the president will consult with the board. The board, after receiving the committee report and the recommendation of the president, will decide whether to declare a financial exigency. If the board declares a unit financial exigency, the president will convene a Unit Emergency Action Committee. The size of each Unit Emergency Action Committee will be determined by the president, but it will be large enough to provide adequate representation for the personnel employed within the unit. Voting members of each Unit Emergency Action Committee shall be members of the unit, appointed by either the Committee on Committees of the Faculty Senate or the NMSU Employee Council, depending on the primary functions of the unit, as determined by the president. In addition, the senior vice president for administration and finance, the chair of the Faculty Senate, the director of the human resource services, or their designees and others as may be appointed by the president, shall serve as nonvoting *ex officio* members. The Unit Emergency Action Committee shall elect its own chair. The voting members of the Unit Emergency Action Committee shall continue to serve until the exigency has ended. Should a voting member leave the university community, that member will be replaced by appointment by the original appointing body. The unit manager will present a plan for meeting the exigency to the president and the Unit Emergency Action Committee. The Unit Emergency Action Committee will analyze the plan, estimate its possible effects, formulate recommendations, and report to the president and the unit manager. If the president believes that the plan will have a substantial impact on the university as a whole, the president will convene the Emergency Finance Committee and ask its advice on declaration of a university wide financial

exigency. After receiving the final recommendations of the Unit Emergency Action Committee, the president will consult with the board. The board, after reviewing the Unit Emergency Action Committee recommendations, will determine the procedures to be followed to end the financial exigency.

- C. Termination of a Financial Exigency: It is the joint responsibility of the president and the Emergency Finance Committee to monitor closely the university's financial situation throughout the duration of the financial exigency. It is the responsibility of the president to inform the university community on a regular basis of the university's financial situation. If the president in consultation with the Emergency Finance Committee should determine that a financial crisis no longer exists, a recommendation that the financial exigency be terminated shall be submitted by the president to the Board of Regents. A state of financial exigency will cease to exist upon its termination by the board. The president will so inform the university community of the decision of the board.
- D. Minor Financial Shortfall: In a period of minor financial shortfall in which no financial exigency has been declared, the university may respond on an ad hoc basis the first year. If it seems the financial shortfall might last a second year, the president should consider convening the Emergency Finance Committee during the first year. In such a case, whether or not a financial exigency is declared, planning should begin well before the end of the first year that will entail use of program review information to make decisions for program reductions that could be partially implemented during the second year. If minor financial shortfall continues for 2 or more years, increasing reliance should be placed on planned program reductions.
- E. Policies for Declared Exigency and Minor Financial Shortfall: The following policies will guide the Emergency Action Committee, the unit managers, and the president in their decisions:
- F. General: The primary consideration behind all decisions will be to maintain viable, quality, and logically defensible programs in keeping with the land-grant mission of the university. An attempt will be made to maintain a core university consisting of the historic components necessary for a broad-based liberal education. An appropriate balance among faculty, administrative and support personnel will be maintained. An appropriate balance among teaching, research, and service functions of the university will be maintained. Financially self-supporting units will generally be given priority status.
- G. Human Resources Policies: Prior to any layoffs, personnel will be asked to indicate their desires with respect to early retirement, part-time employment, voluntary resignation, and intra-university transfer. The university shall, to the extent the Board of Regents determines practicable, make a good faith effort to relocate any employee subject to layoff in a suitable vacant position within the university for which that employee is fully qualified. This good faith effort to relocate an employee need not extend beyond the effective date of the layoff. Salary reductions should not be used as a means of meeting financial exigency unless other options have been considered by the board. When programmatic decisions have been made and faculty within a given program are to be laid off, where the board so determines, and consistent with program need, nontenure-track faculty will receive lowest priority, followed by tenure-track faculty, then by tenured faculty. Within each of these categories, layoffs will be based on program need, seniority, and performance. Once areas have been identified in which staff employees are at risk because of financial exigency, probationary employees will be considered for layoff first. Other layoffs of staff, if necessary, will be based upon seniority and performance within those job classifications or job titles identified. Specific plans for any area affected by financial exigency will be prepared by the unit manager in accordance with the established university guidelines before any actions are taken. Employees who are to be laid off may appeal. (*See 4.05 Appeals/Grievances*) Following layoffs due to financial exigency, if programmatically defensible, former employees will be considered for rehire prior to new hires for a period to be set by the university administration.
- H. Faculty Senate Review of Proposed Program Elimination or Reorganization: For the purposes of this policy, a program is defined as a department, an undergraduate major, a graduate degree program, or any other administrative unit composed of or affecting academic personnel, personnel on continuous contract, or tenure-track faculty. A possible result of program review or financial

exigency may be the proposal to reorganize and/or eliminate one or more programs. The time constraints imposed upon the implementation of program reorganization or elimination will therefore vary. In this context, program reorganization is meant to involve actions more significant than the transfer or elimination of one or very few positions. Consistent with policies regarding the approval processes for creation of new academic programs or name changes (and considering such time constraints as may be imposed by financial exigency); an opportunity shall be provided for the Faculty Senate to hear the arguments for and/or against proposed program elimination or reorganization. The Faculty Senate will then register a vote of agreement or disagreement to the proposed program elimination or reorganization, and report this result (with rationale and minority reports, if any) to the executive vice president and provost, and the Executive Review Board. After receiving and reviewing all relevant information and reports, the executive vice president and provost will render a decision with respect to program elimination or reorganization, which will be final. Individual employees affected by program elimination or reorganization may appeal decisions concerning their positions according to the relevant policies of this manual.

#### **4.50 Outside Employment and/or Activities** (*See also* Chapter 3 Codes of Conduct - Conflict of Interest)

Employees may not engage in outside business activities while on duty. Violation of this provision may be grounds for involuntary termination. Employees holding a part or full-time second job should not allow such employment to interfere with their performance or attendance. If the supervisor can reasonably demonstrate that performance or attendance problems are resulting from outside employment, the supervisor may ask the employee to terminate such employment. If the employee refuses to do so, the employee may be terminated.

#### **4.60 Public Affairs Participation** (*See also* Chapter 3 Codes of Conduct - Conflict of Interest)

The policy of the Board of Regents is that faculty and staff have the same citizens' rights as other people. However, employees seeking elective office or serving in an elective office must not allow campaign and service activities to interfere with university responsibilities. Employees elected to the state legislature will be placed on leave without pay during the term of such office. Any possible conflict of interest shall be reported by the employee or by any other concerned employee to the administration through the appropriate channels. Unresolved issues shall be referred to the appropriate Faculty Grievance Review Board. It shall be the responsibility of the employee to report appointment or election to public bodies and/or conflict of interest situations. Such reports shall be sent to the Office of the President. The written notification shall include the type of employment or type of office, the commencing and terminating dates or period of service, and, when applicable, the nature of the conflict of interest situation. The president has discretion to approve requests to serve on international, national, state, and local committees and commissions.

#### **4.65 Security Clearance (Department of Defense)** [*Amendment adopted by Administrative Council 04.13.10; ratified by Board of Regents 05.07.10*][*Amendment approved by Board of Regents 04.08.11*][*Amendment approved by Board of Regents 10.10.11*][*Amendment approved by Board of Regents 06.21.12*][*Amendment approved by Board of Regents 10.21.13*]

Those persons occupying the following positions at New Mexico State University shall be known as the Key Management Personnel Group for safeguarding classified information. They shall implement the provisions of the National Industrial Security Program Operating Manual (NISPOM)

- President
- Executive Vice President and Provost
- Vice President for Research
- Director of the Physical Science Laboratory
- Senior Security Manager
- Facility Security Officer

The members of the Key Management Personnel Group have been processed, or will be processed for a personnel security clearance for access to classified information, to the level of the Facility Clearance granted to this institution, as provided for in the NISPOM. Individuals will be denied access to classified information until such time that their security clearances are granted.

The Key Management Personnel Group is hereby delegated all of the board's duties and responsibilities pertaining to the protection of classified information under classified contracts awarded to New Mexico State University. In addition, the Key Management Personnel Group shall have the authority and responsibility for the negotiation, execution, and administration of the contracts, consistent with NMSU policy and state and federal law.

The individual members of the Board of Regents shall not require, shall not have, and will be effectively excluded from access to all national security information disclosed to NMSU. The duties and responsibilities of the Board of Regents as a policy-making body do not require access to classified contracts awarded to NMSU, and therefore need not be processed for a personnel security clearance. The foregoing will not be modified, amended or rescinded without prior notice to the United States Government through the cognizant security office.

#### **4.70 Supplemental Employment/Compensation**

- A. Policy Permitting Supplemental Compensation: Supplemental compensation may be paid to faculty and staff acting in the capacity of a professional/faculty employee for an additional assignment performed during normal university working hours, providing that assignment is (1) clearly outside the scope of that person's regular teaching, research and service responsibilities; and (2) does not interfere with those responsibilities. Such time will be counted against a faculty member's allowed consulting time and must be approved in advance by all cognizant administrators, including the executive vice president and provost. Additional compensation is submitted for approval by the completion of an E-Hire Form. This compensation may be authorized in addition to regular salary for those employees exempt from overtime provisions of the Fair Labor Standards Act and is used to authorize payment for consulting, workshops, etc. Supplemental compensation will not be paid solely on the basis that the salary has been budgeted into the agreement.
- B. Supplemental Employment Guidelines:
1. Applicable only to faculty, or those staff acting in the capacity of a professional/faculty employee.
  2. Applicable only to employees currently employed during the period when the supplemental compensation was earned.
  3. The rate of pay should not exceed the employee's current rate of pay in the employee's primary job assignment. Under those special circumstances where a request exceeds the employee's rate of pay, a special memo of justification approved by the Office of the Executive Vice President and Provost must be attached to the form. Hours worked (a) should not exceed a reasonable percentage of full-time hours (Any percentage greater than 50 percent must be justified in an attached memo); (b) must be properly documented per grant/contract requirements.
  4. Only in unusual cases may an exempt staff and faculty member be paid to work on a grant or contract, as consultants or otherwise, if that effort results in payment in excess of 100 percent FTE unless specifically provided for, as supplemental compensation, in the agreement or approved in writing by the sponsoring agency. For federal grants and contracts, approval will normally be granted only if two conditions exist:
    - a. The work is across departmental lines or involves a separate or remote location; and
    - b. The work performed by the employee is in addition to the regular departmental workload.

## **Chapter 5**

### **Human Resources-Faculty Policies**

- 5.05 Academic Freedom
- 5.06 Administrative Reviews
  - 5.06.10 Administrative Review of Deans (Applies Also to Community College Executive Officers)
  - 5.06.20 Administrative Review of Associate Deans and Community College Academic Officers
  - 5.06.30 Administrative Review of Department Heads or Community College Equivalent and Community College Division Deans or Heads
  - 5.06.40 Administrative Review of Directors of an Academic School, Center or Program
- 5.15 Appointments
  - 5.15.10 Appointments - Definitions of Faculty Appointments
  - 5.15.20 Appointments - Graduate Faculty
  - 5.15.30 Appointments - Joint
  - 5.15.40 Appointments - Nontenure-Track
  - 5.15.50 Appointments - Postdoctoral
  - 5.15.60 Appointments - Qualifications (Applies Also to Community College Executive Officers)
- 5.20 Assignments - General
  - 5.20.10 Assignments - International
  - 5.20.20 Assignments - Teaching Load
- 5.25 Compensation
  - 5.25.10 Compensation - Continuing Education Courses
  - 5.25.20 Compensation - Department Heads
  - 5.25.30 Compensation - Distance Education/College of Extended Learning
  - 5.25.40 Compensation - Summer
  - 5.25.50 Compensation - Employee Recognition Program
- 5.30 Consulting
- 5.35 Deans
- 5.45 Department Heads
  - 5.45.10 Department Heads - Leaves
  - 5.45.20 Department Heads - Responsibilities
  - 5.45.30 Department Heads - Teaching Requirements
- 5.47 Faculty Discipline and Appeal Processes
- 5.55 Emeritus Status
- 5.60 Endowed Chairs and Professorships
- 5.65 Faculty Exchange
- 5.84 Office Hours
- 5.86 Performance Evaluation

## 5.87 Post-Tenure Review

- 5.87.1 Introduction
- 5.87.2 Annual Reviews
- 5.87.3 More Complete Post-Tenure Reviews
- 5.87.4 Enhancement Programs
- 5.87.5 Frequency of Review
- 5.87.6 Persistent Teaching Deficiencies
- 5.87.7 Reporting

## 5.90 Promotion and Tenure

- 5.90.1 Introduction
- 5.90.2 Glossary
- 5.90.3 Guiding Principles
  - 5.90.3.1 Faculty Participation
  - 5.90.3.2 Transparency of Process
    - 5.90.3.2.1 Conflict of Interest
  - 5.90.3.3 Performance Evaluation
  - 5.90.3.4 Allocation of Effort
  - 5.90.3.5 Tenure, Promotion, and the Professorial Ranks
  - 5.90.3.6 Flexibility in Tenure Track
    - 5.90.3.6.1 Credit for Prior Service
    - 5.90.3.6.2 Extension of the Probationary Period
    - 5.90.3.6.3 Reduction of the Probationary Period
    - 5.90.3.6.4 Part-Time Tenure-track
    - 5.90.3.6.5 Joint Appointment (with Dual Primary Responsibilities)
  - 5.90.3.7 Mid-probationary Review
  - 5.90.3.8 Community Colleges, Library, and College Faculty
    - 5.90.3.8.1 Community Colleges
    - 5.90.3.8.2 Library
    - 5.90.3.8.3 College Faculty
- 5.90.4 Criteria for Promotion and Tenure
  - 5.90.4.1 Teaching and Advising
    - 5.90.4.1.1 Evaluation of Teaching
    - 5.90.4.1.2 Evaluation of Advising
  - 5.90.4.2 Scholarship and Creative Activity
    - 5.90.4.2.1 Evaluation of Scholarship and Creative Activity
  - 5.90.4.3 Extension and Outreach
    - 5.90.4.3.1 Evaluation of Extension and Outreach
  - 5.90.4.4 Service
    - 5.90.4.4.1 Evaluation of Service
  - 5.90.4.5 Leadership
    - 5.90.4.5.1 Evaluation of Leadership
- 5.90.5 Policies
  - 5.90.5.1 Performance Evaluation
  - 5.90.5.2 Implementation of the Promotion and Tenure Process
  - 5.90.5.3 Roles and Responsibilities during the Promotion and Tenure Process
  - 5.90.5.4 Common Elements
  - 5.90.5.5 Portfolio Preparation
    - 5.90.5.5.1 Documentation file
  - 5.90.5.6 Withdrawal Rights and Procedures
  - 5.90.5.7 Outcomes
  - 5.90.5.8 Appeals

5.90.5.9 University Timeline for Promotion and Tenure

5.90.6 Post Tenure Review

5.90.7 Examples

5.92 Reassignment of Administrators/Department Heads

5.94 Research

5.94.10 Addressing Allegations of Misconduct in Research

5.94.20 Intellectual Property and Patents

5.94.30 Research Oversight and Risk Management

5.94.40 Responsibilities and Accountability for Sponsored Projects

5.96 Searches for Administrators

5.98 Tenure Track and Tenure (Continuous Contract) Amendment to Nonrenewal of Contracts

## CHAPTER 5- HUMAN RESOURCES-FACULTY POLICIES

### 5.05 Academic Freedom

The quest for truth often leads the scholar into difficult and untried territory. As a dealer in ideas, the teacher or researcher comes often in conflict with prevailing belief of large segments of society and even with those of colleagues. Yet, because of the practical benefits of scholarly activity, it is profoundly important that this diversity of ideas be not only tolerated, but encouraged. The right to support unorthodox positions, arrived at through scholarly investigation, free from coercion or reprisals, is fundamental to the continued progress of society. The right to pursue unpopular lines of inquiry and express new and unaccepted ideas falls within the framework of a special set of guarantees called academic freedom. In granting these guarantees, society expresses a willingness to risk the consequences because history confirms that the risk is outweighed by the benefits stemming from such a policy. Scholars are entitled to full freedom in the conduct of their research and publication of the results, and full freedom in the classroom to discuss those topics in which they are professionally experts as determined by their credentials. The exercise of this freedom carries with it the burden of corollary responsibilities. Scholars must not knowingly misrepresent facts. They must be careful in their teaching not to introduce controversial matter bearing no relationship to their subjects. They must exercise appropriate restraint and guard against distortions and inaccuracies. Outside their academic roles, as private citizens, scholars have no special privileges. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. Institutions of higher education are conducted for the common good and not to further the interest of either the individual scholar or the institution as a whole. The Board of Regents recognizes that it is not possible to define, with any great precision, the limits of academic freedom in the complex world of ideas. The gray areas are practically endless and the final judgment of what is acceptable and reasonable must be left by society to the academic community itself. The scholar's own colleagues and institution must bear the brunt of public criticism, have the most to lose from withdrawal of public trust, and are, therefore, in the best position to balance the issues of academic freedom and responsibility.

### 5.06 Administrative Reviews

Each dean or community college executive officer is responsible for preparing, scheduling, delivering and retaining appropriate administrative reviews of associate deans, department heads, directors and their equivalent. In addition to annual performance evaluations, administrative reviews are scheduled to occur every few years to determine an incumbent's performance as an administrator. Administrative reviews are often coordinated by a third party (such as NMSU's Institutional Research) and may include written evaluation by both internal and external constituents.

#### 5.06.10 Administrative Review of Deans and Community College Presidents *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

##### A. Policy:

1. Academic deans and community college presidents are due to be reviewed within six months of the third anniversary of their first appointment to their appointment as academic administrator and every fifth anniversary thereafter, under the criteria prepared by their supervisor.
2. Reviews may be conducted at a shorter interval, at the discretion of the supervisor.
3. In exceptional circumstances, faculty or staff may petition the supervisor of the academic dean or community college president to conduct an administrative review outside of the normal review cycle.



B. Procedures:

1. Prior to each review, the supervisor will request a written and/or oral evaluation of the person(s) being reviewed from the faculty, staff and any other relevant constituencies.
2. The person under review may prepare and distribute a statement of professional accomplishments during the review period.
3. The appropriate supervisor will do the following:
  - a. Review and assess the information received.
  - b. Compile a summary report, redacting the sources of the information received.
  - c. Transmit and discuss the summary report with the academic administrator subject of the administrative review.
  - d. Discuss the summary report with the relevant faculty and staff.
  - e. For deans, transmit a copy of the summary report to the chair of the Faculty Senate.
  - f. Transmit a copy of the summary report to the president, when administrative review is not conducted by the president.

**5.06.20 Administrative Review of Associate Deans and Community College Academic Officers**

A. Policy:

1. Associate deans and community college academic officers will be reviewed within six months of the third anniversary of their first appointment to the position, and at least every five years thereafter, under the criteria prepared by their appropriate supervisor.
2. Reviews may be conducted at a shorter interval, at the discretion of the appropriate supervisor. In exceptional circumstances, faculty or staff may petition the appropriate supervisor to conduct an administrative review outside of the normal review cycle.
3. Prior to each review the appropriate supervisor will request a written evaluation of the associate dean or community college executive officer from each faculty and staff member in the unit and obtain any other pertinent input from relevant constituencies (either on campus or off campus).

B. Procedures: The appropriate supervisor will do the following:

1. evaluate the information
2. create a summary
3. conduct an evaluation session with the individual being evaluated
4. share the summary with the relevant faculty and staff
5. transmit a summary to the executive vice president and provost

**5.06.30.1 Administrative Review of Department Heads or Community College Equivalent and Community College Division Deans or Heads** *[Amended by Proposition 12-06/07 passed by Faculty Senate 02.01.07; signed by president 03.07.07; ratified by Board of Regents 10.22.07]*

A. Policy:

1. Department heads or equivalent and community college division deans or division heads will be reviewed by the appropriate supervisor within six months of the third anniversary of their

first appointment to the position, and at least every five years thereafter, under the criteria prepared by their appropriate supervisor.

2. Reviews may be conducted at a shorter interval, at the discretion of the appropriate supervisor.
3. In exceptional circumstances, faculty or staff may petition the appropriate supervisor to conduct an administrative review outside of the normal review cycle.

B. Procedures:

1. Prior to each review, the appropriate supervisor will request a written evaluation of the individual being reviewed from each faculty and staff member in the unit and obtain any other pertinent input from relevant constituencies (either on campus or off campus).
2. The appropriate supervisor will do the following:
  - a. evaluate the information
  - b. create a summary
  - c. conduct an evaluation session with the individual being evaluated
  - d. share the summary with the relevant faculty and staff
  - e. transmit a summary to the executive vice president and provost or community college executive officer

#### **5.06.40 Administrative Review of Directors of Academic School, Center or Program**

A. Policy:

1. The director of an academic school is reviewed using the same process as used for administrative reviews of department heads or equivalent.
2. Directors of centers and programs are reviewed by their respective supervisors no later than within six months of the third anniversary of their first appointment to the position and at least every five years thereafter, under the criteria prepared by their appropriate supervisor.
3. Reviews may be conducted at a shorter interval, at the discretion of the appropriate supervisor.
4. In exceptional circumstances, faculty or staff may petition the appropriate supervisor to conduct an administrative review outside of the normal review cycle.

B. Procedures:

1. Prior to each review the appropriate supervisor will request a written evaluation of the individual being reviewed from each faculty and staff member in the unit and obtain any other pertinent input from relevant constituencies (either on campus or off campus).
2. The appropriate supervisor will do the following:
  - a. evaluate the information
  - b. create a summary
  - c. conduct an evaluation session with the individual being evaluated
  - d. share the summary with the relevant faculty and staff
  - e. transmit a summary to the dean and executive vice president and provost

#### **5.15 Appointments** (*See also Policy 4.30, Hiring; [Search Committee Guidelines](#)*)

### **5.15.10 Appointments - Definitions of Faculty Appointments** (See Policy [4.30.10-Hiring-Definitions](#))

### **5.15.20 Appointments - Graduate Faculty**

The ultimate responsibility for the quality of the graduate program resides in the graduate faculty, individual departments offering graduate work, and the cognizant dean. The dean of the Graduate School is responsible for the administration of the Graduate School's policies. Staff members qualified to perform the functions of the graduate faculty are nominated by the heads of their departments for approval by the cognizant dean and the dean of the Graduate School. The Graduate Council shall maintain a standing committee on Graduate Faculty Appointments comprised of three senior graduate faculty currently serving on the Graduate Council. The standing committee on Graduate Faculty Appointments shall review and make recommendations to the dean of the Graduate School on appointment of faculty nominees to the graduate faculty. This standing committee on Graduate Faculty Appointments also shall review appointment criteria as needed. Approval will be granted in recognition of the staff member's active interest in graduate work as demonstrated by continual study, creative activity, and successful teaching. Appointment to the graduate faculty will normally require that the individual have an earned doctoral degree. The qualifications of each new member of the graduate faculty will be given comprehensive review by the department head, cognizant dean, and the dean of the Graduate School at the end of 3 years. The qualifications of each graduate faculty member will be reviewed every 3-5 years by the department head, cognizant dean, the Graduate Council standing committee on Graduate Faculty Appointments, and the dean of the Graduate School. Selection of instructors to teach courses at the 450-499 level is left to the department head and college dean; however, such persons must have at least a master's degree. Any exceptions to this policy must have prior written approval of the dean of the Graduate School. Graduate students may not assign grades to other graduate students in courses numbered above 450. Selection of individuals to teach courses numbered 500 and above is left to the department head and the college dean. The individual must have an earned doctorate, or a master's degree with extensive experience, and have evidence of creative activity. Any exceptions to this policy must have the prior written approval of the dean of the Graduate School. Members of the graduate faculty chair all graduate committees, direct master's theses, direct doctoral dissertations, teach 600-level courses, serve as representatives of the dean of the Graduate School, serve on educational specialists' exams, and serve on doctoral exams. Any exception to the above policy must be approved in writing by the dean of the Graduate School. Before an individual is appointed to the graduate faculty, evidence of creative activity, in addition to the doctoral dissertation, is required. In implementing this approach, the department heads, the deans and the dean of the Graduate School will review all members of the graduate faculty in their colleges and invoke the review clause on individuals not meeting the minimum requirements.

### **5.15.30 Appointments - Joint**

- A. Written Agreement: At the time of joint appointments, a written agreement is signed by the faculty member and administrative heads of the participating departments. The agreement entails the nature and extent of reciprocal commitments between the faculty member and each academic department. The agreement serves as a guide in the evaluation process and defines the role of all parties in that process.
- B. Role of the dean of the Graduate School: The dean of the Graduate School coordinates and ensures equity in the evaluation of joint appointees.
- C. Procedures:
  1. All joint faculty are assigned to one college for administrative purposes. This college is responsible for initiating all forms, but signatures of both deans and both department heads are required on all forms.
  2. A copy of the joint appointment agreement will accompany formal appointment papers forwarded to the executive vice president and provost for action.

3. A mutually agreed-upon statement of goals for the faculty member is prepared at the beginning of each annual evaluation period. These goals serve as the evaluation criteria for the period. The goals statement is arrived at by consultation between the faculty member and the department heads involved.
4. The faculty member submits duplicate statements of achievements (e.g., faculty evaluation forms) to the department heads at the end of the evaluation period.
5. The department heads, in consultation, prepare a single evaluation and recommendation to be forwarded to the appropriate dean or deans.
6. Recommendation at the college level is made in consultation with department heads and deans involved in the joint appointments.
7. The time periods for all steps in the evaluation process are the same as those set by the executive vice president and provost for all faculty.

**5.15.40 Appointments – Nontenure-Track** *[Amendment ratified by Board of Regents 10.07.07] [Proposition 14-08/09 passed by Faculty Senate 04.30.09; adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09][Amendment, waiving the limitations on retention of part time faculty through Spring 2011, adopted by Administrative Council 02.09.10; ratified by Board of Regents 07.20.10][Amendment, further extending the waiver of the limitations through Dec. 2012, recommended by Administrative Council 04.12.11; approved by Board of Regents 05.06.11][Proposition 07-12/13 passed by Faculty Senate 12.06.12; approved by Board of Regents 01.28.13][Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

Nontenure-track faculty will be employed to teach, do research, or perform other work assignments. They may be employed full-time or part-time, with regular or non-regular status. All appointments and renewals are subject to need, availability of funding and terms of appointment. The initial employment base period of a nontenure-track faculty member may be renewed depending on funding availability, needs of the employing unit, and the results of performance evaluations.

Persons in nontenure-track faculty positions may only be hired into tenure-track positions following a national search. In the event that they are hired into tenure-track positions, their service in nontenure-track positions shall not normally count toward tenure. (*See Policy 5.90 Promotion and Tenure*).

- A. **College Faculty:** The titles of college instructor, college assistant professor, college associate professor, and college professor are used for nontenure-track faculty hired primarily to teach courses for the university, although they may at times serve in an administrative or supervisory capacity or be assigned to research. They must have master's degrees or equivalent experience in the field but do not always have terminal degrees.

Regular College Faculty appointments are renewable annually for an unlimited time. Although employing units are not obligated to renew or to give a reason for nonrenewal of a college faculty contract, hiring departments are encouraged to promote an environment of stability by renewing contracts of college faculty when warranted by the need of the department and the performance of the faculty member. College faculty members shall be evaluated annually. Regular college faculty are eligible for salary increases and promotion to the next rank according to policies, procedures, and criteria set by the university and their colleges and departments. (*See Employment Base and Status below*).

College faculty are listed in the university catalogs under their assigned departments and are eligible for privileges accorded other faculty, such as ID cards, library privileges and faculty parking. They are eligible to apply for membership in the graduate faculty and, if accepted, supervise theses and dissertations while a member of the graduate faculty. College faculty are eligible to serve as principal investigators on grants and proposals. As provided for in the Faculty Senate Constitution, college faculty can serve on the Faculty Senate.

- B. Research Faculty: The titles of research assistant professor, research associate professor, and research professor are used for persons who are hired to engage in research activities and have qualifications similar to those held by tenure-track faculty of comparable ranks.

A clear statement of justification as to why it is in the university's best interest to grant research faculty status will be noted on the hiring forms by the department head and forwarded through the academic dean to the executive vice president and provost for each research faculty appointment. Salaries are normally contingent on external funding, though a department or college may fund the salary of a research faculty member from internal funds for a short time while external funds are being sought. Research faculty members are evaluated annually and are eligible for salary increases and promotion to the next rank according to policies, procedures, and criteria set by the university and their colleges and departments. Research appointments are renewable annually for an unlimited time provided funding is available and annual evaluations demonstrate acceptable job performance.

Research faculty are listed in the university catalogs under their assigned departments and are eligible for privileges accorded other faculty, such as ID cards, library privileges and faculty parking. They are eligible to apply for membership in the graduate faculty and, if accepted, supervise theses and dissertations or serve as the dean's representative while a member of the graduate faculty. Research faculty may serve as principal investigators on grant proposals. At the discretion of their department head or equivalent administrator, they may retain their research faculty status without pay while funding is being sought.

- C. Affiliated Faculty: When it is in the best interests of the university, individuals who are financially independent of the university may be associated with and provide support or services to one or more university programs without receiving monetary compensation (e.g., no salary, per-course or hourly pay provided). A clear statement of justification as to why it is in the university's best interest to grant affiliated faculty status will be noted on the hiring forms by the department head and forwarded through the academic dean to the executive vice president and provost for each affiliated faculty appointment. The term (not to exceed 12 months), rank, and other conditions and expectations of these honorary appointments will be determined for each individual appointee. The criteria upon which the determinations are based vary depending upon the background of the appointee, the nature of the discipline represented, and the needs of the university. In general, persons appointed should have qualifications commensurate with the corresponding rank of tenure-track faculty appointees. An appointment end date no later than 12 months from date of hire must be identified at the time of appointment or renewal. Affiliated faculty appointments may be renewed annually. Affiliated faculty may be listed in the university catalogs under appropriate departments and affiliated faculty receive the faculty I.D. card and library privileges in recognition of their contribution to the university.
- E. Extension Associate: An individual hired into a Cooperative Extension Service position in regular or non-regular status, full-time or part-time, funded principally (50 percent or more) by grants or other nonpermanent funds may be designated an extension associate. An individual hired with less than the master's degree may also be designated as extension associate. That individual may also be given the courtesy title of college instructor, college assistant professor, college associate professor, or college professor. An extension associate cannot obtain tenure. When an extension associate either receives a master's degree and/or recurring state funds become available, an extension associate may be considered for appointment to tenure-track status following normal appointment rules. Extension associates may be notified of nonrenewal with proper notice: those in the first year of service will have 3 months' notice prior to their anniversary date; those in the second or more years of service will have 6 months' notice prior to their anniversary date.
- F. Prior Service: Nontenure-track faculty have duties and/or qualifications and/or expectations different from tenure-track faculty. Consequently, service in the nontenure-track position will not normally count towards tenure in any subsequent tenure-track appointment.
- G. Employment Base and Status: The fixed-period base for employment of a nontenure-track faculty member is a time period that may be a semester, an academic year, or a fiscal year, and the amount of assigned effort may be figured on the basis of hours per week, credits per semester, or credits

per academic year. The full-time hourly basis is 40 hours per week. The full-time credit basis is 12 credits per semester or 24 credits per academic year, except in the community colleges, where the full-time credit basis is 15 credits per semester or 30 credits per academic year. The full-time equivalent (FTE) fraction for a nontenure-track faculty member employed on an hourly basis is the ratio of the number of hours assigned per week to the basis of 40 hours/week. The FTE fraction for a nontenure-track faculty member employed on a credit hour basis is the ratio of the number of credits allocated during the applicable base period to the full-time credit basis applicable for that base period. An FTE fraction of .75 or greater is considered full-time, while an FTE fraction less than .75 is considered part-time.

A nontenure-track faculty member employed as temporary and averaging an FTE of .67 per college or more over 2 consecutive academic years may be eligible to be considered for a regular nontenure-track appointment after appropriate advertising. If not converted to regular appointment, the employee's FTE must average less than .67 per college during each of the ensuing 2 consecutive academic years. A temporary faculty member averaging less than .67 FTE per college over 2 consecutive academic years may be eligible for renewals of temporary appointments after appropriate reviews and approvals. Temporary appointments require an appointment end date on the hiring form no later than 1 calendar year after the hiring date. All temporary appointments are limited to 1 year at a time. If there is no break in service, both regular and temporary nontenure-track appointments may be renewed without advertising, after appropriate reviews and approvals.

- H. Special Application for Nontenure-Track Temporary Community College Faculty: A nontenure-track faculty member employed as temporary and averaging an FTE of .67 per college or more, over 2 consecutive academic years may be eligible to be considered for a regular nontenure-track appointment after appropriate advertising. (For benefits, *See Salaries/Benefits*) If not converted to regular appointment, the employee's FTE must average less than .67 per college during each of the ensuing 2 consecutive academic years. A temporary faculty member averaging less than .67 per college over 2 consecutive academic years may be eligible for renewals of temporary appointments after appropriate reviews and approvals.
- I. Qualifications: Qualifications for appointment of nontenure-track faculty are to be determined in such a manner as to be flexible enough to meet the particular needs of each unit utilizing such faculty, but minimum qualifications shall be a master's degree or equivalent experience in the field or related field for the junior ranks of instructor and assistant professor, and an earned doctorate or equivalent experience in the field or related field for the senior ranks of associate professor and professor.
- J. Appointment and Nonrenewal: Each regular or non-regular non-tenure track faculty member will be given a copy of the employing conditions, generally as an offer notification. At the time of first hire at the university, each regular or non-regular nontenure-track faculty member should read this section of policy, as well as the nontenure-track promotion procedures of the appropriate college. Nonrenewal of a nontenure-track appointment may be without implication of criticism or specification of cause. An appointment end date on the initial offer notification constitutes written notice of the end date of the appointment. In such a case, the individual concerned should be informed as soon as possible whether the individual will be offered subsequent employment following the appointment period, either as a renewal of a regular appointment or in non-regular status. Successive year renewals of regular appointments that specified an appointment end date may be made without advertising the position.

If such a regular appointment is not renewed for at least the succeeding semester, then it must be re-advertised. The minimum written notice of nonrenewal of a regular appointment that does not include an appointment end date on the offer notification will be as follows: During the first year of service in regular status (9- or 12-month basis), 3 months' notice will be given before the end of the academic year (9-month employees) or the fiscal year (12-month employees). After the first year of service, 6 months' notice before the end of the academic year (9-month employees) or the fiscal year (12-month employees) will be given. Nontenure-track faculty members employed without an ending date whose employment is contingent upon the availability of non-I&G funds shall be given at least 30 calendar days' notice of nonrenewal. Providing proper notice of

nonrenewal is given, the university does not have any legal obligation to provide funding for any nontenure-track faculty member beyond the current appointment period. However, employing units are strongly encouraged to attempt to maintain a stable job environment for this type of appointment. A nontenure-track faculty member may be dismissed for cause at any time that the member's conduct becomes inimical to the students, the faculty, the educational program, or the university. The executive vice president and provost must approve any involuntary termination for cause. A nontenure-track faculty member will have the right to appeal human resources decisions, which directly affect the member, according to university appeals procedures. (*See Policies [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#); [4.05.50 Faculty Grievance Review and Resolution](#); and [5.47 Faculty Discipline and Appeal Process](#)) Any nontenure-track faculty member who proposes to resign shall give written notice to the immediate supervisor at the earliest time possible.*

- K. **Salaries/Benefits:** Employing units will offer salaries to prospective college faculty on the basis of qualifications, availability of funding, and supply vs. demand, subject to the administrative approval procedures in effect for prospective tenure-track faculty. Salary scales for non-regular part-time, nontenure-track faculty will be set each year for the Las Cruces campus and for the community colleges by the executive vice president and provost. Exceptions to the rates must be approved by the executive vice president and provost. These rates will be made available to all faculty. Nontenure-track faculty who are in regular status are eligible for benefits as defined in Chapter 7.
- L. **Evaluation, Promotion, Salary Adjustments:** Each regular and non-regular nontenure-track faculty member will be evaluated annually during the term of employment if the employment is renewed for more than one academic semester. The evaluation will be based on those duties described under the terms of employment as agreed upon by the individual and supervisor under the general headings of teaching or research or professional service or administrative duties, or some combination thereof. A copy of the written evaluation will be given to the faculty member. Promotion in rank and salary adjustments will be made on the basis of the above-mentioned written evaluations and the availability of funds. Meritorious performance may be rewarded by encouraging nontenure-track faculty to apply for a tenure-track faculty position. College faculty in regular status shall participate in the merit system. Each college will develop separate policies, procedures, and criteria for the promotion of nontenure-track faculty. These are subject to final approval by the executive vice president and provost. These promotions will be handled in the same time period and with documentation similar to that for tenure-track faculty promotions.
- M. **Voting Privileges:** The tenured and tenure-track faculty in employing units of the university will decide which types and ranks of nontenure-track faculty may vote on (1) routine departmental matters, and (2) policy matters. Should a question arise whether an issue is routine or policy, the tenured and tenure-track faculty will decide. Nontenure-track faculty will not vote on any faculty personnel matters.
- N. **Guidelines:** As a guideline, the total FTE of nontenure-track faculty with the job titles of college instructor, college assistant professor, and college associate professor shall not exceed 25 percent of the total FTE for tenured, tenure-track, and nontenure-track faculty on the main campus (community colleges excluded). Distinction will be made, if possible, between teaching and non-teaching nontenure-track faculty in any given monitoring period. (*See section below*)
- O. **Monitoring:** During each fall and spring semester the executive vice president and provost shall provide the following data to the chair of the Faculty Senate: The number of individuals employed by the university holding academic rank by headcount and FTE, by contract type (tenured, tenure-track, nontenure-track), by job title and rank for each academic rank unit on the main campus, for each of the community colleges, and for all other organization units. Where these numbers include individuals whose primary employing unit is different from the academic rank unit, these data will be footnoted appropriately. The chair of the Faculty Senate will present these data to the Committee on Committees for analysis and monitoring with respect to the above guidelines.
- P. **Exempt Employees Hired as Part-Time Faculty:** Exempt employees who wish to teach a university class for remuneration may do so if the class meets outside regularly scheduled working hours

(normally 8 a.m. to 5 p.m., Monday through Friday) and approval has been obtained from the employees supervisor and the Dean, Vice President or Campus President. Exempt employees teaching a course for remuneration during his/her regular working hours is normally inappropriate, and rather, a percentage of the person's regular salary should be paid by the beneficiary unit for the duration of the teaching service. (See guidelines under Policy [5.30 Consulting](#) and [5.25 Supplemental Employment and Compensation](#).)

**5.15.50 Appointments - Postdoctoral** *[Amendment (FS Proposition 02-10/11) passed by Faculty Senate 10.07.10; recommended by Administrative Council 10.12.10; approved by Board of Regents 10.29.10] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Postdoctoral Appointment Defined: A postdoctoral appointment is a classification for those individuals who are exemplary scholars, who have recently been awarded a doctoral degree, and who wish to continue their education and research experience under the direction of a university faculty member.
- B. Recruitment Considerations: The recruitment process for a post doctoral appointment shall include consideration of any individual who expresses an interest in such an appointment. Advertising on a local, national or international basis is optional.
- C. Terms of Appointment: Appointments contemplate 1.0 FTE employment for at least one (1) year, renewable annually, and not to exceed a total of five (5) years, absent an exceptional circumstance. Exceptions to reduce FTE percentage, to not less than .50 FTE, or to deviate from the minimum term of one (1) year or the maximum term of five (5) years, will require the written approval from the appropriate dean or equivalent administrator and the vice president of research. The annual term of employment shall be specific in the appointment letter or in other Office of Human Resource Services documentation. The postdoctoral appointee shall receive the benefits and privileges associated with regular employment, including leave accrual.
- D. Annual Renewal Required (Lack of Renewal Confirms End of Term Appointment): Sixty (60) days advance notice of annual renewal shall be given. A failure to give timely notice shall not prevent a renewal, but lack of notice of annual renewal constitutes confirmation of the end date specified on the annual appointment letter or other Office of Human Resource Services documentation.
- E. Termination of Employment Prior to End of Appointment Term: An annual post doctoral appointment may be terminated prior to the end of the termination date specified in the appointment letter or other Office of Human Resource Services documentation for two reasons:
  1. For just cause, in accordance with the university's procedures governing involuntary termination of regular faculty; or
  2. Loss or reduction in funding affecting the position.
- F. Grievance Rights: If it becomes necessary for an individual holding a post doctoral position to file a grievance, the faculty grievance procedure at [4.05.50 Faculty Grievance Review and Resolution](#) will apply. If the post doctoral appointee's complaint involves unlawful discrimination, then Policy [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#) or other applicable university anti-discrimination policies and procedures will govern.

**5.15.60 Appointments - Qualifications**

- A. General Qualifications for Appointment (Main Campus): Common elements to be considered in appointment, differing only in degree in all ranks, are as follows:
  1. Teaching: This element is difficult to define precisely, but is commonly considered to include the teacher's knowledge of the field; awareness of development in the field; skill in arousing interest and evoking responses in students; skill in stimulating students to think critically, to



understand the interrelationship of fields of knowledge and the application of knowledge to human problems; skills in integrating domestic and international knowledge and insights into class content; and skill in raising students' awareness about the domestic and international social, political, economic, and ethical implications of their courses of study.

2. **Research:** This element is composed, in part, of the person's research or other creative work that indicates professional merit and interest. The results of this activity will find expression normally through accepted channels or media in the respective professional fields or in the person's teaching. Teaching and research are ordinarily closely related; it is difficult to comprehend how a person can teach well without having firsthand understanding of how the knowledge of the field is discovered. The research performance of faculty will be based on domestic and/or international scholarly activity. Annual performance evaluation of any faculty member will recognize that success in research may require long-term efforts. Promotion and tenure and annual performance raises will give equivalent consideration to research effort and success, whether domestic or international.
  3. **Service:** This element includes the person's general contributions to the organization and development of the university, and services to any local, state, national, or international agency or institution needing the specific benefits to be derived from the person's professional knowledge and skills.
- B. Specific Qualifications for Appointment (Main Campus): In the following statements of required time in each rank, IT SHOULD BE EMPHASIZED THAT THE PERIODS STATED ARE TO BE CONSIDERED AS MINIMUM AND NOT AS MAXIMUM, UNDER NORMAL CIRCUMSTANCES. It is recognized that the time served in a rank at another institution should be taken into consideration. It is also recognized that the evidence of competence differs for various fields, to some extent, and standards of judgment cannot be rigidly uniform.
1. **JUNIOR RANKS** (*See also* Policy 5.15.40, Appointments - Nontenure-Track)
    - a. **Instructor:** This rank should be given to persons with advanced training who have demonstrated scholarly/creative ability. Usually, the individual will not yet have demonstrated ability to do both teaching and research independently. An instructor must have knowledge of the particular course materials and should have some intellectual vision; but need not be expected to have acquired a significant understanding and original point of view or philosophy of the general subject. In addition to such general considerations, as stated above, the specific degree requirements for this rank will normally be the master's degree or the equivalent, and except under unusual circumstances the instructor will be encouraged to be studying toward a terminal degree.
    - b. **Assistant Professor:** To be considered for this rank, a person must have demonstrated ability in the field. It is strongly believed that a relationship exists between teaching and research, and that a good teacher or researcher must constantly remold the materials of the courses or projects in the light of new knowledge derived from the person's own creative scholarship as well as that of others. An assistant professor may be expected to have a thorough command of the subject matter of some segment of the general field of the discipline, in addition to a comprehension of the whole. In addition to such general considerations as stated above, specific degree requirements for advancement or promotion to the rank of assistant professor and, of course, applicable to the senior ranks as well, NORMALLY will be the doctor's degree. Outstanding experience and recognition in the profession outside the academic field may be considered as the equivalent of the degree requirement.
  2. **SENIOR RANKS.** Appointment or promotion to either senior rank should represent an implicit prediction on the part of the department, college, and the university that the individual so appointed will make sound contributions to teaching and learning during the remainder of the individual's life. Senior rank status should occur only after careful investigation of the candidate's promise in scholarship, teaching, research, leadership, and learning. By this statement it is meant that serious attention must be given to the caliber of the candidate's professional stature, for this will probably be the key factor in determining the

extent to which past performance in teaching and creative work may be expected to carry on through continuing and enlarged contributions. Services rendered to communities and agencies or organizations in the person's professional capacity shall be considered in assessing qualifications for advancement to senior ranks.

- a. Associate Professor: This person's views contribute to departmental policy. An associate professor should have competence and mature outlook over a fairly large part of the whole field. To be considered for this rank a person should expect to serve for at least 4 years as an assistant professor under normal circumstances. A candidate for an associate professorship is expected to have demonstrated capacities in the lower ranks and should offer evidence that teaching and research have kept abreast of times in method and subject matter; that a greater degree of maturity has been attained and that there has been a retention of interest in competent teaching and research. Furthermore, the candidate must have shown evidence of productivity and competent scholarship beyond that completed for the degree of the doctorate.
- b. Professor: Appointment of individuals to professorships is obviously the most critical step in determining the future of the academic caliber of the university. There should, therefore, be clear understanding of the functions and qualifications of individuals in this rank. A professor through teaching, creative activity, and service should have demonstrated substantial command of the whole field, sound scholarship, and a mature view of the discipline. Appointment or promotion to professor should not be considered to be forthcoming merely because of years of service to the university (it should not be expected based on any number of years as an associate professor) or because a continuous contract is achieved. Rather, a person being considered for a professorship is expected to have maintained all of the qualities and conditions required for tenure and the associate professor rank. In addition, a professor should exhibit special stature in the discipline, leadership and substantial strength in all areas-teaching, creative activity, and professional service. In the recommending procedures the department head and the faculty member shall submit information as follows:
  - i. Special Stature in the Discipline:
    - Teaching Performance: Data indicating performance, including innovation, enthusiasm, and contributions to activities designed for the improvement of instruction. Peer and student evaluation may be useful ingredients in determining teaching performance.
    - Creative Activity: Lists of publications, exhibits, recitals, etc. Peer evaluation both on and off campus. The direction of graduate students where appropriate to the individual's discipline.
    - Professional Service: Information showing involvement in state, regional, national, and international groups within the field and contributions to the university. Objective data showing prestige and recognition among the practitioners of the discipline.
  - ii. Leadership: Information showing initiative, perseverance, and originality and skills in human relations.

Initial appointments for faculty employed with the rank of professor may also include continuous contract.

- C. General Qualifications for Appointment (Community College System): The following qualifications are listed in the order of their relative importance: teaching is more important than professional service; professional service is more important than other service; other service is more important than research.
  1. Teaching: This element is commonly considered to include the teacher's knowledge of the field; awareness of and the application of developments in the field; skill in arousing interest and evoking responses in students; skill in stimulating students to think critically, to understand the interrelationship of fields of knowledge and the application of knowledge to human problems; and skill in awakening students to a realization of the social, political, economic, and ethical implications of their study.

2. **Professional Service:** This element includes, above all, the faculty member's service with respect to the organization, development, and welfare of the community college and the university. This element also includes service to any individual or group needing the specific benefits of the faculty member's professional knowledge and skills.
3. **Other Service:** This element allows a faculty member to be recognized for service to the general welfare of the community which is interrelated with the welfare of the community college.
4. **Research:** Research or other creative work is not required at the community colleges. However, those faculty members who produce research and/or creative work should be encouraged, and such work should be considered for appointment, promotion, and tenure considerations.

The academic credentials of all community college instructors will be reviewed by the community college program coordinators (when appropriate), division heads, and the chief instructional officer to meet the guidelines established by the main campus departments. Instructors must also be approved by the campus executive officer and the executive vice president and provost.

- D. Specific Qualifications for Appointment (Community College System): In the following statements of required time in each rank, it should be emphasized that the periods stated are to be considered as minimum and not as maximum, under normal circumstances. It is recognized that the time served in a rank at another institution should be taken into consideration. It is also recognized that the evidence for various fields, to some extent, and standards of judgment cannot be rigidly uniform.

#### 1. JUNIOR RANKS

- a. **Instructor:** This rank should be given to persons with the necessary education and/or experience to teach within the community college concept.
- b. **Assistant Professor:** To be considered for this rank, a person must have demonstrated the ability to teach effectively in the person's field. It is strongly believed that a good teacher must constantly remold the course or project materials in light of new knowledge derived from the teacher's own creative scholarship, as well as that of others. To be considered for this rank, a person should expect to serve at least 3 years as an instructor under normal circumstances. An assistant professor may be expected to have a thorough command of the subject matter of some segment of the general field of the discipline, in addition to a comprehension of the whole.

2. **SENIOR RANKS.** Appointment or promotion to either senior rank should represent an implicit prediction on the part of the community college that the individual so appointed will make sound contributions to teaching and learning during the remainder of the individual's life. It should be made only after careful investigation of the candidate's promise in teaching, professional service, other service, and, if applicable, research and/or creative service. By this statement, it is meant that serious attention must be given to the caliber of the candidate's professional stature, for this will probably be the key factor in determining the extent to which past performance in teaching and service may be expected to carry on through continuing and enlarged contributions.

- a. **Associate Professor:** An associate professor occupies a position adjunct to that of the professor. This person's views contribute to community college policy. An associate professor should have competence and mature outlook over a fairly large part of the professor's whole field. A candidate for an associate professorship is expected to have demonstrated capacities in the lower ranks and should offer evidence that the candidate's teaching has kept abreast of times in method and subject matter, that a greater degree of maturity has been attained, and that there has been a retention of interest in competent teaching and service. To be considered for this rank, a person should expect to serve for at least 4 years as an assistant professor under normal circumstances.

- b. Professor: Appointment or promotion of individuals to professorships is obviously the most critical step in determining the future of the community college system and the university. There should, therefore, be a clear understanding of the functions and qualifications of individuals in this rank. A professor through teaching and service should have demonstrated substantial command of the professor's whole field, sound scholarship, and a mature view of the discipline. Promotion to professor should not be considered to be forthcoming merely because of years of service to the community college and the university (it should not be expected based on any number of years as an associate professor) or because a continuous contract is achieved. Rather, a person being considered for a professorship is expected to have maintained all the qualities and conditions required for tenure and for the rank of associate professor. Additionally, a professor should exhibit special stature in the professor's discipline, in leadership, and in both teaching and service.

## 5.20 Assignments - General

It is the policy of the university to provide conditions under which high quality instruction, research and service may be expected to occur. The faculty and administration recognize that quality education is based on and will occur as the result of interaction and contact between professionally competent faculty and adequately prepared students. Statements in this manual which are concerned with assignment of faculty load and with the award of academic credit are expressed generally in terms of the amount of contact occurring between faculty and students. In practice, many academic efforts, having little or nothing to do with the amount of contact *per se*, are nevertheless quantified and rewarded in terms of the credit hours. Such cases are covered by prior approvals among students, faculty and administrators. This policy is based on the following:

- A. Teaching: Refers to activities related to courses given in a current term, such as meeting scheduled classes, grading, preparing lectures, evaluating students, reading student papers, academic advising, supervising teaching assistants, and supervising laboratories. Ordinarily, scheduled class meetings will equal at least 750 minutes per semester per credit hour.

Refers to the statewide non-credit teaching activities of members of the Cooperative Extension Service, and other university faculty members, such as conducting seminars, meetings, workshops and consultations with ranchers, farmers, businessmen, homemakers, community leaders and other citizens of the State, and the preparation of educational materials-bulletins, newsletters, news articles, radio and television programs, and self-teaching programs.

- B. Research and Other Creative Endeavors: Refers to activities in the faculty member's area of responsibility related to a specific project, such as performing a professional skill, writing or developing research proposals, statistical consulting, writing articles and/or books and/or reviews, creating a new art form(s), performing departmental and/or sponsored research, giving recitals, maintaining an artistic skill.
- C. Professional and Public Service: Refers to activities related to maintaining expertise in a professional field and activities performed to benefit the community outside the institution, respectively. Specific activities in this category include attending professional meetings and/or seminars, editing a journal, serving as an officer in a professional society, consulting, performing professionally as in plays or orchestras, participating in lectures or seminars for the public, and involving oneself in community activities such as civic clubs, agricultural or urban extension services.
- D. Internal University Activities:
  1. General contact with students, such as: counseling; preparing recommendations; participating in social interaction; recruiting students; sponsoring student organizations; meeting with parents; attending student recitals; coaching intramural or intercollegiate athletics; directing the band, orchestra, student plays, debate team, or other student groups.
  2. Committee participation, such as: attending departmental meetings; Faculty Senate;

promotion and tenure committees; planning committees; or admission committees.

3. Administrative duties, such as: performing the duties of a department head, dean, vice president, or any other administrator; keeping records; preparing minutes; writing and answering memoranda; assigning faculty course loads; preparing budgets; gathering data; helping during registration; interviewing candidates for faculty positions; advising on library purchases; escorting visitors.

### **5.20.10 Assignments – International** *(See also [2.69.1 International Travel Policy](#))*

- A. Internalization Generally: Internationalization is the incorporation of international content, materials, activities, and understanding into teaching, research, and public service functions of universities to enhance their relevance in an interdependent world. The major elements of the strategy being used to internationalize our university are:
  1. Defining international goals/objectives.
  2. Determining specific actions/activities relating to goals/objectives.
  3. Identifying individuals/units which have lead responsibilities for implementing activities.
  4. Formulating a strategy for the implementation of activities.
- B. Internationalization Policy: The current emphasis is seeking a balance between the concepts of cooperation and competition. This new emphasis places a major responsibility on the U.S. universities for providing relevant educational experiences for their students so that they are equipped to compete, become gainfully employed, and participate effectively as citizens in the new and emerging world environment. The principal purpose of university's internationalization strategy is to systematically and incrementally change the institution to better serve current and future needs of the institution's clientele.
- C. Assignment of Faculty to International Programs: The nature and requirements of the international assignment will be carefully reviewed and understood by university administrators and the faculty member before beginning the assignment. Accomplishments during assignment to international projects will be given consideration in evaluating annual performance, merit increases, promotion, and advancement to continuous contract. In future evaluations, consideration may be given to how knowledge and insight gained during an international assignment are integrated into the faculty member's teaching, research, and outreach responsibilities after returning from this assignment. *(See also Policy [5.65 Faculty Exchange](#); and Policy [2.69 International Travel](#))*

### **5.20.20 Assignments - Teaching Load** *(See also [5.45.30 Department Heads - Teaching Loads](#))* *[Amendment effective 07.01.09(FS Proposition 05-08/09) passed by Faculty Senate 10.30.08; signed by president 12.02.08; adopted by Administrative Council 11.11.08; ratified by Board of Regents 07.29.09] [Amendment effective 07.01.09 (FS Proposition 19-08/09) passed by Faculty Senate 04.30.09; adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09]*

- A. Purpose: Faculty members perform a wide variety of tasks determined by the requirements of their discipline and by the mission of the university. Accordingly their workload will vary from individual to individual and over time for a particular individual. The purpose of the Faculty Workload Policy is to establish a fair and equitable allocation of workload among faculty taking into account the interests of the faculty and the needs of the university. Recognizing the complex role played by faculty in the university setting, the primary responsibility for establishing workloads shall rest with the departments or equivalent administrative unit.
- B. Scope of Application: The rules set out here apply to faculty time financed from instruction and general (I & G) funds. Faculty time not financed by I & G funds is not covered by these rules. Faculty time partially funded from I & G shall be prorated.
- C. Teaching Load, Generally, for NMSU LC Faculty: A faculty member employed on the Las

Cruces (Main) Campus budgeted exclusively from I&G funds will normally be responsible for the equivalent of teaching 12 credits per semester. The faculty member may be expected to participate in some scholarly and creative activity, professional and/or public service, or internal service to the university. Significant work of this kind reduces the faculty member's responsibility for formal instruction.

- D. Teaching Load, Generally, for Community College Faculty: The teaching load for community college faculty members will usually be the equivalent of 15 credits a semester or from 27 to 30 credits an academic year. The teaching load shall be prorated for short courses or courses taught over part of a semesters.
- E. Equitable Distribution of Workload:
1. Executive Administration: The executive vice president and provost and president shall seek to allocate faculty resources among departments or equivalent administrative units, taking account of internal and external constraints, so as to distribute workload in a fair and equitable manner. Factors that may be considered in allocating resources include accreditation, workloads at peer institutions, national disciplinary norms, and retention of faculty, the needs of new programs, credit hour production, legislative mandates, and other factors.
  2. Dean or Equivalent: Within each college or equivalent unit, the college dean or equivalent administrator shall seek to allocate faculty resources within their college or equivalent unit in order to achieve a fair and equitable workload. When inequitable workloads arise, it shall be the responsibility of the dean or equivalent administrator to rectify the inequality.
- F. Departmental Workload Policy:
1. Departments and equivalent units will specify how they determine teaching loads. Departmental or equivalent unit workload policy will be 1) developed by the department faculty in collaboration with the department head and approved by the dean or equivalent administrator, 2) contained in written departmental guidelines, and 3) distributed to all faculty in the department. Department guidelines shall clearly specify the method by which teaching load is distributed. The dean or equivalent may ask for revisions to the departmental workload policy.
  2. In determining teaching load, the departmental or equivalent unit workload policy shall consider the impact of: courses with a lab component; career path of the instructor; tenure and promotion; workloads at peer institutions; national disciplinary norms; faculty retention; relative proportion of graduate and undergraduate instruction; supervision of master's theses or doctoral dissertations; student advising and retention activity; mentoring activity, individual faculty member's scholarly and creative productivity; service productivity; new preparations; method of course delivery; class size; help from graduate assistants; administrative and/or service assignments; team teaching; and methods of grading. Given the importance of graduate programs to the mission of the university, special consideration must be given to support of graduate programs. Other factors specific to particular departments or disciplines may also be considered.
- G. Annual Determination of Individual Faculty Teaching Load/Right to Appeal: The teaching load for each faculty member will be determined annually by the department head or equivalent administrator through a process that follows established departmental or equivalent unit policy and involves an element of negotiation. The agreed upon teaching load for each faculty member will be articulated in writing and signed by the faculty member and the department head or equivalent administrator, and shall be included in the faculty member's personnel folder. If agreement on these responsibilities cannot be reached, the faculty member may appeal the case in accordance with university procedures. (*See Policy 4.05.50, Faculty Grievance Review and Resolution*) In an appeal situation, if a change in academic responsibilities will affect the faculty member for more than one semester, the appeals procedure must have been completed before the reassignment can be made or continued.

- H. Considerations for Variance: The percentage breakdown of time allocated to each academic activity may vary among faculty members.
1. The allocation will be based on the average time required for the satisfactory performance of the activity.
  2. Courses such as thesis, dissertation, research, special problems and independent study are not automatically considered to be the equivalent with teaching typical graduate or undergraduate courses. When such activities are included in the teaching load, the department head or equivalent administrator and the affected faculty member shall collaboratively determine course equivalency consistent with the department teaching load policy.
  3. In collaboration with faculty in their department or equivalent unit, and subject to approval by the college dean or equivalent administrator, department head or equivalent administrator may make adjustments to faculty teaching loads if those adjustments increase load equity and are at least revenue neutral. Adjustments to teaching loads within programs should result in or maintain load equity, should respect the career paths of faculty, and should not place an extra teaching burden on junior faculty who are preparing for tenure review. When a faculty member is assigned special duties above the normal load, arrangements will be negotiated between the faculty member and concerned administrators to determine the amount of additional compensation, if any, to be received.
  4. When considering individuals for tenure, promotion in rank, merit pay increases, research/service awards, and/or endowed chairs/professorships, departmental workload policy and an applicant's teaching load history must be presented to reviewing bodies and individuals. An applicant's teaching load and its potential impact on scholarly and creative activities, and service must be considered in the review process.
- I. Cooperation: The successful application of these guidelines depends upon maintaining goodwill between faculty and administrators.

## 5.25 **Compensation** (See also Policy 5.94.20-Intellectual Property and Patents; Policy 5.92-Reassignment of Administrators/Department Heads)

### A. Policy:

1. Salary increases are determined after the legislature has appropriated funds for the operation of the university.
2. It shall be the policy of the university that all promotions shall include a fixed percentage salary increase, irrespective of other salary increases, currently six percent of the mean salaries of ranks currently held. (For example, an assistant professor being promoted to associate professor would receive an increase equal to six percent of the current mean salary of all assistant professors).
3. After promotion dollars are determined, the remaining funds shall be distributed proportionally to each college and community college (unless the community college allocation is separate from the main campus allocation) based on their current salary pool.
4. Allocation of funds for salary increases will consider performance (based on the annual performance review) and base salary adjustments.

### B. Procedures:

1. The department head makes a salary recommendation to the college dean.
2. When final salary determination has been made and approved by the department head, deans and executive vice president and provost, the appropriate administrator will inform the faculty member in writing about the member's next year's salary, including a breakdown of base

- adjustment, performance and/or promotion increments.
3. Faculty hired after January 15 will not receive a salary adjustment. Anyone hired prior to that date and after October 1 would be eligible for a base adjustment during the years a base adjustment is given.
  4. Faculty salary and salary increase information shall be made available to the tenured and tenure-track faculty in the form of tables reflecting increases by rank for the university and each college.
  5. Salary letters are issued by the Office of the President.
  6. The percentage increase in salaries to each college and department is public information which is available upon request.
  7. Each year the executive vice president and provost shall report to the faculty on how raise dollars were distributed. The report will include the executive vice president and provost's recommendation for each college's base and merit salary adjustment proportions. Furthermore, the report will include the actual base and merit proportions made by each college dean.

### **5.25.10 Compensation - Continuing Education Courses**

It is the policy of the university that providing life-long learning through continuing education is an important part of *its* mission. In order to encourage faculty to participate in these activities, the faculty may earn extra compensation for teaching in continuing education programs in lieu of consulting. The extra compensation will normally be paid at a rate of 0.00278 X 9-month salary per hour of instruction. This rate is based on the assumption that 12 credits per semester, for two semesters, for 15 weeks is the normal load for an academic year.  $[0.00278 \times 1 / (12 \times 2 \times 15)]$  - maximum rate. For purposes of E-Hire Forms, these hours must be kept separate from for-credit hours.

### **5.25.20 Compensation - Department Heads** (*See Policy 5.25.40 Compensation - Summer; Policy 5.92 Reassignment of Administrators/Department Heads*)

### **5.25.30 Compensation - Distance Education/College of Extended Learning**

- A. Distance Education Definition: Distance Education at New Mexico State University is defined as the formal education process of delivering instruction so that students physically remote from the campus of program origin and/or instructor may participate. Course or program delivery may include face-to-face interaction and/or synchronous or asynchronous written, electronic or other media forms. NMSU's four-year campus distance education courses must be approved through the college and the Office of Distance Education/College of Extended Learning. NMSU's two-year campuses will develop their own approval process.
- B. Faculty/Staff Compensation: With faculty input, each college and two-year campus will provide written guidelines regarding its practices for compensation faculty who provide distance education courses. An informational copy is to be forwarded to the vice provost for distance education and dean of the college of extended learning by August 1<sup>st</sup> of each year and made available to faculty in the college or two-year campus. These college and two-year campus guidelines may reflect varied factors that include, but are not limited to, market demand for distance education courses, current compensation of individual faculty and the distance education modalities used in the courses. Faculty may be compensated for teaching distance education in one of two ways, Differential Compensation and/or Supplemental Compensation.
  1. Differential Compensation:
    - a. Differential compensation involves compensation for preparation of new distance education courses/programs and is determined by each college.
    - b. This compensation may also be made available to faculty to maintain existing courses or



- programs.
- c. Faculty members may also receive differential compensation for teaching a distance education course. Differential compensation for teaching distance education courses may be provided as reassigned teaching time, release from other responsibilities, additional salary, graduate assistance support, full or part-time support personnel, stipends for contractors/vendors, etc.
  - d. The form of compensation is at the discretion of the college administrator after consultation with the faculty member.
  - e. Differential compensation may also be provided for faculty members who travel to an off-campus site to teach distance education courses in addition to approved university travel compensation.
  - f. University travel compensation as an addition to differential compensation is to be based on the distance traveled to teach the course and the number of trips made in any given semester for the expressed purpose of teaching the course or advising students in a course or program.
2. **Supplemental Compensation:** Faculty members who teach a distance education course as an overload may receive supplemental compensation as presented in 4.70 Supplemental Employment/Compensation or negotiated with the appropriate college dean.
    - a. Any contract course is expected to be self-supporting including fringe benefits. Faculty compensation for contract courses must follow appropriate university policy.
    - b. Instructors who travel to remote sites shall be compensated for their travel at the mileage and per diem rates determined through university travel policy.
  - C. **Small Class Sections:** Distance education courses with an enrollment of fewer than ten undergraduate or five graduate students will be subject to small course monitoring.

**5.25.40 Compensation - Summer** *[Amendment (FS Proposition 20-09/10) passed 04.29.10; recommended by Administrative Council 05.11.10; approved by Board of Regents 07.20.10]*

- A. **Teaching:** For faculty at campuses whose faculty members have a normal teaching load of 24 credits during the regular year, summer teaching is paid at the rate 11.11% of annual salary for a 3 credit class or 3.70% of annual salary per credit hour. For faculty at campuses whose faculty members have a normal teaching load of 30 units during the regular year, summer teaching is paid at the rate of 8.31% of annual salary for a 3 credit class or 2.77% of annual salary per credit hour.
- B. **Sponsored Research:** Sponsored research is paid at a rate consistent with federal regulations including, but not limited to, those contained in OMB Circular A21 as administered by the Office of Naval Research.
- C. **Combined Teaching-Sponsored Research:** For those both teaching and engaged in sponsored research, summer pay is pro-rated between the two activities. The regular summer employment period is computed from the last workday after grades are due at the end of the spring semester until the first workday before Faculty are required to report in the fall semester. The pro-rating calculation shall be done consistent with OMB Circular A21.
- D. **Negotiated Summer Salary:** For persons who have no regular academic-year salary on which to base summer compensation, salary may be negotiated within the approved ranges for temporary faculty.
- E. **Supplemental Compensation:** The policies regarding supplemental compensation during the summer period are the same as those that apply to the academic-year period, as described in 4.70 Supplemental Employment/Compensation of the policy manual.
- F. **12-month Faculty:** The policies pertaining to compensation for 12-month Faculty during the summer period, including department heads, are the same as those that apply to the academic year.
- G. **Graduate Assistants:** In summer sessions, graduate assistants receive the same pay per week as

they do during the regular semester.

**5.25.50 Compensation - Employee Recognition Program** (See Policy [8.15.10 - Employee Recognition Program](#))

**5.30 Consulting** (See also Policy [8.25, Consulting-Exempt Staff](#); Policy [4.70, Supplemental Employment/Compensation](#); Policy [3.20, Conflicts of Interest and Conflicts of Commitment](#))

- A. Definitions: The following definitions, policies, and procedures will be applied to all full-time faculty members:
1. University: New Mexico State University.
  2. Consulting: Services for compensation, not disbursed by the university, in an employee's area of specialization.
  3. Consulting time: That time afforded a faculty member during the faculty member's normal working hours.
  4. Full-Time and Part-Time: A faculty member employed for an FTE fraction of 0.9 or greater is considered full-time, while an FTE fraction of less than 0.9 is considered part-time.
- B. Consulting Policies:
1. Consulting by full-time faculty should be considered secondary to the performance of the faculty member's assigned duties.
  2. Written notification is required for consulting. Written permission is required for consulting time.
  3. Consulting time shall not average more than 1 day per week during the months of full-time employment excluding those days when university offices are officially closed.
  4. Consulting is to be conducted in an ethical manner that should not create a conflict-of-interest situation.
  5. University facilities, equipment, personnel or supplies which are not freely available to the general public will not be used in consulting without proper arrangements for reimbursement.
  6. Additional assignments performed during normal university working hours, and for which an employee receives supplemental compensation, will be counted against that faculty member's allowed consulting time and must be approved by all cognizant administrators.
- C. Procedures/Right to Appeal:
1. The faculty member shall submit a written notification of consulting to the faculty member's immediate supervisor (usually the department head) prior to initiation of consulting. At times, consulting opportunities arise when it is not possible to immediately submit a written notification (such as weekends or holidays). In those cases, the faculty member is expected to make every possible effort to submit the notification on the next regular business day for the university.
  2. The immediate supervisor is responsible for notifying the appropriate dean or director of those faculty members who have submitted notification of consulting.
  3. The faculty member shall obtain prior written permission for consulting time from the faculty member's immediate supervisor and appropriate dean or director. The request for consulting time must be acted upon within 5 working days.
  4. Prior written approval and financial arrangements for reimbursement must be obtained from the immediate supervisor before university facilities, equipment, personnel or supplies may be

used in consulting by the faculty member. These arrangements will be reviewed by the appropriate dean or director and may be disapproved, with cause.

5. Causes for denial of consulting privileges include, but are not limited to: a clear conflict-of-interest situation, unprofessional conduct by the faculty member negatively reflecting on the university, significant interference with assigned university duties, consulting time exceeding an average of 1 day per week, or misuse of university facilities, equipment, personnel or supplies.
6. The faculty member may appeal decisions to the Faculty Grievance Review Board.
7. Additional policies not in conflict with the above may be developed and implemented by the college faculties and administrations.

**5.35 Deans** (*See also* Policy [1.05.50 University Administrative Council](#); Policy [1.05.60 Academic Deans Council](#))

**5.45 Department Heads** (*See also* Policy [5.06.30 Administrative Review of Department Heads](#); Policy [5.25 Compensation](#); Policy [5.92 Reassignment of Administrators/Department Heads](#))

A department head serves at the discretion of the dean/director, with the concurrence of the executive vice president and provost. All academic departments are administered by department heads under the cognizance of the college dean, graduate dean, if appropriate, and the executive vice president and provost.

- A. **Department Head Increment:** It is the policy of the university to provide additional stipends for those administering the academic departments, based upon the number of full-time faculty, part-time faculty, and graduate assistants supported from instruction and general funds. It is understood that this increment is included in the original offer to department heads just joining the faculty and is relinquished if the individual gives up the department head responsibilities.
- B. **Faculty Rank:** Department heads are academic administrators, with faculty rank, but eligible for consideration under all policies applying to the faculty. For example, some department heads have been promoted to a higher rank and some have been tenured, but obviously the promotion and tenure considerations were in keeping with their positions as members of the faculty.
- C. **Length of Appointment:** For department heads who are 12-month employees, the year is from July 1 to June 30. Department heads that have negotiated a 9-month appointment come under the policies of the regular faculty with respect to all pay and fringe benefits and normally are excluded from summer teaching. Department heads observe the administrative calendar.
- D. **Salary Determination:** When an internal candidate is selected, department head salary normally is determined by multiplying the 9-month faculty salary by 12/9 and adding the department head increment.
- E. **Summer Session:** (*See* [5.25.40 Compensation - Summer](#))

**5.45.10 Department Heads - Leaves**

- A. **Annual Leave:** Department heads are treated the same as all other 12-month employees, except for those provisions pertaining to teaching responsibilities. For example, regular full-time employees, including department heads, are granted 22 working days annual leave a year beginning with the date of employment. Unused annual leave may be accumulated but shall not exceed more than 30 working days. However, all department heads are urged to take annual leave each year because it is felt that administrators need this time off to ensure their continued effectiveness. A change in assignment of a 12-month person to less than annual regular employment within the university will result in payment of any unused leave up to 30 days. Also, a department head that terminates or retires from the university will be paid for unused leave up to

30 working days. Accurate annual leave records for department heads must be maintained in the deans' offices.

- B. Sick Leave: Under the 12-month plan for department heads, the sick leave policy is observed. Regular full-time employees are granted 12 working days of sick leave a year which may be accumulated up to 800 hours per year. A department head returning to a 9-month faculty contract is not eligible for unused sick leave, but comes under the sick leave policies for the faculty. Accurate sick leave records must be maintained in the deans' offices.
- C. Annual/Sick Leave for Acting Department Heads: Nine-month faculty who serve temporarily in exempt positions such as acting department head should be changed by Personnel Action Form from faculty to exempt staff for the period. Consequently, they will earn sick leave and annual leave at the regular 12-month rate, or at 9/12, 10/12, or 11/12 adjusted rates as applicable during the time of administrative service. If the faculty member returns to 9-month faculty status afterward, another Personnel Action Form should change the status again from exempt staff to faculty.
- D. Sabbatical Leave: Sabbatical leave for department heads is determined by a formula prorating the time they have been on 9- and 12-month contracts during the previous 6 years counted towards the sabbatical leave.
- E. Summer Sabbatical Leave: A department head gains eligibility for sabbatical leave as indicated in the sabbatical leave section(s) of this manual, and may elect to take such leave in segments. Each leave segment should be of sufficient length to permit a significant planned accomplishment. When segments are used, the accrual for the next sabbatical leave begins with the end of the year in which the first segment was taken. The entire sabbatical leave will be charged to the departmental salary budget.

#### **5.45.20 Department Heads - Responsibilities**

The following responsibilities of the department head are to be accomplished, insofar as possible, within budget and policy restraints.

- A. Academic Leadership: The department head is expected to be the academic leader of the departmental faculty. The department head is responsible for ensuring that highly qualified faculty are employed. Also, the department head ensures that official transcripts, including highest degree earned are obtained for every new faculty member's official personnel file (routed through the Office of the Executive Vice President and Provost). Insofar as possible, the kind of atmosphere in which the faculty can do their best work in teaching, research, and service should be maintained.
- B. Faculty Development: Leadership of the faculty implies working closely with the faculty on the development and sustenance of departmental courses and the stimulation and encouragement of faculty development. A performance evaluation of each faculty member will be carried out at least once a year and should be made in the positive vein of professional development. Evaluation of the progress of tenure-track faculty should be made in consultation with senior department faculty and in accordance with the highest national standards of faculty performance.
- C. Professional Contacts: The department head is responsible for encouraging the national and international professional contacts of the faculty within the constraints of the departmental budget. This implies appropriate travel and bringing well-known professionals to the campus.
- D. Teaching Support: The department head has no more important task than ensuring teaching excellence. Encouragement and support of good teaching must be given to faculty, especially new faculty. Copies of current syllabi will be maintained in the department head's office. The department head is responsible for ensuring an effective departmental evaluation of teaching, and for advisement of student departmental majors.
- E. Effective Management: The department head must ensure the effective administration of the

department, including keeping the faculty fully informed of department, college, and university matters. Routine and special reports, including grade reports and other matters, must be handled accurately and on time. Effective supervision and development of the department budget is important. The department head will keep the faculty informed on budgetary matters. All research and program contracts should be carefully supervised, both for fiscal integrity and academic appropriateness.

- F. Departmental Advocate/College and University Steward: The department head is expected to be an advocate of the department, yet at the same time appreciate the concerns and priorities of the college and university. The most important department activities in the development of faculty, programs, research, and service are done in close partnership with the office of the dean of the college.
- G. Liaison to Dean: The department head is responsible to the dean of the college for all the activities of the department. The dean should be kept apprised of all department activities and problems.
- H. Policy Compliance: The department head is responsible for ensuring that department, college, and university regulations are enforced.
- I. Role in Recruitment: The department head will inform the search committee chair if an underutilization memorandum is received from the Office of the executive vice president and provost for purposes of meeting affirmative action goals. The Search Committee Guidelines will be provided by the department head for tenure-track faculty positions.
- J. Supervision of Graduate Assistants: Graduate assistants are recommended for appointment by the department head. The appointment requires approval of the college and graduate dean. Three letters of recommendation are required for the approval. Specific orientation and training of graduate assistants are the responsibilities of the department head. Graduate assistants work under the close supervision of faculty. The policy on academic freedom does not apply to the service expected of graduate assistants. The assignment of teaching duties to graduate assistants is the responsibility of the department head. Such assignment requires that the department head ascertain that the graduate assistant is fully qualified and that the work performed by the graduate assistant be closely supervised by a member of the faculty responsible for monitoring the assigned tasks associated with the graduate assistant's teaching responsibility. Only those graduate assistants proficient in English may be assigned to teaching or teaching-related activities.

### 5.45.30 Department Heads - Teaching Requirements

Minimum teaching	for FA/SP/SI/SII Number of courses of <u>3 credits or equivalent*</u>
Doctorate granting departments	3
Master granting departments	4
Bachelor granting departments	5

#### \*Adjustments

With the approval of the dean, an adjustment of one fewer course than the above number of courses may be made by any department that qualifies for three or more points as listed below.

	<u>Points</u>
With 100 or more majors	1
With 15 or more graduate students	1
With \$300,000 in grants or more and/or \$20,000 in gifts in each year	1
With 15 or more faculty	1
With 30 or more faculty	1

### 5.47 Faculty Discipline and Appeal Processes *[Amendments deleting material from policies*

*4.05.50 and 5.98 and establishing this new policy were recommended by Faculty Senate's approval of Proposition No. 13-10/11A on 03.03.11, and by the Administrative Council as further amended on 04.12.11, and approved by the Board of Regents on 05.06.11.]]Amendment (FS Proposition 13-11/12A) passed by Faculty Senate 04.05.12; signed by the President 06.05.12; approved by Board of Regents 06.21.12]*

- A. **Purpose:** To establish policy and procedures by which allegations of serious faculty misconduct, or inability to perform essential functions of the job, may be addressed equitably, expeditiously and without violating the principles of academic freedom or due process.
- B. **Scope:** This policy applies when serious misconduct, or inability to perform essential functions of the job, is reasonably suspected of any tenured, tenure track, or regular, non-tenure track faculty within the NMSU System.
1. This policy does not apply to situations involving unsatisfactory job performance covered by other policies regarding the quality of teaching/advising, research/scholarship or outreach/extension or service. (*See 5.87 Post-Tenure Review; 5.90 Promotion and Tenure; 5.98 Tenure Track and Tenure policies*)
  2. This policy does not apply to situations involving the voluntary or involuntary retreat to a faculty position from an appointment as academic administrator, because such appointments are within the discretion of an executive administrator.
  3. This policy does not apply to situations involving non-renewal of the annual faculty contract.
- C. **Policy Administrator:** The Office of the Executive Vice President and Provost, jointly with the Office of Human Resource Services, administers this policy.
- D. **Definitions and Roles:**
1. "Clear and Convincing Evidence": Clear and convincing evidence means evidence that makes the fact to be proven highly probable or reasonably certain. To prove a fact by clear and convincing evidence is evidence stronger than a "preponderance" and yet less than "beyond a reasonable doubt;" for evidence to be clear and convincing, it must instantly tilt the scales in the affirmative when weighed against the evidence in opposition and the fact finder's mind is left with an abiding conviction that the evidence is true. (*See Also subsection K. 3.*)
  2. "Day": When a time limit refers to "day", it refers to business rather than calendar days (Monday through Friday), and excludes official university holidays.
  3. "Dean": When the policy refers to dean, it will include the equivalent ranks to dean, for academic units other than a college or library. It also will mean the designee serving in lieu of the dean, who may be designated by the Faculty Senate chair and assistant vice president for human resources, in consultation with the Office of the General Counsel, due to a conflict of interest on the part of the dean or dean equivalent. The dean serves as the informal pre-determination hearing officer. (*See subsection L., below.*)
  4. "Investigative Administrator": When the policy refers to the "investigative administrator", it refers to the individual who performs or coordinates the confidential investigation into the allegations against the faculty member, including issuance of the investigative report. (*See subsection H. below.*) The investigative administrator also consults with the Office of Human Resource Services and/or Office of General Counsel regarding the appropriate level of corrective action warranted, if any; prepares the notice of proposed corrective action; and presents the matter to the pre-determination officer (the dean). (*See subsections H- K below.*) The investigative administrator will usually be the immediate supervisor, or academic department head. It may also mean someone designated to serve in lieu of the immediate supervisor, in the event of a conflict of interest. (i.e. if the investigative administrator is implicated in the alleged misconduct.) In cases involving alleged discrimination in violation of federal or state law or university policy, it means a representative from the Office of

Institutional Equity. In cases involving alleged embezzlement or other white collar type criminal activity, the investigation may be conducted by law enforcement, the Office of Internal Audit or other expert in the field. In these instances, the investigative administrator will coordinate with the involved supervisor, and HRS in order to determine the facts and the appropriate corrective or disciplinary action.

5. "Preponderance of the Evidence": Preponderance of the evidence means the greater weight of the evidence. To prove a fact by the greater weight of the evidence means one must be persuaded that what is sought to be proved is more probably true than not true. Evenly balanced evidence is not sufficient. (*See Also subsection K. 3.*)
- E. Policy Overview: This section lists generally the steps which shall guide faculty and administration in the rare instance that serious misconduct, or inability to perform essential job functions, is reasonably suspected of a faculty member. More detail regarding each process is provided throughout this policy.
1. Administrative Leave. [no time frame indicated and will vary] (*See Section G.*)
  2. Internal Investigation. [no time frame indicated and will vary based on complexity] (*See Section H.*)
  3. Assessment of Appropriate Corrective Action. [no time frame indicated and will vary] (*See Section I.*)
  4. Assembly of Evidence and Notice of Intended Corrective Action. [no time frame indicated] (*See Section J.*)
  5. Pre-Determination Hearing (Decision by Dean). [20 days or less from receipt of request for hearing, unless extension] (*See Section M.*)
  6. Post-Determination Appeal Hearing (Decision by Executive Vice President and Provost). [45 days or less from receipt of Notice of Appeal, unless time extension] (*See Section N.*)
  7. Final Review (Decision by University President). [20 days or less from receipt of Request for Final Review, unless time extension] (*See Section O.*)

A flow chart indicating the steps in the investigative, corrective action and appeal processes involved in the case of serious misconduct or inability to perform essential job functions alleged against a faculty member may be viewed at [Appendix 5-C Faculty Discipline and Appeals Process Flow Chart](#).

- F. Alternative Dispute Resolution: At any stage in the processes described herein, if mutually agreed to between the parties, the disputed matter may be stayed as the parties attempt to resolve the dispute through an alternate method of dispute resolution, including but not limited to the following methods: mediation, settlement facilitation, or other negotiated resolution outside of the formal hearing processes provided for herein.
- G. Administrative Leave: When a faculty member is reasonably suspected or otherwise accused of serious misconduct constituting just cause under this policy, the faculty member may be placed on paid administrative leave pending a confidential investigation, in accordance with the following protocol:
1. These decisions will be made on a case by case basis by the department head or equivalent supervisor, in conjunction with the Office of Human Resource Services, and based upon the facts alleged in each matter, including the potential risk of harm to students, others or the institution.
  2. Approval from the assistant vice president of human resource services or designee is required to place any faculty member on paid administrative leave or to relocate, or to reassign job

duties, pending the investigation. The dean will be notified about the pendency of the internal investigation, but not about the factual details.

3. In lieu of paid administrative leave, a faculty member may be temporarily relocated to an alternate work environment or be assigned to perform alternate job duties, provided such temporary job modification will not in any way impede the investigation.
4. A faculty member placed on paid administrative leave shall remain available for communications from NMSU, and otherwise be ready to report to work upon request. If the faculty member has a need to be absent during a period of administrative leave, the faculty member shall obtain the appropriate approval.

H. Confidential Investigation: The allegations, and any defense raised by the faculty member in response to the allegations, shall be investigated fully and fairly, within a reasonable amount of time, and as confidentially as possible; based upon the circumstances involved in each matter.

1. The investigative administrator shall consult with the assistant vice president of human resources or designee and/or the university general counsel for guidance and support relating to the performance of the internal investigation.
2. The faculty member accused shall be provided notice of the charges at the appropriate time during the investigation, which may be when the investigation begins, or may be later, depending upon the nature of the allegations. The faculty member shall be given an opportunity to respond to the charges during the investigation process.
3. The investigation shall be documented with factual findings and supporting evidence. The evidence may consist of witness statements or summaries, documents, audio or video recordings or photographs, or other exhibits. The investigative report, including supporting documentation or other evidence, shall be delivered to the assistant vice president of human resource services. The investigative administrator shall retain the investigative work papers, investigative report and supporting documentation or other evidence in a confidential and secure location.
4. The investigative administrator shall confer with the assistant vice president for human resource services and/or the office of university general counsel to decide whether or not the findings warrant corrective administrative action.
5. As soon as practicable, the charged faculty member shall be informed generally regarding the results of the investigation.
6. If the faculty member is exonerated by the investigation, then no documentation referencing the investigation shall remain in the official personnel file, unless requested by the faculty member.
7. If corrective action is going to be pursued, the faculty member will be provided a copy of the investigative report and access to the supporting documents at the time that the corrective action is formally proposed.
8. In order to protect the positions and reputations of those persons who, in good faith, report reasonably suspected misconduct, the university prohibits retaliation in any form to be taken against the reporter or any person who cooperates in the investigative process. A complaint of suspected retaliation will also be cause for the initiation of a separate internal investigation to be conducted in coordination with the Office of Human Resource Services, and if substantiated, will be grounds for disciplinary action, up to and including termination of employment.
9. If the investigative report reflects that the alleged misconduct was not substantiated, the university will make efforts to restore the reputation of the faculty member, to the extent feasible and desired by the faculty member. Additionally, and depending upon the



circumstances, the university may initiate a separate internal investigation in the event the investigative report indicates that the initial report of suspected misconduct or any testimony given as part of the internal investigation may have been intentionally falsified. If deliberate falsification of such a complaint or testimony is substantiated, it will be grounds for disciplinary action against the false reporter, up to and including termination of employment.

- I. Just Cause Required: Just Cause, capable of being proven by the standard of proof set forth at subsection K.3, is required before suspension without pay, reduction in salary, or involuntary dismissal may be imposed. Just cause includes dishonest behavior, gross or habitual neglect of professional responsibilities, willful violation of NMSU policy, use of any improper influence to secure a promotion or privileges for individual advantage or any other serious misconduct causing or creating the potential for harm to person, property or the institution.

Just Cause may also be unrelated to any misconduct on the part of faculty, and could include a loss of licensure and/or clinical admitting privileges required for the performance of one's academic duties; or the medical inability to perform essential functions of the job.

- J. Administrative or Corrective Action: Corrective or other administrative action may be taken for serious misconduct or inability to perform the essential functions of one's job, if substantiated by the applicable standard of proof through the investigative fact finding process.

1. The types of administrative action anticipated by this policy include one or more of the following: written warning, mandatory attendance at training, suspension without pay, reduction in salary, and involuntary dismissal.
2. The range of corrective action which may be imposed for misconduct is not intended to require progressive discipline; rather, it is intended to allow the severity of the corrective action to match the seriousness of the policy violation or misconduct. The corrective action, if any, to be imposed will vary depending upon the severity of the misconduct substantiated by the investigative findings.
3. The investigative administrator and the assistant vice president of human resource services shall coordinate regarding the appropriate level of corrective action or other administrative action, and if it does not warrant suspension without pay, reduction in pay, or involuntary dismissal, shall decide whether other corrective or administrative action is appropriate.
4. If suspension without pay, reduction in salary or involuntary dismissal is supported by the investigative report and recommended by the investigative administrator, the due process hearing requirements outlined in the remainder of this policy shall apply.

- K. General Description of Due Process: A recommendation to dismiss from employment or to reduce salary attributable to regular faculty employment are serious corrective actions implicating one's property rights, which is why just cause and due process are required before such action may be taken.

1. Due process requires fair and timely hearing processes, before an impartial hearing official or body. The faculty member charged with misconduct and facing serious disciplinary action is entitled to a pre-determination hearing, at which the relevant facts are presented by the parties, and determined by a hearing officer to be accurate prior to proceeding with the proposed corrective action. This ensures that the faculty member has had an adequate opportunity to present a defense to the claims and the evidence; it also ensures that the decision makers have an accurate understanding of the facts underlying the recommendation.
2. The faculty member also has the right to a post-determination appeal to the executive vice president and provost, as well as the right to request a final review by the university president.
3. At the pre-determination hearing and any subsequent appeal, the burden of proving just cause by the applicable standard of proof is on NMSU. The standard of proof shall be clear and convincing evidence for all infractions, except for disciplinary action proposed for

discrimination proscribed by federal and state law, which matters are investigated by the university's Office of Institutional Equity; the burden of proof when discrimination constitutes the grounds for which the disciplinary action is being taken shall be preponderance of the evidence. (*See subsections D.4. and D.5.*)

- L. **Time Deadlines and Extensions:** The pre-determination, appeal and final review processes will be conducted as expeditiously as possible.
1. At the request from a party, a one-time extension of the time deadline may be granted, after notice to the other party and consideration of that party's position relative to the request.
  2. If the request for the time extension is from a hearing Faculty Appeals Board member, the chair of Faculty Senate may grant a reasonable extension, with notice to all parties.
  3. A second or subsequent request for time extension from any party or from a Faculty Appeals Board member will only be granted in exceptional cases, after consideration of the basis for the request and the respective positions of the parties. The Faculty Appeals Board or Faculty Senate chair may deny a request for extension, in the best interest of the institution, even if no party opposes it.
- M. **Pre-Determination Process:** **[25 days or less from date of issuance of notice letter or memo, unless time extension granted]**
1. **Notice of Proposed Administrative Action.** The investigative administrator or other uninvolved supervisor shall issue a letter or memo to the faculty member notifying the grounds for the recommended corrective action, and attach a copy of the investigative report. If for some reason, there is not a document entitled, "investigative report", the charges against the faculty member and the evidence substantiating the charges shall be provided. Guidelines for investigative reports are available in the Office of Human Resource Service or the Office of the General Counsel. The notice letter or memo shall explain the faculty member's right to attend an informal pre-determination hearing, and be delivered by hand-delivery or by certified U.S. mail, return receipt requested.
  2. **Right to Attend Pre-Determination Hearing. [5 days for faculty to confirm attendance at hearing]** A pre-determination hearing will be convened by the dean or Dean's Advisory Committee, as appropriate (*See 3 a. below*), in order to review the recommended action together with the evidence, and to hear the faculty member's position in response thereto. Within five (5) days of the documented receipt of the written notice of proposed administrative action, the faculty member shall notify the dean's office in writing whether or not the faculty member will attend the hearing and/or be represented by legal counsel.  
  
The faculty member shall also indicate whether or not the use of the Dean's Advisory Committee is requested. (*See 3. a. below*)  
  
If the faculty member chooses to not attend the informal fact finding hearing, a determination will be rendered in the faculty member's absence.
  3. **Informal Pre-Determination Hearing: [15 days or less]** An informal fact finding hearing shall be heard by either the dean or by the Dean's Advisory Committee, within fifteen (15) days from the date of the notice letter or memo, as follows:
    - a. **Option to Utilize a Dean's Advisory Committee:** The use of the Dean's Advisory Committee may be requested by the faculty member whose conduct is subject of the proceedings, or initiated at the discretion of the dean. The Dean's Advisory Committee shall consist of three members of Faculty Senate selected by the Faculty Senate chair. If utilized, it will assist the dean by hearing the evidence and the parties' respective positions, and by rendering findings of fact and recommendations.
      - i. If utilized, the Dean's Advisory Committee shall hold the hearing no later than

- fifteen (15) days from the date of the notice letter or memo to the faculty member.
- ii. If utilized, the Dean's Advisory Committee shall render written findings and recommendations, with the record, to the dean or designee and to the faculty member within five (5) days from the hearing;
- b. Hearing by Dean: If neither the dean nor the faculty member elects to utilize the Dean's Advisory Committee, the dean shall conduct the pre-determination hearing within fifteen (15) days from the date of the notice letter or memo.
  - c. Legal Counsel: If the faculty member is represented by legal counsel, the university may also utilize legal counsel. The role of the attorneys during the pre-determination hearing is not to actively participate or present, but to advise and provide support.
  - d. Conduct of Pre-Determination Hearing: At the pre-determination hearing, the faculty member will be given the opportunity to respond to the charges and to the evidence, including the submission of documentary and other evidence, such as any witness statements collected. In the event the faculty members informs the dean in advance of the hearing that an NMSU employee is a necessary witness and will not cooperate in providing a statement, NMSU will make arrangements for the witness to be available either in person or through other telephonic or technological means.
4. Issuance of Determination: **[10 days or less]** Within ten (10) days from the pre-determination hearing or from receipt of the Dean's Advisory Committee's findings and recommendations, as appropriate, the dean shall issue a determination to the parties, with a copy to the assistant vice president of human resource services and to the university's general counsel. The dean may uphold, modify or reject the proposed administrative action.
  5. Notification of Right to Appeal. The determination shall notify the faculty member of the right to appeal. If the faculty member does not appeal, a copy of the determination shall be sent to the Office of the Executive Vice President and Provost, as well as filed in the faculty member's official personnel file.
- N. Post-Determination Appeal: The aggrieved faculty member may appeal the determination of the dean in accordance with the policies and procedures below.
1. Initiation of Appeal: **[5 days]** To appeal, the faculty member ("appellant") shall submit a written notice of appeal to the Office of the Executive Vice President and Provost, within five (5) days from the receipt of the dean's determination. The appellant shall also send a copy of the notice of appeal to the dean and to the assistant vice president of human resource services.
  2. Notice to Convene Faculty Appeals Board: **[3 days]** Within three (3) days, the executive vice president and provost shall notify the Faculty Senate chair to convene the Faculty Appeals Board.
  3. Faculty Appeals Board:
    - a. Composition: The Faculty Appeals Board is convened as needed; its membership for any given appeal shall be determined based on the date the Notice of Appeal is received by the Office of the Executive Vice President and Provost. The Faculty Appeals Board shall consist of each senator with the longest continuous Faculty Senate service from each Faculty Senate voting unit. If a senator is from the same department or other academic unit as the appellant or is otherwise unable to serve (*See* M. 4 a. below), the senator with the next longest Faculty Senate service from the same voting unit shall be selected by the Faculty Senate chair to serve. If two senators have identical length of service, the senator with the longest service at the university will serve; if there still remains a tie, lots shall be drawn.
    - b. Quorum: All Faculty Appeals Board members are required to attend each appeal hearing.
    - c. Chair: The Faculty Appeals Board will elect one of its members to serve as chair on a hearing by hearing basis, after notification by the Faculty Senate chair to the appropriate senators that the Faculty Appeals Board needs to convene.
    - d. Administrative Support: The Faculty Senate chair and the assistant vice president of human resource services shall coordinate to provide the Faculty Appeals Board with the

necessary clerical, administrative and/or technical support it requires. They may also provide guidance to all parties regarding applicable time deadlines and other procedural issues that may arise.

4. Conduct of Appeal Hearing: **[25 days]** Within twenty five days (25) from the date of the notice of appeal, the Faculty Appeals Board shall schedule a hearing on the matter of the faculty member's appeal.
  - a. Fair and Impartial Hearing/Avoidance of Conflicts of Interest: Faculty members are entitled to a fair and impartial hearing. This includes the prompt resolution of actual and perceived conflicts of interest. (*See M. 3. a. above*)
    - i. Disclosure of Potential Conflicts of Interest:
      - The members of the Faculty Appeals Board shall disclose any potential or actual conflict of interest immediately, or as soon as practicable, in order that the issue may be fully resolved prior to the appeal hearing.
      - A party shall also raise the issue of a perceived conflict of interest as soon as the conflict is known.
    - ii. Resolution of Disclosed or Perceived Conflicts of Interest:
      - In the event a conflict of interest issue is raised, verbally or in writing by anyone, the Faculty Appeals Board chair shall give notice of the potential conflict to the parties and proceed to resolve the issue as expeditiously as possible.
      - If a challenged Faculty Appeals Board member agrees that the conflict is sufficient to render the member unable to participate in a fair and impartial manner, the member shall decline to participate and an alternate member will be selected by the Faculty Senate chair, in accordance with M. 3 a. above.
      - If the challenged Faculty Appeals Board member disagrees that there is a conflict sufficient to affect impartiality, the matter will be decided by the Faculty Senate chair.
        - Each party may provide their position on the issue, and to comment on the position of the other party.
        - If a Faculty Appeals Board member is excused based on a finding of conflict of interest, an alternate member will be selected by the Faculty Senate chair, in accordance with M. 3 a. above.
    - iii. Guidelines for Determining Conflicts of Interest:
      - Under no circumstances will a Faculty Appeals Board member participate in a hearing convened to hear an appeal by a person with whom the member has a familial, personal or close professional relationship. A Faculty Appeals Board member shall not hear a matter involving faculty from their own NMSU entity.
      - If one or more of the witnesses has a close relationship with one of the Faculty Appeals Board members, disqualification from service shall not be automatic, but shall be decided based upon the specific facts of each case.
      - If the appellant or a witness has had prior contact with either the assigned mediator or a hearing panel member, disqualification from service shall not be automatic, but shall be decided based upon the specific facts of each case.
  - b. Scope of Hearing and Burden of Proof: The hearing will be limited to the issues relevant to those identified in the notice of proposed corrective action, and the university bears the burden of showing that the action taken was supported by just cause.
  - c. Closed Hearing: The hearing will be closed to the public.
  - d. Hearing Record: The hearing will be electronically or digitally recorded. NMSU will

- not provide transcripts of the hearing; upon request and payment of a reasonable recording fee, the university will provide an audio, digital or other form of recording, as appropriate. (*See also* subsection O. below)
- e. **Informal Nature of Hearing:** The hearings of the Faculty Appeals Board are not bound by the rules of civil procedure, and any evidence of probative value in determining the issues involved may be admitted. Every possible effort will be made to obtain the most reliable evidence available.
  - f. **Legal Counsel:** Each party may be represented by legal counsel in their preparations for the hearing and appearance before the Faculty Appeals Board.
  - g. **Notice of Hearing:** The chair will notify the appellant, respondent NMSU department and other appropriate persons in writing the date, time, and location of the hearing. The hearing will be scheduled within twenty five (25) days from the date of the notice of appeal.
  - h. **Pre-Hearing Exchange of Documents: [5 days prior to hearing]** At least five days prior to the hearing, each party shall submit a copy of their position statement and supporting evidence to the assistant vice president for human resource services, and to the other party via secure electronic delivery, or other confidential means. The assistant vice president for human resource services shall ensure that each member of the Faculty Appeals Board receives a copy at least three (3) days prior to the hearing.
  - i. **Exclusion of Witnesses:** Witnesses shall be excluded from the hearing except to provide their testimony. This rule does not apply to parties, who may also be witnesses.
  - j. **Fair and Orderly Hearing:** The chair will assure that all parties have an adequate opportunity to present relevant evidence to the Faculty Appeals Board. Each party may call witnesses in support of their respective position. The Faculty Appeals Board may allocate reasonable time limits for each party. Each party will be invited to make an introductory opening statement, to present witness testimony and documentary evidence, and if time allows, to provide a summation of the evidence tendered. Each party shall be permitted an opportunity to cross examine the witnesses called by the opposing party.
  - k. **Closure of Hearing:** After the parties have concluded their presentations, the Chair will formally close the appeal hearing, and excuse the parties and witnesses.
  - l. **Deliberations by Faculty Appeals Board:** The Faculty Appeals Board will deliberate on the evidence received at the hearing; depending upon the time the hearing is concluded, the Faculty Appeals Board may recess and continue their deliberations to another date and time.
  - m. **Issuance of Findings and Recommendations: [15 days or less]** Within 15 days from the close of the appeal hearing, the chair shall submit the faculty appeals Faculty Appeals Board's collective findings and recommended conclusions on the issue of whether or not the action taken was supported by just cause, including the vote count and any dissenting opinion, along with the appeal hearing record. The Faculty Appeals Board shall not distribute its findings and recommendations, or otherwise disseminate any information from the confidential personnel hearing, to any person or office other than the Office of the Executive Vice President and Provost.
5. **Decision by Executive Vice President and Provost: [10 days or less]** The executive vice president and provost shall issue a decision to the parties within ten (10) days from receipt of the Faculty Appeals Board's findings and recommendations and the record.
- a. In the event of a conflict of interest or other disqualifying event on the part of the executive vice president and provost, university general counsel will select a designee to decide the appeal, potentially including an outside professional.
  - b. The executive vice president and provost's decision shall notify the faculty member of the right to seek a final review by the university president. A copy of the Faculty Appeals Board's findings and recommendations shall be attached to the decision.
  - c. If no final review is sought, a copy of the executive vice president and provost's decision will be filed in the faculty member's official personnel file.
- O. **Final Review by University President:** The aggrieved faculty member ("appellant") may appeal the decision of the executive vice president and provost in accordance with the following:

1. **Request for Final Review: [5 days]** Final review shall be initiated by filing a written request for with the Office of the University President within five (5) days from receipt of the executive vice president and provost's decision. The appellant shall also send a copy of the request for final review to the executive vice president and to the assistant vice president of human resource services.
  2. **Designee in Event of Unavailability:** In the event of a conflict of interest or other disqualifying event on the part of the president, the university's general counsel will select a designee to render the final review, potentially including an outside professional.
  3. **Review: [20 days or less]** The president shall review the record and issue a final decision on behalf of the university within twenty (20) days from receipt of the request for final review and receipt of the record. In the event that the president wishes to hear from any party about the evidence in the record, all parties shall be present.
  4. **Issuance of Final Decision:** The president's decision shall be delivered to the parties and to the Faculty Appeals Board's chair, to the assistant vice president for human resource services and to the university general counsel. The decision of the university president shall be final. A copy of the president's decision shall be filed in the faculty member's official personnel file.
- P. **Maintenance and Storage of All Hearing Records:** The pre-determination, appeal and final review hearing records consisting of all official hearing correspondence, position statements and evidence submitted by the parties, and electronic recordings will be filed in the Office of Human Resource Services. A copy of the final decision in each contested personnel matter shall also be filed and maintained permanently in the Office of the Executive Vice President and Provost.

**5.55 Emeritus Status** *[Amendment (FS Proposition 15-09/10) passed 04.29.10; recommended by Administrative Council 05.11.10; approved by Board of Regents 07.20.10]*

- A. **Emeritus Status:** The university provides for the emeritus faculty member the privileges and services available to all other faculty members. In furthering this objective, the following policies pertain: Emeritus status for faculty is based upon two conditions:
1. That the faculty member is eligible for retirement under the New Mexico Educational Retirement Act or the Federal Civil Service; and
  2. That the faculty member is tenured by the university; or is a college faculty who has been promoted (as per College Faculty promotion policies) to the rank of college professor.
- B. **Emeritus Benefits:** Individual emeritus faculty shall be listed for life as emeriti in the catalog. Emeritus faculty will receive general university publications (*e.g., Page One*) upon request. They may be issued identification cards; be listed in the university phone directory; have on-campus office or work facilities (if available, requested, and approved); and may be requested as an emeritus consultant. (*See also Policy 7.26 Retirement, Educational*)

**5.60 Endowed Chairs and Professorships**

Appointment of individuals to the following endowed chairs/professorships requires the approval of the cognizant dean and also the executive vice president and provost:

- The Gerald W. Thomas Chair in Food Production and Natural Resources
- Jose Fernandez Chair in Field Crop Production
- Telemetering and Telecommunication Chair
- The Tombaugh Professorship in Astronomy

**5.65 Faculty Exchange**

- A. Eligibility: All full-time faculty and staff are eligible to participate in exchanges, with the approval of the cognizant department head, dean, director, vice president, and executive vice president and provost. The number of exchanges in any period will be limited only by the resources available to support exchange, and to the extent which exchanges can positively affect the teaching, research and service programs of the college. Faculty will be encouraged to consider international exchanges and sabbaticals.
- B. Length: Exchanges may be for any length of time subject to the approval of the cognizant administrators.
- C. Compensation: The university will continue to pay the exchange participant's salary and fringe benefits during participation in an approved exchange program. The participant, in effect, remains under contract with the university. A faculty or staff member preparing for exchange, or on exchange, will be considered the same as a continuing faculty or staff member for the purposes of annual salary incremental decisions. Individuals and departments may propose other approaches to compensation, depending upon the particular exchange circumstance.
- D. Promotion, Leave, and Other Considerations: Exchange participants will not lose rights or progress toward promotion, tenure, and sabbatical leave considerations by virtue of their participation in an exchange program. In other personnel considerations, exchange participants will be treated, to the extent possible, as if they were in residence at the university.
- E. Rights and Responsibilities: Exchange participants will not lose any rights or responsibilities as members of the faculty and staff or as employees of the university by virtue of participation in the exchange program.
- F. Legal and Contractual Obligations: A Leave Request Form is required. Exchange assignments will be detailed in a Home Memorandum of Agreement following placement. Any special legal or contractual obligations of the individual or the institution will be specified on this form. A similar form will be signed between the exchange participant and the host institution. For incoming exchange participants, the college will specify on a Host Memorandum of Agreement any contractual obligations, exchange responsibilities, and any special considerations related to the incoming faculty or staff member. No housing or relocation expenses will be paid to either outgoing or incoming exchange faculty or staff unless agreed to in the Memorandum of Agreement.

## 5.84

### **Office Hours** (*See also* Policies [3.70 Office Hours - Administrative](#); [7.10 Holidays \(NMSU Official\)](#) and [8.75 Workweek](#))

- A. Work Hours: Faculty members will be present and available to students during the entire official dates of every academic semester. For the Fall semester, they will be available from the date of opening programs for faculty/staff through the date final grades are due; for the Spring semester, they will be available from the January return date listed as a note on the academic calendar through the date final grades are due.
- B. Faculty Absence from Class: A faculty member is responsible for informing the department head prior to being absent from campus for the purpose of out-of-city or out-of-state travel. In case of illness, the general practice is for another member of the department to substitute until the faculty member returns. However, the faculty member is responsible for informing the department head of absence from classes for any reason.
- C. Adherence to Class Schedule: Each faculty member is expected to meet classes as scheduled or to notify the department head in advance if it is necessary to miss classes. Faculty members will meet each class at the place listed in the schedule unless they have approval from the department head to meet elsewhere. (This especially pertains to changing a class to any off-campus location.)
- D. Office Hours for Students: Each faculty member is responsible to have office hours clearly posted and to be present during those times.

- E. Classes to Meet During Exam Week: Also, every class will meet during exam week, whether or not a final examination is given at that meeting.
- F. Class Cancellation: Classes are not to be cancelled without prior approval of the appropriate department head, dean, or campus executive officer.

## 5.86

**Performance Evaluation** (See 5.45 Department Head - Review and 5.35 Deans - Review above, as well as 5.15.40 Appointments - Nontenure-Track)

- A. Policy Statement: The performance of each faculty member will be reviewed at least once a year by the department head, comparable administrator, or a committee. This review will include a written report submitted by the faculty member. The form(s) of this report shall be determined by individual colleges (community colleges) in consultation with their departments. The department head or comparable administrator shall report the results of this review to the individual being reviewed. These results shall serve to establish the goals for the following year. A written copy of the evaluation shall be given to the faculty member.
- B. Procedures for the Faculty Performance Evaluation System:
  1. Each college uses its own performance evaluation form. Early in each fall semester the department head or comparable administrator supplies each faculty member with a form. At this time the department head confers with new faculty members concerning the recording of objectives and goals and the general use of the form. In the case of continuing faculty members, the department head or faculty may request a conference for the purpose of revising or updating objectives previously agreed upon. Department heads will share the above agreements in writing with the faculty member.
  2. Department heads are expected to meet with all new and returning faculty members regarding progress toward promotion and tenure and to certify in writing to the appropriate dean that these meetings have occurred. Specific evaluative comments in each of the three areas of performance are required, as well as separate comments about progress toward tenure and toward promotion.
  3. Each faculty member completes a written form detailing and citing accomplishments in the broad categories of teaching, research and/or creative scholarship, and service during the performance evaluation period. The type, method of collection, and disposition of evidence regarding effectiveness of teaching is of particular importance, and faculty should consult with department heads concerning collection of this evidence. The performance evaluation form, along with any supplemental material, is submitted by each faculty member to the faculty member's department head.
  4. The department head reviews the faculty performance forms, prepares a written evaluation based upon accomplishments reported as compared with previously set goals and objectives (a copy of this report will be shared with the faculty member), and confers with appropriate deans to achieve consensus on the written recommendation and the prepared summary to be discussed with the faculty member. Following the conference with the dean, the department head meets with the faculty member to discuss all aspects of the performance evaluation, addressing separately the person's progress toward promotion, progress toward tenure, strengths, and weaknesses. This conference also serves to set goals and objectives for the ensuing year. No mention shall be made at this conference of the recommendation in terms of dollars. These goals and objectives will be placed in writing, with a copy to the faculty member.
  5. At community colleges with program coordinators, the coordinator performs the duties of a department head in the evaluation process. The coordinator will confer with the community college executive officer, who in turn confers with the executive vice president and provost.
  6. Department heads formulate recommendations where appropriate regarding promotion and tenure on the basis of policies stated in this manual. These are communicated to the college



dean.

7. Each college generates its own time schedule for accomplishing the above items, within the parameters of the university calendar.
8. It will be the function of the Faculty Senate to legislate policy regarding the Faculty Performance Evaluation System.

## **5.87 Post-Tenure Review** *[Policy (Proposition 22-05/06) passed by Faculty Senate 05.04.06; signed by president 05.21.06; ratified by Board of Regents 09.08.06]*

### **5.87.1 Introduction**

The Post-Tenure Review Policy ensures that all tenured faculty members will receive an annual review and that those with either exceptionally fine performance or serious deficiencies in one or more areas will be identified. Special achievement shall be rewarded in a manner determined by each college or community college campus. For a tenured faculty member who receives two successive unsatisfactory annual reviews with identified and uncorrected serious deficiencies, this policy provides a mechanism to establish a remedial program for correcting the deficiencies. The legislation to which this policy responds is particularly concerned with the quality of teaching, and that fact shall be considered when taking any action under this policy. In particular, faculty whose teaching needs improvement will be urged to take advantage of “programs designed to assist faculty members in enhancing their teaching skills.” (NMSA 1978, Section 21-1-7.1)

### **5.87.2 Annual Reviews**

- A. Annual Review for Tenured Faculty: Tenured faculty members annually participate in and receive an extensive examination of their teaching, their research and scholarly output, and their service as part of the annual review process conducted in accordance with 5.86 Performance Evaluations of the Policy Manual. This annual review document shall be labeled the Post Tenure Review of each tenured faculty member. This Post Tenure Review shall weight the three areas of teaching, scholarly work, and service in proportion to the percentage each category is given in the faculty member’s allocation of effort for a given year.
- B. Post Tenure Review Not Applicable for Full Time Administrators: Administrators who hold tenured faculty rank are reviewed on the performance of their faculty duties (teaching, research, and service). Administrators who have no assigned faculty duties will not be reviewed under this policy.

### **5.87.3 More Complete Post-Tenure Reviews**

- A. Notification to Faculty Member about Deficiency: If, in the judgment of a superior, the annual review for a tenured faculty member shows a serious deficiency in the performance of that faculty member, the superior shall inform the faculty member in writing of the deficiency as well as recommend actions the faculty member might take to address the issue.
- B. Deficiency Not Rectified: If the deficiency or deficiencies continues for two or more years and if the faculty member has not taken the corrective actions, one of two possible courses of action may ensue:
  1. The faculty member may request that the superior submit the record of poor performance and suggested actions to the other tenured faculty members of the unit for consideration in a more complete review, or
  2. If the faculty member does not request the review, the superior may initiate such a review with the concurrence of a majority of the tenured faculty in the academic unit.
- C. Goal of and Procedures for More Complete Review: The more complete review shall have the aim of identifying strengths and weaknesses of the faculty member in teaching, research, and service.

1. This review shall be undertaken by the departmental promotion and tenure committee.
2. If there is no departmental promotion and tenure committee for that unit, the review will be undertaken by the equivalent college-level promotion and tenure committee as specified in [5.90 Promotion and Tenure](#) of this manual.
3. Student evaluations must be considered when evaluating the faculty member's teaching, along with other factors.
4. If the reviewers conclude that the faculty member's performance is not seriously deficient, the faculty member shall be so informed and a statement of the finding placed in the faculty member's personnel file.
5. If serious deficiency is found, a specific remedial program shall be developed in consultation with the faculty member that includes procedures, criteria for evaluating progress, and a reasonable timetable. If the faculty member's teaching needs improvement, such a program might include participation in programs offered by the Teaching Academy, mentoring by a recipient of teaching awards, intensive study of videotaped classroom sessions, etc. When research and publication needs improvement, collaboration with another faculty member and participation in workshops on publishing might be indicated. However, in accordance with NMSA 1978, Section 21-1-7.1, part E(1), any remedial effort can be no shorter than two years in length.

#### **5.87.4 Enhancement Program**

Whether or not a tenured faculty member accepts the recommendation to participate in a teaching or scholarly work enhancement program, and whether or not the member performs well in the program, the faculty member's performance will be judged on subsequent teaching and scholarly work.

#### **5.87.5 Frequency of Review**

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

#### **5.87.6 Persistent Teaching Deficiencies**

If a tenured faculty member's teaching deficiencies are considered by the executive vice president and provost to be very serious and to have been uncorrected at the conclusion of the agreed time period, and further, if there is evidence that the faculty member's teaching performance has deteriorated since the award of tenure such that the faculty member's teaching performance is now typically unsatisfactory, the executive vice president and provost shall recommend loss of tenure for the faculty member in question.

If tenure is to be revoked, the university shall follow the processes specified in [5.98 Tenure Track and Tenure](#) for Involuntary Termination of a Continuous Contract, subject to the safeguards of [4.25 Due Process](#).

#### **5.87.7 Reporting**

Every year, each academic dean and the chief community college executive officer of each campus shall report to the executive vice president and provost.

- A. The number of tenured faculty receiving annual evaluations,
- B. The number receiving unsatisfactory evaluations,
- C. The number of tenured faculty who have been the subject of a more detailed peer review,

- D. The number of faculty who have participated in a remedial program as a result,
- E. The results of those programs,
- F. And the number of faculty whose tenure have been revoked

**5.90 Promotion and Tenure (for listing of specific topics, See NMSU Policy Manual Table of Contents)** *(See also NMSU Policies website for postings of Procedural Clarifications from the Office of the Provost relating to this policy) [Policy (FS Proposition 18-06/07 to be effective 08.01.08) passed by Faculty Senate 05.03.07; signed by president 05.11.07][Amendment (FS Proposition 16-07/08 to be effective 08.01.08) passed by Faculty Senate 03.06.08; signed by president 04.30.08; ratified by Board of Regents 07.15.08]*

**5.90.1 Introduction**

- A. Promotion and tenure decisions are the means by which NMSU rewards and retains its most valued scholars, sustains excellence in its instructional disciplines, and fulfills its mission to advance knowledge. The quality of faculty accomplishments in teaching and advising (or its equivalent), scholarship and creative activity, extension, outreach and service largely determines the quality of the university as a whole. The granting of tenure or promotion to associate or full professor represents a prediction by the university that the individual concerned will continue to make substantial contributions to the profession and the university.
- B. The processes involved in promotion and tenure rely upon basic principles in order to be effective. Above all, the promotion and tenure processes must be fair, transparent, and participatory. These values mean that decisions must be made without regard to race, national origin, gender, gender identity, age, disability, political beliefs, religion, marital status, sexual orientation, special friendships, or animus towards candidates, taking care to avoid conflicts of interest, structural, institutional, or habitual thoughts and patterns that could lead to discrimination. NMSU values the richness that inquiry based upon intellectual and cultural differences brings to the university community.
- C. Each principal unit must develop written standards by the end of the Spring Semester of 2008 based on criteria developed by that principal unit subject to the approval of the dean or equivalent administrator. Criteria and procedures must be clear and readily available to all participants and must be followed by all participants at each level of the process. Therefore, it is imperative that clear standards for annual performance evaluation, promotion, and tenure be articulated and broadly publicized. Applicants for tenure or promotion must be judged on their performance of the duties assigned to them, following agreed-upon allocations of effort. The process needs to involve broad consultation by groups and individuals with successively broader views of the mission of the university, and provide the opportunity for appeal. In order to achieve fairness, transparency, and broad-based participation, all of the parties must base decisions on the documentation called for by this policy.
- D. This policy relies on the four types of scholarship defined by Ernest L. Boyer (1990) in his book "Scholarship Reconsidered"<sup>1</sup>, namely, the scholarships of discovery, of teaching, of integration, and of engagement. Broadening the definition of scholarship (*See 5.90.4.2 Scholarships and Creative Activity*) reflects the changing roles of faculty members in teaching and advising, scholarship and creative activity, extension, outreach and service.
- E. This policy takes effect at the beginning of the Fall Semester, 2008.

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<sup>1</sup> Boyer, Ernest L. (1990). *Scholarship reconsidered: Priorities of the Professoriate*. New York: Carnegie Foundation for the Advancement of Teaching.

## 5.90.2 Glossary

Key terms used throughout this document are defined here.

- A. Allocation of Effort: The percentage of effort, agreed upon by the faculty member and department head or supervisor, that the faculty member will devote to each of the major categories of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach and other assigned duties.
- B. Annual Performance Review: See 5.86 Performance Evaluation
- C. College Faculty: A faculty member on a regular (0.5 FTE or greater) appointment, who is not eligible for tenure. (See also Policy 4.30.10 Hiring Definitions; Policy 5.15.40 Appointments-Nontenure Track)
- D. Core Document: A document submitted in the portfolio for promotion or tenure that includes several specific elements: a routing form, cover sheet, table of contents, curriculum vitae, executive summary, department head and dean letters, prior and current allocation of effort statements, annual performance evaluations, summary of teaching evaluations, and letters of support. (See 5.90.5.1 Performance Evaluations and 5.90.5.5 Portfolio Preparation)
- E. Curriculum Vitae: A detailed summary that reflects the candidate's educational and academic experiences that are relevant to the position.
- F. Documentation File: An organized collection of supplemental documents and other materials that supports, explains, or clarifies the quality and significance of the candidate's work. Administrators and committee members must have access to this file, which is stored by the Principal Unit.
- G. Executive Summary: A summative report and personal statement by the candidate that addresses their activities in and philosophies regarding teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach, and other assigned areas.
- H. Extension: The process of defining and building relationships between communities and the university to extend university resources and intellectual expertise through coalition building, non-formal educational programs, and applied research designed to address locally identified needs.
- I. Flexibility in Tenure-Track: The extension or reduction of the pre-tenure probationary period under certain circumstances.
- J. Formative Evaluation: Evaluation that allows for continuous feedback and improvement.
- K. Joint Appointment: A faculty line shared between two departments or colleges; the appointee enjoys all the privileges and incurs all the responsibilities normally given in each area.
- L. Mid-probationary Review: A formal, non-mandatory mid-term assessment requested by a tenure-track faculty member of their professional development and progress toward tenure. The mid-probationary review is in addition to the annual performance evaluation.
- M. Outreach: Entails an organized and planned program of activities which are offered to citizens of New Mexico and the nation; these activities bring the resources of the university to bear in a coherent and strategic fashion for the benefit of the receiving entity.
- N. Peer Evaluation: Assessment of teaching style, content, and effectiveness gained through observation by colleagues; the observations may come in such forms as classroom visits, participation in web-based courses, review of videotaped teaching, or reviews of course materials collected/created by the faculty member being reviewed.

- O. Performance Evaluation: An annual report prepared by the faculty member documenting activities in the areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach, and other assigned areas. The department head (or other assigned supervisor) provides the faculty member with a written appraisal of the faculty member's performance.
- P. Portfolio: Consists of the core document and documentation file that supports the candidate's case for promotion or tenure.
- Q. Post-tenure Review: An annual review designed to identify strengths and weaknesses of the tenured faculty member in the areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach and other assigned areas. The Performance Evaluation generally serves the above aim; however, if deemed necessary due to deficiencies, a more extensive review may be initiated. (*See Policy 5.87 Post Tenure Review*)
- R. Probationary Period: The cumulative amount of time spent under term appointments while on the "tenure-track." (*See 5.90.3.6 Flexibility in Tenure Track*)
- S. Principal Unit: A tenure home unit responsible for conducting annual faculty performance evaluations and making promotion and tenure decisions. This definition includes Departments, Colleges, Community Colleges, Cooperative Extension Service, and the Library, but not centers, clusters, or institutes.
- T. Research: (*See Scholarship*)
- U. Scholarship: Both activity and product, scholarship includes discovery through original research; integration through synthesizing and reintegration of knowledge; application through professional practice; and teaching through transformation of knowledge. (*See Boyer, 1990 and 5.90.4.2 Scholarship and Creative Activity*)
- V. Supporting Documents: Material available to the Promotion and Tenure Committee in the *Documentation File* that serves to further support, explain, or clarify the *Core Document*.
- W. Tenure: Continuous contract granted after a probationary period to a faculty member that gives protection from dismissal without due process; the primary purpose of tenure is to protect academic freedom and offer economic security.
- X. Tenure Clock: (*See 5.90.3.6 Flexibility in Tenure Track*)
- Y. Tenure Home: The principal unit where tenure and rank resides or will reside.
- Z. Tenure-Track Faculty: A faculty member who is eligible for tenure but who has not yet been granted tenure.
- AA. Tenured Faculty: A faculty member who has been granted a continuous contract by the university.

### 5.90.3 Guiding Principles

The following guiding principles are critical underpinnings to the promotion and tenure process at NMSU.

#### 5.90.3.1 Faculty Participation

The selection and retention of faculty members are of utmost importance to the quality of the university, the achievement of university goals, and the future of the institution. In order to ensure a fair process for recognition of excellent faculty, it shall be the policy of the university to allow faculty members to vote on the promotion or tenure of departmental colleagues, exercising collegial judgment based on an established set of criteria.

### 5.90.3.2 Transparency of Process

- A. Access to Promotion and Tenure Policies/University Posting: For faculty members to trust the promotion and tenure process, they need to have a clear idea of what is expected of them, how they will be evaluated, and the rules of the process. To this end, the university website will include a specific link to the university-wide promotion and tenure policy, professional ethics related to promotion and tenure, the appeals process, and links to college, department, or division policy statements.
- B. Departmental and Principal Unit Postings:
  - 1. To promote the transparency of the process, each principal unit shall post on its website its written policy document aligned with the Guiding Principles, Criteria, and Policies outlined in this policy.
  - 2. Websites will also contain links to the university's promotion and tenure documents, as well as to each of the department websites.
  - 3. In addition, each department shall post on its website its current statement of goals, objectives, and expectations as these relate to promotion and tenure (sometimes called a functions and criteria statement). These shall be agreed upon by the faculty in each department and approved by the responsible dean or comparable administrator.
- C. Policies to be Provided to Eligible Faculty: A written copy of promotion and tenure policies will be given to all tenure-track, tenured, college and research faculty who are eligible for consideration for promotion or tenure.

#### 5.90.3.2.1 Conflict of Interest – (See Policies 3.19 Conflicts of Interest - Ethical Conduct and 3.22 Conflicts of Interest Arising from Consensual Relationships)

### 5.90.3.3 Performance Evaluation

The annual performance evaluation is a component of the promotion and tenure process. This multi-layered evaluation system relies on consistency at each level of review. The performance of each faculty member, including college faculty, will be reviewed at least once a year. The performance evaluation provides documentation of expectations and a record of faculty performance relative to stated expectations. The form of the evaluation is determined by the college or community college and shall align with promotion and tenure expectations. (See 5.90.5.1 Performance Evaluations and 5.90.6 Post Tenure Review)

### 5.90.3.4 Allocation of Effort

- A. Service to Mission: The amount of effort that faculty members regardless of rank or position devote to the various aspects of their duties necessarily varies, and any fair promotion and tenure process will recognize these variations. A successful process considers whether the faculty member is effectively serving the mission of the university, as defined by a department's criteria and the individual's agreed upon goals and objectives. This means, for example, that the efforts of a faculty member made in response to administrators or committees are taken into account during promotion and tenure evaluation and are not discredited.
- B. Fairness Despite Variance in Duties: One faculty member may devote more time to teaching at one point than at another. The efforts of two faculty members may vary at the same points in their careers according to their particular strengths and department needs. Faculty assignments in different departments will also vary. It is fundamentally unfair, for example, to expect the same amount of scholarship and creative activity, service, extension, or outreach from a faculty member teaching one class a semester as from another faculty member teaching three classes a semester or several large lecture classes.

- C. Equitable Treatment: In order to ensure equitable treatment, every faculty member will complete an allocation of effort statement as part of the annual evaluation process. (*See also 5.20.20 Assignments - Teaching Load*) When determining the allocation of effort, decisions must be made without regard to race, national origin, gender, gender identity, age, disability, political beliefs, religion, marital status, sexual orientation, special friendships, or animus towards candidates. Further, for the allocation of effort statement to be accurate and useful, administrators at all levels must understand and take an active role in avoiding institutional factors that could produce an undue burden on untenured faculty members and those from underrepresented groups in the allocation of effort process.
- D. Use of Allocation of Effort Statement: Each college shall develop and use an allocation of effort statement as specified in 5.90.5.1 Performance Evaluations. These statements shall be a part of the faculty member's tenure and/or promotion portfolio, and all aspects of the agreed upon efforts shall be factored into the recommendation made at each step of the process.

### 5.90.3.5 The Professorial Ranks

- A. Instructor:
  - 1. Demonstrates expertise within their discipline through practical, applied, and/or related experience.
  - 2. Individuals new to this rank may not have demonstrated ability to conduct independent scholarship and creative activity, but there must be substantive evidence of likely success at university teaching or its equivalent.
  - 3. Instructors may be working toward a terminal degree.
  - 4. An instructor's job description primarily relates to teaching or its equivalent and usually does not include scholarship and creative activity.
  - 5. An instructor is not eligible for tenure, except at the community colleges.
- B. College Faculty: A person holding a college faculty appointment is eligible for advancement in rank but not eligible for tenure.
- C. Assistant Professor:
  - 1. Normally holds the highest terminal degree in their field of expertise.
  - 2. Outstanding experience and recognition in a professional field may be considered the equivalent of the terminal degree.
  - 3. An assistant professor is expected to have a thorough command of the subject matter of some segment of the discipline, in addition to a comprehension of the whole.
  - 4. Assistant professors are tenure-track faculty members hired on a yearly, renewable contract for a maximum of seven years.
  - 5. During the sixth year, assistant professors typically are evaluated for promotion and tenure simultaneously, having submitted their portfolio at the beginning of that year.
  - 6. However, an assistant professor may elect to apply for tenure or promotion at any time with the written approval of department head and dean or their equivalents.
  - 7. The application for tenure may occur only one time.

D. Associate Professor:

1. An associate professor is often a mid-career faculty member who has been awarded tenure.
2. If a faculty member is initially employed at the rank of associate professor without tenure, the probationary period may vary depending upon agreements stipulated in writing at the time of initial hire.
3. Once tenured, associate professors may hold this rank indefinitely or apply for promotion.
4. Promotion to professor should not be considered to be forthcoming merely because of years of service to the university, or because tenure has previously been awarded.
5. In accordance with the principal unit's timelines, a faculty member may present a promotion portfolio in any given year.
6. An associate professor must demonstrate competence, continuous progress, and maturity over a large part of the academic field.
7. It is expected that evidence showing high quality of teaching and scholarship and creative activity has been provided and is current.

E. Professor:

1. A professor, sometimes referred to as a "full professor," has established disciplinary, intellectual, and institutional leadership.
2. The professor demonstrates command and a mature view of the disciplinary field as evidenced by teaching and advising (or its equivalent) or similar experience, scholarship and creative activity, service, extension, or outreach.
3. Faculty members initially hired at the rank of professor are often given tenure on appointment.

### **5.90.3.6 Flexibility in Tenure-Track**

Normally, before being considered for tenure, eligible faculty members serve six consecutive probationary years. The probationary period begins with the first year of the contract. Note that according to [5.98 Tenure Track and Tenure](#), "New tenure-track faculty reporting for duty after the last Friday in September (12-month employees) or the second Friday in October (9-month employees) will not receive a temporary contract..." The first contract will be issued at the beginning of the next contract period, which will constitute the first year of the probationary period toward tenure. During the sixth year, a case for tenure and/or promotion is made by the faculty member and considered by the university. Those achieving tenure are awarded a continuous contract at the end of their sixth year, while those not awarded tenure are given a one-year terminal contract for their seventh and final year of employment at NMSU. There may be exceptions, however, to shorten or lengthen the normal six-year probationary period.

#### **5.90.3.6.1 Credit for Prior Service**

- A. Faculty members with previous teaching and advising (or its equivalent), service, extension, outreach, scholarly, and/or administrative experience at another institution may have some or all of that experience taken into consideration on appointment at NMSU.
- B. With executive vice-president and provost approval, and particularly when tenure has been granted to a candidate at another institution, tenure may be accorded at the time of initial appointment to the university.
- C. Prior probationary service at another institution may count towards the six-year probationary



period at NMSU, but usually only up to a maximum of three years.

- D. Any expedited schedule must be recommended by the department head and dean and agreed to by both the executive vice-president and provost and the faculty member at the time of appointment.
- E. The details of such credit for prior service, the resulting length of the probationary period, the timing of any third-year review, and the period for the tenure application process, shall all be stated unambiguously in the appointment letter.

#### **5.90.3.6.2 Extension of the Probationary Period**

When requested in writing within one year of the qualifying event by the faculty member, leaves of absence can lead to postponement of the tenure decision date; however, modifications in that date require the recommendation of the department head and dean and the approval of the executive vice-president and provost. Faculty responsibilities may be negotiated when the extension is requested. An extension may be granted up to two times, so long as the total pre-tenure probationary period does not exceed eight years. Exceptions to this limit can be made under extraordinary circumstances if approved by the executive vice-president and provost. Candidates must be held to the same standards of performance when the probationary period has been extended as candidates whose probationary period was not extended. The probationary period may be extended, upon written request, under the following circumstances:

- A. Leave of Absence without Pay: Probationary faculty members may request in writing a leave of absence without pay, usually not to exceed one academic or fiscal year. Prior to initiating the leave, affected faculty may request in writing a probation extension of one year.
- B. Military Leave of Absence: Involuntary induction into the armed forces entitles the faculty member to a leave of absence to cover the term of military service. Such leave constitutes valid grounds for requesting an extension of the tenure decision date. Similarly, a faculty member's voluntary participation in a military reserve program may lead to periodic or prolonged absence sufficient to affect the faculty member's performance (*e.g.*, annual active duty training, or active duty training or participation when a reserve unit is called to active duty) that constitutes valid grounds for extension of the tenure decision date.
- C. Medical Leave of Absence: Probationary faculty members with a serious personal illness or providing prolonged, substantive care for a chronically ill family member may request in writing an extension of the tenure decision date, usually for one year.
- D. Family Leave of Absence or Exceptional Family Responsibilities: Upon written request, probationary faculty members who become parents will receive a one-year automatic extension of the tenure decision date. Such an extension does not require that the faculty member take a leave of absence.
- E. Catastrophic Events: Probationary faculty who have experienced a catastrophic event such as a fire or flood or who must aid family members in such situations may request in writing an extension of the tenure decision date.
- F. Jury Duty: Prolonged jury service, when significantly affecting a faculty member's performance, constitutes a valid reason to petition for extension of the tenure decision date.
- G. Other, as Negotiated: Extensions for other reasons may be negotiated.

#### **5.90.3.6.3 Reduction of the Probationary Period**

- A. Tenure Upon Initial NMSU Appointment: Faculty members who have worked in a teaching and advising (or its equivalent), service, extension, scholarly, and/or administrative role at another institution may have some or all of that work taken into consideration on appointment at NMSU. With executive vice-president and provost approval, and particularly when tenure has been granted to a candidate at another institution, tenure may be accorded at the time of initial

appointment to the university.

- B. Expedited Tenure Schedule: Prior probationary service at another institution may count towards the six-year probationary period at NMSU, but usually only up to a maximum of three years. Any expedited schedule must be recommended by the department head and dean and agreed to by both the executive vice-president and provost and the faculty member at the time of appointment. The details of such credit for prior service, the resulting length of the probationary period, the timing of any third-year review, and the period for the tenure application process, shall all be stated unambiguously in the appointment letter. In such instances, no extension of the probationary period will be granted unless the request falls in one of the categories mentioned in 5.90.3.6.2 Extension of the Probationary Period.
- C. Committee, Department Head and Dean Supported Appeal for Early Tenure Review: Current faculty may request the length of the probationary period be shortened. Such an appeal requires the written request of the faculty member, positive recommendations of the department promotion and tenure committee as determined in the spring review, department head, and dean. If this tenure application is not successful, the candidate's contract is not renewed according to the provisions of Policy 5.98 Tenure Track and Tenure.

#### **5.90.3.6.4 Part-Time Faculty and Tenure**

- A. Retention of Tenure Upon Move from Full Time to Part Time: Tenured, full-time faculty members who move to part-time status may retain tenure.
  - 1. Retention of tenure in such a case requires the written request of the faculty member, positive recommendations of the department head and dean, and approval of the executive vice-president and provost.
  - 2. While this policy encourages departments to accommodate reasonable requests for part-time appointment, part-time appointments are not an entitlement, and requests may be turned down.
  - 3. Pending availability of funding and the approval of the department head, dean and executive vice-president and provost, the faculty member may return later to full-time tenured status. (See subsection D. below)
- B. Procedural Guidelines:
  - 1. When a full-time, tenure-track position becomes part time, the time in rank is prorated based on full-time equivalent (FTE).
  - 2. As with full-time faculty, the maximum probationary period for part-time faculty members is the equivalent of six FTE years, with the tenure decision to be made before the end of the six full-time years of service. For example, a tenure-track candidate with a 0.50 FTE appointment must apply for tenure at the end of the 11th year.
  - 3. Part-time tenure-track faculty must be held to the same standards of performance relative to FTE as full-time faculty.
  - 4. If denied tenure, a faculty member on part-time appointment has only one year of continued part-time employment beyond the denial.
- C. Regular Part Time Appointment Defined: Faculty members whose regular appointments are less than 0.50 FTE do not accumulate probationary time toward tenure.
- D. Return from Part Time to Full Time: When recurring state funding is available, a tenure-track, part-time faculty member may apply for a full-time tenure track position and, if hired, apply earned tenure-track FTE from prior years toward tenure and promotion in the full-time position.

### **5.90.3.6.5 Joint Appointment (with Dual Primary Responsibilities)**

In appropriate circumstances, a faculty member may be appointed in two departments or colleges. The faculty member with a joint appointment has a memorandum of understanding from all involved units. The memorandum of understanding stipulates the expected workload and allocation of effort distributed between the two departments; identifies the principal unit where tenure resides or will reside if applicable; defines the responsibilities of the faculty member in each unit; and indicates the term of appointment. The memorandum must explain the process for performance and promotion and tenure reviews, renewal of the joint appointment, and salary increases. Each unit must provide recommendations in annual, probationary, tenure, and promotion reviews. In joint appointments with centers or institutes, the tenure home must reside in a principal unit. In joint appointments with two or more academic units, one unit must be designated, by mutual agreement, as the tenure home.

### **5.90.3.7 Mid-Probationary Review**

Tenure-track faculty members may request a formal mid-probationary review by those principal units that make such an option available. The mid-probationary review is an optional opportunity to obtain feedback on the tenure-track faculty member's performance and is used to identify specific activities to enhance the candidate's progress toward promotion and tenure. The review is formative, intended to assist tenure-track faculty in achieving promotion and tenure and should take into account the allocation of work effort during the three years reviewed and be based upon the principal unit's criteria. The outcome must not be used as a determinant for setting merit pay or for contract continuation decisions. Principal units should *See 5.90.5.4(6) Common Elements*) for additional information

### **5.90.3.8 Community Colleges, Library, and College Faculty**

The community colleges (other than Doña Ana Community College, whose division committees function as department committees), and the library faculty should begin their promotion and tenure deliberations with a committee that acts as a college-level committee. Specific variations are described below.

#### **5.90.3.8.1 Community Colleges**

- A. Mission and Corresponding Emphasis in Evaluation Process: The mission of NMSU's community colleges is to provide open access to quality education and support economic and cultural life in prescribed service areas. Community colleges provide traditional liberal arts education, vocational and technical training, contract training, community interest classes, and developmental education. Every effort is made to keep programs and curricula flexible, in order to accommodate varied and expanding community educational needs. Since the community college's primary role is the dissemination of information, more emphasis is placed on teaching and advising (or its equivalent), in the evaluation process.
- B. Tenure Committees: Due to their size, the organizational structure for tenure review at the Alamogordo, Carlsbad, and Grants campuses consists of a tenure committee at each campus that evaluates and makes recommendations to the campus executive officer.

#### **5.90.3.8.2 The Library**

The NMSU library faculty is expected to meet university requirements for academic appointment and promotion and tenure considerations. For these purposes, the category of librarianship is equivalent to the teaching and advising category. The NMSU Library places the highest value on the element of librarianship. Librarianship includes, but is not limited to the organization of knowledge, the understanding and use of technology as it relates to the information field, teaching, library management, service delivery, and building collections.

### 5.90.3.8.3 College Faculty

College faculty may hold ranks as described in [5.90.3.5 Tenure, Promotion and the Professorial Ranks](#) and are eligible for promotion. A college faculty position can be converted to a tenure-track position when sufficient recurring funds are available and a national search is conducted. In relation to the promotion of college faculty, an understanding of the following guiding principles is necessary:

- A. Criteria for Promotion: College Faculty should be evaluated for promotion based on the allocation of their effort to the areas of teaching and advising, service, scholarship and creative activity, or extension and outreach, service, and the relative mix of these duties.
- B. Development of Promotion Procedures: Colleges must develop specific promotion procedures for their college faculty. The protections for College Faculty are the same as those given tenure-track faculty and tenure faculty in [5.90.5.1 Performance Evaluations](#) and [5.90.5.4 Common Elements – 5.90.5.8 Appeals](#).
- C. Representation on Committee: Committees for promotion of college faculty must include college faculty representation.
- D. Appropriate Standards for Promotion: The different role played by college faculty should be recognized in the promotion process, and the standard for promotion should be appropriate given the role of college faculty.

## 5.90.4 Criteria for Promotion and Tenure

When considering applicants for promotion and tenure, serious attention will be given to performances in the applicable areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension and outreach, and where applicable, leadership. The relative importance of each of these areas varies according to the cumulative allocation of effort statements. Each area is vital to the university's ability to achieve its mission, and the performance of a faculty member will be viewed as an indication of future contributions.

### 5.90.4.1 Teaching and Advising

- A. Elements of Teaching as Essential Criterion: Teaching is central to NMSU's mission. For those who teach, effectiveness in teaching and advising is an essential criterion for tenure and for advancement in rank. The teaching and advising category includes all forms of university-level instructional activity, as well as advising undergraduate and graduate students, both within and outside the university community. Such activities are commonly characterized by the dissemination of knowledge within a faculty member's area of expertise; skill in stimulating students to think critically and to apply knowledge to human problems; the integration and application of relevant domestic and international, social, political, economic, and ethical implications into class content; the preparation of students for careers in specific fields of study; and the creation and supervision of appropriate field or clinical practicum's.
- B. Responsibilities of Teaching and Advising: Teaching and advising responsibilities may include, but are not limited to, preparation for and teaching of a variety of courses, seminars, and other academic learning experiences; non-credit workshops and informal instructional activities; course and program development; team or collaborative teaching; web-based instruction, both on and off campus; supervision of student research, performances, or productions; service on graduate student program and research committees; field supervision and administration of field or clinical experiences; production of course materials, textbooks, web pages and other electronic aids to learning; and others.
- C. Forms of Faculty Advising: Faculty advising may take the form of assisting undergraduate or graduate students in the selection of courses or careers, assisting learners in educational programs on and off campus, mentoring students, serving as faculty adviser to student groups, research and teaching advising, as well as other forms.

### 5.90.4.1.1 Evaluation of Teaching

- A. Evidence By Which Teaching Effectiveness is Assessed: Teaching is a complex and multifaceted activity. Therefore, several forms of evidence should be used to assess comprehensively teaching effectiveness. Each form of evidence should carry a weight appropriate to its importance in evaluating teaching. Such documentation must demonstrate command of subject matter, continuous growth, and development in the subject field, the ability to organize material and convey it effectively to students, assessment of student learning, revision and updates of curricula, and the integration of scholarship (for faculty who produce scholarship) and service with teaching. Materials appropriate for evaluating teaching should include: (a) evidence from the instructor, (b) evidence from other professionals, (c) evidence from students, and (d) evidence of student learning.
- B. Principal Units To Develop Guidelines: Each principal unit is to create clear guidelines for its teaching faculty that define teaching responsibilities and specify required evidence documenting teaching effectiveness. Specific data to be included in the evaluation packet will be determined by each principal unit.

### 5.90.4.1.2 Evaluation of Advising

For promotion and tenure considerations, performance in such activities must be documented and evaluated. Each principal unit is to create clear guidelines regarding the responsibilities and documentation requirements for its faculty who advise.

### 5.90.4.2 Scholarship and Creative Activity *[Amendment (FS Proposition 09-09/10 to be effective 07.01.01) passed by Faculty Senate 02.04.10; presented to Administrative Council 04.13.10; ratified by Board of Regents 05.07.10]*

- A. Rationale: Scholarship and creative activity involves discovering and creating, teaching and disseminating, and applying knowledge and skills to worldly concerns. This understanding is grounded in Boyer's concept of the four scholarships: (1) the scholarship of discovery involves processes, outcomes, and the passionate commitment of the professoriate and others in the university to disciplined inquiry and exploration in the development of knowledge and skills; (2) the scholarship of teaching involves dynamic, reciprocal, and critically reflective processes among teachers and learners at the university and in the community in which their activity and interaction enriches and transforms knowledge and skills, taught and learned; (3) the scholarship of engagement refers to the many and varied ways to responsibly offer and employ knowledge and skills to matters of consequence to the university and the community; and (4) the scholarship of integration is the process by which knowledge and skills are assessed, interpreted, and applied in new and creative ways to produce new, richer, and more comprehensive, insights, understanding, and outcomes.
- B. NMSU Definition of Scholarship and Creative Activity: Scholarship and creative activity is both activity and product, employing dynamically interacting processes of discovery and creation, teaching and dissemination, engagement and application, and integration, in the pursuit of fulfilling the mission and vision of NMSU. Products developed through these processes, are public, open to peer review, and available for use by others. Scholarship and creative activity can take many forms, including but not limited to refereed publications. At NMSU's community colleges, scholarship and creative activity includes scholarship that is also evidenced by professional development activities that disseminate knowledge to the college's learning communities.
- C. Acknowledgement of Land Grant Mission: This definition reflects the university's mission as the state's land-grant university, serving the needs of New Mexico's diverse population through comprehensive programs of teaching and advising, scholarship and creative activity, extension and outreach, and service. It addresses the breadth and diversity of scholarly and creative activity among faculty, staff, and students through which this mission is fulfilled.

- D. Use of Technology is a Factor in Evaluation Categories: The dissemination and creation of scholarly work using technology is becoming increasingly important. Accordingly, it is important that promotion and tenure committees recognize this when evaluating a candidate's portfolio. The rapid pace at which technology changes makes it difficult to use a single set of evaluation criteria to fit all cases encountered. Technology often crosses the rigid boundaries of teaching and advising, scholarship and creative activity, service, extension, and outreach, and as such, it must be evaluated in as many of these categories as appropriate. Flexibility in evaluation of the candidate's technology efforts is paramount. Reviewers must be aware of expectations placed on the candidate at the time of hiring and during annual reviews and are encouraged to evaluate technology-based scholarship and creative activity using appropriate criteria.

#### **5.90.4.2.1 Evaluation of Scholarship and Creative Activity**

All scholarly activity and outcomes, regardless of funding source, must consider the following criteria adapted from Diamond<sup>2</sup>:

- A. The activity's purposes, goals, and objectives are clear. The objectives are realistic and achievable. It addresses important questions in the field.
- B. The activity reveals a high level of discipline-related expertise. The scholar brings to the activity a high level of relevant knowledge, skills, artistry, and reflective understanding.
- C. Appropriate methods are used for the activity, including principles of honesty, integrity, and objectivity. The methods have been chosen wisely, and applied effectively. It allows for replication or elaboration.
- D. The activity achieves its goals and its outcomes have significant impact. It adds consequentially to the field. It breaks new ground or is innovative. It leads to further exploration or new avenues for exploration for the scholar and for others.
- E. The activity and outcomes have been presented appropriately and effectively to its various audiences.
- F. The activity and outcomes are judged meritorious and significant by one's peers.
- G. The scholar has critically evaluated the activity and outcomes and has assessed the impact and implications on the greater community, the community of scholars and on one's own work. The scholar uses this assessment to improve, extend, revise, and integrate subsequent work.

#### **5.90.4.3 Extension and Outreach**

Extension and outreach are essential to the university's mission because they disseminate information to the public; help the state by promoting economic development through the dissemination of new technologies and best practices; and serve as a basis for sustainable, community-oriented, informal education that addresses local needs through faculty affiliated with each county government in New Mexico. The central role of extension and outreach is recognized in that several principal units are dedicated to these functions. There are also numerous faculty members in other units for whom extension and outreach are major components of their duties.

##### **5.90.4.3.1 Evaluation of Extension and Outreach**

- A. Collaborative Effort: Extension and outreach work is collaborative by nature. Faculty should provide evidence of collaboration with whomever necessary to identify local needs, garner resources, discover and adapt new knowledge, design and deliver programs, assess clientele skill

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<sup>2</sup> Diamond, Robert M. (2002). *Serving on promotion, tenure, and faculty review committees: A faculty guide, 2<sup>nd</sup> ed.*. Bolton, MA: Ankar Publishing.

changes, and communicate program results. Collaborative effort should also include networking with other university faculty in identified areas of program discovery, development, and delivery, including applications to teaching and advising where appropriate.

- B. Evaluation Guidelines: To evaluate extension and outreach scholarship the following guidelines are recommended:
1. Faculty must provide evidence of extension and outreach scholarship in order that these [collaborative] efforts are recognized.
  2. The documentation should provide evidence that the work is:
    - a. creative and intellectual;
    - b. validated by peers;
    - c. communicated to stakeholders; and
    - d. have an impact on stakeholders and the region.
  3. Components of extension scholarship include:
    - a. developing programs based on locally identified needs, concerns, and/or issues; targeting specific audiences;
    - b. setting goals and objectives for the program;
    - c. reviewing current literature and/or research for the program;
    - d. planning appropriate program delivery;
    - e. documenting changes in clientele knowledge, behaviors, attitudes, and/or skills;
    - f. conducting a reflective critique and/or evaluation of the program;
    - g. validation of the program by peers and/or stakeholders; and
    - h. communication of results to stakeholders and decision makers.

#### **5.90.4.4 Service**

Service is an essential component of the university's mission and requires that the faculty member contribute to the organization and development of the university, as well as provide service to any local, state, national, or international agency, organization, or institution needing the faculty member's professional knowledge and skills.

##### **5.90.4.4.1 Evaluation of Service**

The type and amount of service that a faculty member performs should be determined in consultation with the appropriate administrator(s). All relevant activities in which a faculty member participates should receive appropriate consideration for promotion and tenure decisions. Service contributions should be evaluated based on how they are applied and how they draw upon the professional expertise of the faculty member.

#### **5.90.4.5 Leadership**

In demonstrating leadership, candidates must show that they are having an impact as evidenced by the candidate's scholarship and creative activity, and by contributions to the advancement of the university which may include administrative roles in which considerable and well-documented contributions to the university have been made.

##### **5.90.4.5.1 Evaluation of Leadership**

Leadership is characterized by: (1) contribution to the mission of the college or university and to the faculty member's profession; (2) participation in the distribution of responsibility among the members of a group; (3) empowering and mentoring group members; and (4) aiding the group's decision-making process.

## 5.90.5 Policies

### 5.90.5.1 Annual Performance Evaluation and the Promotion and Tenure Process

#### 5.90.5.1.1 Performance evaluation policies in the principal units shall include the following elements:

- A. A statement that Performance Evaluations are conducted annually.
- B. A timeline consistent with the timeline for promotion and for tenure as described in [5.90.5.9 University Timeline for Promotion and Tenure](#).
- C. The requirement that a department head or comparable administrator annually meet with all faculty members regarding progress toward promotion and tenure, the recording of objectives and goals, and the department faculty evaluation format.
- D. An opportunity for the faculty member to submit a written statement in response to annual performance evaluations.
- E. A procedure for transmitting the performance evaluation, along with any supporting material, from the faculty member to the faculty member's department head
- F. A procedure for transmitting a written copy of the department head's or comparable administrator's review to the individual being reviewed and to the dean or equivalent administrator.
- G. A procedure to certify in writing to the appropriate dean or comparable administrator that a meeting with each faculty member has occurred.

#### 5.90.5.1.2 Performance Evaluation Forms. Performance evaluation forms in the principal units shall include the following elements:

- A. Allocation of Effort Statement:
  1. The allocation percentages will be agreed upon by the faculty member and the department head, and will be approved annually by the faculty member's department head and dean. If agreement cannot be reached, the dean or equivalent administrator may assign the allocation of effort, and the faculty member may appeal through existing university procedures. (*See also [5.20.20 Assignments - Teaching Load](#)*)
  2. The allocation of effort statement and percentages may be altered during the year with the mutual agreement of the faculty member, department head, and dean to reflect changing circumstances, such as service on a particularly time-consuming committee or grant, time for scholarship and creative activity, emergency teaching and advising assignments, etc.
  3. At the minimum, this statement shall contain the following elements:
    - a. Percentage of effort devoted to teaching and advising or its equivalent, scholarship and creative activity, service, and extension and outreach. (The total percentage shall be 100%, but any category may be zero percent.)
    - b. The number of semester credit hours, student enrollment, and level of courses.
    - c. A statement of what the principal unit considers a full teaching and advising load.
    - d. If the principal unit utilizes a weighting, ranking, or scoring system, the value assigned to each category must be indicated. The values must be calculated proportionately to a candidate's allocation of effort.
- B. Current Position Description.



- C. Submission from Faculty Member: A written section submitted by the faculty member detailing and citing accomplishments in relation to the criteria for promotion and tenure.
- D. Written Review by Department Head or Equivalent: A written review from the department head or comparable administrator including specific commendations, concerns, and recommendations in each of the areas of performance, as well as separate comments about progress toward promotion and tenure.

### **5.90.5.2 Implementation of the Promotion and Tenure Process**

- A. Requirement for Departmental Promotion and Tenure Committee: Each department shall have a department promotion and tenure committee except as follows: the University Library, as well as the Alamogordo, Carlsbad, and Grants community colleges, do not use department promotion and tenure committees; rather, promotion and tenure actions in these units begin with the college promotion and tenure committee. In the Doña Ana Community College, a division promotion and tenure committee functions in the same manner as a department committee.
- B. Requirement for Departmental Promotion and Tenure Policy: Each department shall have a written policy for promotion and for tenure. This policy shall be in accordance with 5.90.3 Guiding Principles, shall include criteria and procedures for promotion and for tenure, and shall be consistent with its college's criteria and procedures for promotion and tenure. The department's criteria and procedures shall be determined collaboratively by the faculty and department head subject to approval by the college dean.
- C. Requirement for College Promotion and Tenure Committee: Each college shall have an elected College Promotion and Tenure Committee.
- D. Requirement for College Promotion and Tenure Policy: Each college shall have a written policy for promotion and for tenure. These shall be in accordance with 5.90.3 Guiding Principles and shall include criteria and procedures for promotion and for tenure. The college's criteria and procedures shall be determined collaboratively by the tenure and tenure-track faculty and administration in each college and must be approved by the college dean.

### **5.90.5.3 Roles and Responsibilities during the Promotion & Tenure Process**

- A. Candidate:
  - 1. Maintains a curriculum vitae and a cumulative personal record of the activities and accomplishments affecting the application for promotion and/or tenure.
  - 2. Reviews the personal portfolio in relation to the criteria for promotion and/or tenure and seeks guidance from senior faculty and the department head.
  - 3. In accordance with college procedures, requests and provides materials required in the mid-probationary period review.
  - 4. Provides the department head with a written list of potential outside references from which letters of evaluation may be requested.
  - 5. Requests extensions of the probationary period in accordance with 5.90.3.6.2 Extension of Probationary Period.
  - 6. In accordance with 5.90.5.6 Withdrawal of Rights and Procedure, requests that the review process be terminated at any time prior to review by the executive vice-president and provost.
- B. Department Head:
  - 1. Establishes and monitors a process for tenure-track faculty to mentor the candidate in developing the best case for promotion and/or tenure.

2. Provides leadership in the collaborative writing and maintenance of department promotion and tenure policy.
3. Provides initial information, timelines, and copies of all written guidelines regarding promotion and tenure expectations and policies to all new and continuing faculty members on a regular basis. Also informs tenure-track faculty of the rights to due process, appeal and informal processes for conflict resolution in promotion and tenure.
4. In the annual performance reviews of tenure-track faculty, includes written details relating to assigned duties (i.e. the teaching and advising (or its equivalent), scholarship and creative activity, service, extension and outreach and apportionment). The reviews also include separate statements addressing progress toward tenure and toward promotion including steps that should be taken to strengthen the faculty member's case.
5. Provides leadership in establishing agreed upon department guidelines for an annual review of tenure-track faculty by the department's promotion and tenure committee. This review is separate from, and independent of, the department head's annual review of each faculty member.
6. Assists tenure-track faculty who have completed five academic semesters or its part-time equivalent in preparing for an optional mid-probationary review.
7. In mitigating circumstances, explores with the candidate the need for a time extension (*See 5.90.3.6.2 Extension of Probationary Period*). With the approval of the candidate, seeks permission from the dean to extend the probationary period.
8. Provides assistance and guidance to faculty who are applying for promotion/tenure. Reviews the portfolio of applicants and, where needed, makes recommendations for improvement.
9. Sees that the department promotion and tenure committee submits recommendations for tenure and for promotion for all candidates.
10. Writes an independent evaluation/recommendation concerning each candidate's case for promotion and/or tenure in relation to the criteria for promotion and tenure. This recommendation may be in support of or against supporting either promotion or tenure, or both. It should address the strengths and weaknesses, and level and nature of accomplishments of the candidate.
11. Provides candidates, written copies of the recommendation of the department promotion and tenure committee and of the recommendation of the department head. This notification must occur prior to passing the promotion and/or tenure application on to the dean and college promotion and tenure committee.
12. Places the department head's recommendation in the candidate's portfolio.

C. Department Promotion and Tenure Committee:

1. Examines and reads the portfolio of each candidate.
2. Evaluates the candidate according to department promotion and/or tenure standards.
3. Considers the candidate's department assignment and role apportionment as specified in the candidate's position description and Allocation of Effort Forms.
4. Performs an annual review of tenure-track faculty following departmental guidelines and forwards results to department head and dean or equivalent administrator. This review is separate from, and independent of, the department head's annual review of each faculty member.

5. Makes recommendations to the department head pertaining to faculty members who are seeking promotion and/or tenure based on the candidate's portfolio and departmental criteria.
6. Records in each candidate's portfolio the committee's vote totals. (See 5.90.5.4.(6) Common Elements.)
7. Places the committee's recommendation in the candidate's portfolio.
8. Participates in the optional mid-probationary review process, providing formative feedback to candidates.

D. College Promotion and Tenure Committee:

1. Examines and reads the portfolio of each candidate, including the department head's letter.
2. Evaluates the candidate according to department promotion and/or tenure standards.
3. Considers the candidate's department assignment and role apportionment as specified in the candidate's position description and Allocation of Effort forms.
4. Makes recommendations to the dean pertaining to faculty members who are seeking promotion and/or tenure.
5. Records in each candidate's portfolio the committee's vote totals. (See 5.90.5.4.(6) Common Elements.)
6. Places the committee's recommendation in the candidate's portfolio.
7. Participates in the optional mid-probationary review process, providing formative feedback to candidates.

E. Dean, Community College President:

1. Ensures that a college-specific promotion and tenure policy is written and periodically revised and that the policy complies with university policy.
2. Assures that each department has:
  - a. current promotion and tenure guidelines that comply with college and university policies and include date of version.
  - b. a mentoring process for tenure-track faculty.
  - c. a system of annual faculty performance evaluations.
3. In consultation with college faculty establishes policy for the constitution of a College Faculty Promotion Committee.
4. Recommends extensions of the probationary period.
5. Provides oversight for the optional mid-probationary review program.
6. Makes independent recommendations pertaining to promotion and tenure. To do this, consider:
  - a. Candidate's portfolio
  - b. Recommendations of the department promotion and tenure committees
  - c. Recommendations of the department heads
  - d. Recommendations of the college promotion and tenure committees.
7. Notifies candidates, in writing, of the recommendations of the College Promotion and Tenure

Committee and of the dean. This notification must occur prior to passing the promotion and tenure applications and associated recommendations on to the executive vice-president and provost.

8. Places the dean's recommendation in the candidate's portfolio.
9. Meets with the executive vice-president and provost regarding promotion and tenure cases.

F. Executive Vice-President and Provost:

1. Ensures that each college and each department has, and periodically updates, promotion and tenure policies that comply with university policy.
2. Approves requests to extend the probationary period.
3. Meets with deans regarding promotion and tenure cases.
4. Makes an independent decision pertaining to promotion and tenure. To do this, consider:
  - a. Candidate's portfolio
  - b. Recommendations of the department promotion and tenure committees
  - c. Recommendations of the department heads
  - d. Recommendations of the college promotion and tenure committees
  - e. Recommendations of the dean.
5. Passes promotion and tenure decisions on to the president.
6. Notifies candidates in writing of the decision.
7. Provides for annual training sessions for promotion and tenure committee members, department heads, and deans.

#### **5.90.5.4 Common Elements to be included in the principal units' promotion and tenure policy**

- A. A statement that university policies regarding promotion and tenure supersede department and college policies.
- B. Statements referencing the criteria for promotion and tenure as stated in 5.90.4 Criteria for Promotion and Tenure.
- C. A provision permitting a candidate to temporarily suspend the promotion and tenure time process in accordance with 5.90.3.6.2 Extension of Probationary Period.
- D. A statement regarding confidentiality of records and all committee procedures, including the manner in which confidentiality is ensured. Exceptions must be clearly indicated.
- E. A method to review and update at least every three years the written promotion and tenure policies and procedures of the principal unit. A statement to the effect that if the policy should change during a faculty member's pre-tenure or pre-promotion period, the faculty member may choose one of the policies for evaluation purposes. A procedure for the faculty member to indicate the preferred criteria must be clearly delineated.
- F. A procedure for the conduct of a mid-probationary review, if the college provides this option. Faculty who choose to participate in the review process must submit their portfolio to their department head by mid-January. The portfolio shall be prepared in accordance with 5.90.5.5 Portfolio Preparation and be reviewed by the department promotion and tenure committee, the department head, and the college promotion and tenure committee. The college committee will provide to the department head and candidate a written formative evaluation of progress. The

review is conducted in accordance with the principal unit's promotion and tenure policy. (*See 5.90.3.7 Mid Probationary Review.*)

- G. A procedure for electing the college promotion and tenure committee: All tenure and tenure-track faculty are eligible to vote during the election. When colleges choose to include college faculty on this committee, college faculty are eligible to vote for college faculty membership on the college committee.
- H. Procedure for selecting members of the department promotion and tenure committee.
- I. Definition of eligibility for serving on the promotion and tenure committees. Only tenured faculty members are eligible to vote for tenure and promotion. College-track faculty who serve on the college committee are eligible to vote on promotion of college-track faculty. In instances of promotion, committee members must hold a rank at least equal to the rank for which the candidate is applying.
- J. Provisions for term limits if desired for serving on the department promotion and tenure committee.
- K. Provisions for term limits for serving on the college promotion and tenure committee are required, except at the Alamogordo, Carlsbad, and Grants community colleges.
- L. The provision that in no case will a promotion and tenure committee be comprised of fewer than three eligible members.
- M. A provision for addressing cases where there are inadequate numbers of eligible faculty to constitute a committee. The department and/or the college promotion and tenure committees may have members from outside the department.
- N. The provision that the dean, department head, or comparable administrator may meet with the principal units' promotion and tenure committees to discuss procedural matters.
- O. The provision that the deliberations and voting of promotion and tenure committees will be conducted in closed session only among committee members.
- P. A method for surveying the committees' recommendations regarding each candidate(s) via secret written ballot. Voting must be in person. Absentia and proxy ballots are not permitted. All vote counts must be recorded.
- Q. A method for the principal units' promotion and tenure committees to submit a letter summarizing its recommendations and the numerical vote count on each candidate to the department head and college dean or comparable administrator. The recommendation must:
  - 1. Reflect the majority view.
  - 2. Contain specific commendations, concerns, and recommendations addressing the department's criteria in each of the areas required for promotion and tenure
  - 3. Allow for dissenting opinions containing specific commendations, concerns, and recommendations addressing the criteria in each of the areas required for promotion and tenure.
- R. A method for informing each candidate in writing of the principal units' recommendations and numerical vote count, the department head's letter, and/or the dean's or comparable administrator's letter.
- S. The provision that a candidate may withdraw from further consideration in accordance with 5.90.5.6 Withdrawal of Rights and Procedures.

- T. Guidelines for preparing the portfolio. (*See 5.90.5.5 Portfolio Preparation.*) The parties shall refer to the individual college policies for additional guidelines.
- U. A mechanism to provide candidates with sample portfolios. If the portfolios of actual persons are used, written permission must be obtained from the owner of the portfolio.
- V. A procedure for indicating how and when a candidate may change, add, or delete materials from the portfolio after the portfolio is submitted to the committee for review.
- W. A statement regarding the location where the documentation file will be stored and accessed for review.
- X. A procedure for indicating how and when evaluators may request additional information. All requests must be made in writing and transmitted to the candidate.
- Y. A procedure allowing the candidate to review all items included in the portfolio assembled prior to the review by appropriate committees, administrators, and/or external reviewers.
- Z. A procedure for soliciting external letters (*See 5.90.7 Example*) which incorporates the following:
  - 1. The number of letters shall be solicited for each candidate.
  - 2. Specifications regarding who is responsible for obtaining the letters and how the letters will be placed into the candidate's portfolio.
  - 3. Specifications regarding how much and what type of material is supplied to reviewers. The department and/or college policies and criteria for tenure and promotion must be provided to reviewers.
  - 4. Specifications regarding the criteria for serving as an external reviewer.
  - 5. Instructions to reviewers including:
    - a. A request for a brief statement regarding the individual's qualifications for serving as a reviewer.
    - b. A request that the reviewer indicate the relationship between the candidate and reviewer.
    - c. Notification that the candidate will have an opportunity to read the letter of assessment.
    - d. Notification that third parties in the event of an EEOC or other investigation into a tenure or promotion decision may review letters.
- AA. A statement addressing the role, if any, of unsolicited letters.
- BB. A statement regarding post-tenure review in accordance with the university policy manual [Policy 5.87 Post Tenure Review](#).
- CC. Reference to the appeals process as outlined in policies [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#) and [4.05.50 Faculty Grievance Review and Resolution](#).
- DD. Develop a procedure for reviewing the university's Conflict of Interest Policy with the promotion and tenure review committee(s).

### **5.90.5.5 Portfolio Preparation**

In accordance with department and college guidelines, the candidate is responsible for submitting a promotion and tenure portfolio comprised of a core document and documentation file. The college guidelines shall specify the inclusion of the following core document elements in this order. The combination of items 4-6 shall not exceed 50 pages:

- A. A routing form developed by the college with spaces for the required signatures.

- B. A cover sheet indicating the candidate's name, current rank, department and college.
- C. Any written documentation generated throughout the promotion and tenure process, including the numerical vote counts of the promotion and tenure committee(s).
- D. A table of contents.
- E. Candidate's executive summary.
- F. A curriculum vitae.
- G. Annual performance evaluations for the period under review, including the allocation of effort statements, the goals and objectives forms, written statements submitted by the faculty member as a part of the annual performance evaluations, the supervisor's written comments, and any response made by the candidate to the supervisor's written comments. Numerical rankings, ratings, or vote counts should be removed. (*See also [5.90.3.3 Performance Evaluations](#) and [5.90.5.1 Performance Evaluations](#).*)
- H. The most recent complete conflict of interest form.
- I. Principal units' mission statements.
- J. External reviews.

#### **5.90.5.5.1 Documentation File**

Supplementary materials provided by the candidate related to the areas of faculty activity. This material is not routed beyond the College Promotion and Tenure Committee, but is available for review.

If this is an application for tenure, the candidate is to include evidence of contributions since starting at NMSU, plus evidence from other institutions if credit for prior service is applicable. If this is an application for promotion, then the candidate is to include evidence of contributions since the last promotion or tenure review.

#### **5.90.5.6 Withdrawal**

- A. Voluntary Withdrawal from Consideration: A candidate may withdraw from consideration at any time prior to the final signature of the executive vice-president and provost. A candidate shall prepare a letter requesting withdrawal from further consideration. The letter shall be transmitted to the dean or comparable administrator. All documents shall be returned to the candidate and nothing relating to the application for promotion and/or tenure shall be placed in the candidate's personnel file.
- B. Withdrawal in Fifth Year of Service: If the candidate is in the fifth year of service, withdrawal from consideration for tenure must be accompanied by a letter of resignation submitted to the dean or comparable administrator no later than the end of the fifth-year contract period. The resignation shall be effective no later than the end of the sixth-year contract period.

#### **5.90.5.7 Outcomes**

- A. For full-time tenure-track candidates:
  - 1. If tenure is recommended, the executive vice-president and provost will send a Contract of Employment (Continuous Appointment) Form through the dean or comparable administrator and the department head to the candidate.
  - 2. If tenure is not recommended, the department head will give a signed Contract Status Form to

the candidate for signature acknowledging notification of non-renewal.

- B. For part-time tenure-track candidates, in addition to the provisions for full-time tenure-track candidates:
1. If tenure is recommended, it is for the FTE as stated in the initial contract or as negotiated.
  2. If tenure is not recommended, a faculty member has only one year of continued part-time employment beyond the denial.
- C. For all candidates:
1. If promotion is recommended, the effective date is at the beginning of the ensuing contract year.
  2. If promotion is recommended, it shall be the policy of the university that all promotions shall include a salary increase, irrespective of other salary increases.
  3. In the case of a negative promotion decision, the executive vice-president and provost will inform the candidate in writing.
  4. The executive vice-president and provost is responsible for informing the president of the recommendations of the department head, college dean, or comparable administrator and the decision of the executive vice-president and provost.
  5. The executive vice-president and provost will prepare an official list of promotion and tenure decisions for distribution to relevant deans, comparable administrators, the vice-president for administration and finance, and the assistant director of human resource services.
  6. Tenure-track faculty members whose probationary contract is not renewed and who have another year before the termination of that contract do not submit a promotion and tenure portfolio during their final year. If the non-renewal is being appealed on the basis of failure to follow procedure or discrimination, then the appellant may complete a packet and have it held in suspension until the grievance is resolved. If the individual is successful in the appeal, the portfolio will be considered by the parties involved in the promotion and tenure process.

**5.90.5.8 Appeals** (*See Policies [3.25 Discrimination, Harassment and Sexual Misconduct on Campus](#) (for complaints of discrimination); [4.05.50 Faculty Grievance Review and Resolution](#) (for faculty grievances, including violation of policies or procedures); and [5.47 Faculty Discipline and Appeal Processes](#) (for appeals from disciplinary action, including involuntary termination)*)

### **5.90.5.9 University Timeline for Promotion and Tenure**

Each college shall determine a timeline for conducting promotion and tenure reviews. The dates indicated here are suggested guidelines as 12-month appointments may require a different time schedule.

A. Spring:

The department head notifies potential candidate of eligibility for promotion and/or tenure review. Department promotion and tenure committee reviews the portfolio of each faculty member and in accordance with college policies reports to the department head indicating the progress towards promotion and/or tenure as well as the strengths and weaknesses in each of the areas required for promotion and tenure.

Department head informs the candidate in writing of the department promotion and/or tenure committee recommendations.



B. June, July, August:

The candidate with support from the department and college prepares the candidate's portfolio. (See also 5.90.5.5 Portfolio Preparation.)

C. September:

The candidate provides the completed portfolio to the department head.

The department head makes the completed portfolio available to the Department Promotion and Tenure Committee. The portfolio can only be amended hereafter in accordance with department and college guidelines.

D. October:

The Department Promotion and Tenure Committee considers the completed portfolio of the candidate.

E. October - December:

The college dean or comparable administrator transmits the Department Promotion and Tenure Committee and department head reports and numerical ballot results to the College Promotion and Tenure Committee.

The College Promotion and Tenure Committee reviews the department head's and the Department Promotion and Tenure Committee's recommendations.

The College Promotion and Tenure Committee informs the dean or comparable administrator if a department fails to follow department and/or college procedures.

The College Promotion and Tenure Committee reviews the portfolios of all tenure-track faculty members no later than their sixth year of service unless Section 5.90.3.6 Flexibility in Tenure Track applies.

The College Promotion and Tenure Committee submits a written recommendation on the candidate to the department head, candidate, and dean or comparable administrator in accordance with the college's promotion and tenure policy.

F. January - February:

The college dean or comparable administrator reviews the candidate's portfolio, makes a recommendation, and informs the candidate in writing of the recommendations of the College Promotion and Tenure Committee and the dean or comparable administrator.

The college dean or comparable administrator transmits to the executive vice-president and provost all recommendations including numerical votes.

G. March - April:

The college dean or comparable administrator meets with the executive vice-president and provost to review each candidate. The executive vice-president and provost's decision is indicated in writing.

The executive vice-president and provost informs the president of the recommendations of the department head, college dean, or comparable administrator and the decision of the executive vice-president and provost.

H. April - May:

Final notifications of decisions are sent through the executive vice-president and provost, dean or comparable administrator, and department head to the candidate.

The executive vice-president and provost prepares an official list of promotion and tenure decisions for distribution to relevant deans, comparable administrators, the vice-president for administration and finance, and the assistant vice president for human resource services.

The dean or comparable administrator notifies the department head, who in turn notifies the faculty member.

I. July:

Promotion and tenure decisions become effective.

**5.90.6 Post Tenure Review** (*See 5.87 Post Tenure Review*)

**5.90.7 Forms Relating to Promotion and Tenure** *See Promotion and Tenure Documents*

**5.92 Reassignment of Administrators/Department Heads**

Due to the larger scope of responsibility of most administrative positions, the reassignment of an administrator with faculty rank to a faculty position normally results in a reduction of salary. Several factors are considered in making the salary determination, including the level of faculty salaries in the department where the reassignment occurs. Normally, department heads who have less than 4 complete years return to 75 percent of their base salaries (not including department head increment), and department heads who serve 4 or more years return to 80 percent of their base salaries. Again, several factors are considered in making the salary determination, including the level of faculty salaries in the department where the reassignment occurs.

**5.94 Research** (*See also Chapter 3 Codes of Conduct Policies*) [*Amendments restructuring and revising Policy 5.94 in its entirety, as recommended by University Research Council on 01.28.11 and by Administrative Council on 03.09.11, were approved by Board of Regents on 03.14.11*]

- A. Research Philosophy: Research is an important component of every academic activity, and is, therefore, the source of content for quality instructional programs. New Mexico State University recognizes research as essential to the vitality of the university and undertakes the support of research as part of its institutional responsibility. The mission statement expresses the importance of research as one of the university's core functions: *New Mexico State University is the state's land-grant university, serving the educational needs of New Mexico's diverse population through comprehensive programs of education, research, extension education, and public service.*

The university promotes academic inquiry and protects academic freedom for those engaged in it. This includes the support of research and off-campus study as potentially valuable experiences for faculty and students. These experiences may take the form of sabbaticals, internships, intensive study of specialized techniques, and conducting research at specialized facilities. These opportunities offer researchers considerable flexibility in their training and promote valuable contacts among faculty members, students, the university, industry and other research institutions.

- B. Protections in Research Involving Human Subjects: It is the policy of the university to protect the rights, well being, and personal privacy of individuals participating in research projects, while also maintaining a favorable climate for the conduct of scientific inquiry and protecting the interests of the university. The university has established the Institutional Review Board to regulate the participation of human subjects in research, consistent with federal law. (*See 5.94.30 D. below.*) All research conducted at or by the university, regardless of funding source, shall adhere to the requirements of the Institutional Review Board and the following tenets:

1. The university, including its faculty, staff, contractors and student body shall be responsible for the protection of the rights and welfare of human subjects.
  2. No human subject involved in a research activity shall be exposed to unreasonable risk to health or well-being, in order to ensure the subject's physical and mental safety and well-being.
  3. All participation by human subjects shall be voluntary; no subject will be coerced in any way to participate in a research project. A request by any subject to withdraw from a research activity shall be honored promptly without penalty or loss of benefits to which the subject is otherwise entitled, within the limits of the research.
  4. The confidentiality of information received from subjects in experiments or respondents to questionnaires shall be protected, both during and after the conduct of a research activity, consistent with applicable law.
  5. In research which involves more than minimal risk, or which involves substantial stress or discomfort, such risk, stress or discomfort shall be carefully explained in advance to the subject. The researcher(s) shall be satisfied that the explanation has been understood by the subject, and that the written consent of the subject, is obtained and kept as a matter of record. The researcher(s) shall be responsible for ensuring that method used to obtain informed consent (written, audio-recorded, witnessed) is the most appropriate for the participant, and for providing appropriate evidence of informed consent consistent with the approval granted by the Institutional Review Board and with applicable federal law.
  6. Research involving special subject populations (e.g., persons under the age of 18, or mentally disabled or disadvantaged persons) may be conducted as long as a qualified guardian signs the consent form.
- C. Protections in Research Involving the Use of Animals: As a land grant institution, it is the university's role to conduct, if not lead, research designed to optimize the use of animals in the service of man, and to advance human and animal welfare. Consistent with applicable law and regulations, the university supports the use of animals in research, education, and as agricultural resources, provided that the usage is reasonably expected to advance knowledge about human or animal welfare. It is the university's policy to meet all federal and state standards and regulations applicable to animal use.

The university has established the Institutional Animal Care and Use Committee to administer policies and procedures regarding university care and use of vertebrate animals. (See [5.94.30 Research Oversight and Risk Management](#) E. below) Any concerns regarding the use or care of animals by the institution should be addressed to the Institutional Animal Care and Use Committee.

- D. Protection of Sensitive Information. [*Amendment recommended by Administrative Council 09.13.11; approved by Board of Regents 10.10.11*]

Research units, including but not limited to the Physical Science Laboratory, receive many sponsored awards in which information provided by the sponsor or generated by or in connection with the research effort may be considered sensitive: classified, controlled unclassified, and/or proprietary. Units keeping or using sensitive information should adopt appropriate procedures for its protection and train faculty, staff, and students whose positions require access to such information. All employees shall comply with applicable laws, university policy, and contractual agreements regarding non-disclosure of sensitive information. (See [3.65 Protection of Sensitive Information](#), *NMSU Business Ethics Handbook*, and the Physical Science Laboratory's *Code of Ethics and Standards of Business Conduct*, p. 9.)

### **5.94.10 Addressing Allegations of Misconduct in Research**

- A. Definition of Research Misconduct: Research misconduct is academic misconduct, dishonest

behavior, or any form of unethical practices involving an act of deception whereby one's work or the work of others is misrepresented. Other terms, such as research fraud or scientific misconduct, are subsumed within the term academic misconduct. Research misconduct is distinguished from honest error and from ambiguities of interpretation that are inherent in the scientific process. The principal element of research misconduct is the intent to deceive others or misrepresent one's work. Research misconduct may also involve wrongful acts or omissions relating to non-compliance with applicable law or regulation, a failure to report known misconduct or retaliation against others involved in the reporting, investigation or correcting misconduct. Research misconduct may take numerous forms such as, but not limited to:

1. **Falsification of Data:** Fabrication, willful suppression and/or distortion of data with the intent to falsify results.
  2. **Plagiarism:** The use of the work of another without proper acknowledgment.
  3. **Improprieties of Authorship:** Improper assignment of credit, such as excluding other authors, inclusion of individuals as authors who have not made a definite contribution to the work published, or submission of multi-authored publications without the concurrence of all authors.
  4. **Misappropriation of the Ideas of Others:** Unauthorized use of privileged information (such as violation of confidentiality in peer review), however obtained.
  5. **Violation of Generally Accepted Research Practices:** Deceptive practices in proposing, conducting, or reporting research.
  6. **Material Failure to Comply with Governmental Requirements:** Serious, repeated, willful violations of governmental requirements arising from law, statute, regulation, or agreement. Regulations include, but are not limited to, those governing the use of funds, care of animals, human subjects, and biological, chemical, pharmacological, and radiological materials.
  7. **Inappropriate Behavior in Relation to Research Misconduct:** Unjust and malicious accusation(s) of misconduct, failure to report misconduct, withholding or destruction of information or evidence relevant to a claim of misconduct, or malicious retaliation against persons involved in the allegation or investigation of misconduct.
- B. **Scope of Policy:** This policy applies throughout the university system to faculty, staff and students involved in research and research-related work regulated by federal law or sponsored externally. Such research includes, but is not limited to, research involving human subjects, vertebrate animals, biohazardous agents and/or recombinant DNA. Research projects involving the surveying of other students, university personnel, or members of the general public fall within the scope of this policy, unless exempted by federal law. Academic misconduct alleged against a student generally will not be covered by this policy, unless it falls within the above scope, and will instead be addressed pursuant to the Academic Misconduct policy housed in the *NMSU Student Handbook*.
- C. **Duty to Report:** Individuals with a reasonable factual basis to believe that a researcher has committed an act of research misconduct prohibited by this policy are obligated to report such occurrences to a supervisor not involved in the alleged misconduct. Such reports of suspected research misconduct shall be forwarded to the vice president for research for prompt investigation, and subsequent corrective action and reporting, if warranted by the investigative findings. If the reporter, the supervisor, or the vice president have reason to suspect that a crime may have been committed, the report shall also be made to the NMSU Police or other appropriate law enforcement for a separate and distinct criminal investigation. (*See also* subsections I and J below.)
- D. **Preliminary Internal Investigation:** If an appropriate oversight committee (Institutional Review Board, Institutional Animal Care and Use Committee, Institutional Biosafety Committee, or

Radiation Safety Committee) reports misconduct substantiated by an investigation with factual findings, this shall serve as the internal preliminary investigation.

In all other cases, the vice president for research will refer the reported matter to the appropriate college dean and associate dean for research, or equivalents, to conduct a preliminary internal investigation into the alleged misconduct. The investigation will be conducted confidentially.

Within twenty (20) business days from the initial receipt of the report of potential academic misconduct, the evidence and any recommended findings shall be forwarded to the vice president for research. During the preliminary investigation stage, the funding agency will not be notified, except as may be otherwise required by law or written agreement.

- E. Action on Results of Preliminary Investigation: The vice president for research shall consider the evidence and the recommended findings of the preliminary investigation, and initiate further action as follows within twenty (20) business days from the date the evidence and the findings were received.
1. If the vice president for research concludes that no infraction occurred, the matter will be dismissed. This decision, including all supporting documentation, will be reported to the Office of University General Counsel.
  2. If the vice president for research concludes that an infraction occurred, but was not an unanticipated problem, did not involve serious or continuing non-compliance with federal regulations or university policy, and did not involve a suspension or termination of an approval granted by the appropriate oversight committee, the vice president for research will refer the matter to the college dean or appropriate vice president for disciplinary action or other administrative corrective action, as warranted by the factual findings.
  3. If the vice president for research concludes that the matter may involve an unanticipated problem, a serious or continuing non-compliance issue, or a suspension or termination of an approval granted by the appropriate oversight committee, the vice president for research shall refer the matter for a confidential formal investigation, at which time the funding agency and/or the appropriate federal or state oversight agency will be notified by way of an Initial Report. The Initial Report shall indicate that either follow up reports or a final report, or both, will be forthcoming as soon as practicable under the circumstances.
  4. If the vice president for research concludes that a crime may be implicated, the matter shall be immediately reported to the appropriate law enforcement agency for a separate and distinct criminal investigation.
- F. Formal Investigation: The confidential formal investigation will be conducted by an ad hoc committee to be convened and chaired by the vice president for research. The committee shall consist of the appropriate college dean and associate dean for research or equivalents, the appropriate department head, and three faculty or exempt staff members from the University Research Council, selected by the university research council chair. Substitutions, in the event of conflict of interest, will be made by the vice president for research or the executive vice president and provost, as appropriate. This formal investigation should be completed within two months from the date the committee is formed. The committee shall gather relevant documentation; interview witnesses with relevant testimony, including the person charged with the misconduct; preserve any physical evidence; and prepare an investigative report summarizing all evidence in the form of factual findings. The final draft investigative report shall be shared with the person charged with the misconduct, and that person shall be given a minimum of five business days to respond.
- G. Action on Results of Formal Investigation: Consistent with the results of the formal investigation, the vice president for research and/or the appropriate college dean or vice president shall take appropriate, university-wide corrective action to ensure that similar incidents do not recur, and shall coordinate with the Office of Human Resource Services regarding disciplinary action, if any, to be taken.

- H. Notifications and Record Retention: All documentation of the preliminary inquiry and formal investigation, if any, shall be maintained in the office of the vice president for research for at least three (3) years and must, upon request, be provided to authorized government personnel. The university shall comply with notification requirements imposed by funding agency regulations and agreements.
- I. Anti-Retaliation: In order to protect the positions and reputations of those persons who, in good faith, report reasonably suspected academic misconduct in research, the university prohibits retaliation in any form to be taken against the reporter or any person who cooperates in the investigative process. A complaint of suspected retaliation will also be cause for the initiation of a separate internal investigation to be conducted in coordination with the Office of Human Resource Services, and if substantiated, will be grounds for disciplinary action, up to and including termination of employment.
- J. False or Unfounded Complaints: If the preliminary or formal investigative report reflects that the complaint of academic misconduct in research was not substantiated, the university will make efforts to restore the reputations of the researcher who was accused of having engaged in misconduct. Additionally, and depending upon the circumstances, the university may initiate a separate internal investigation in the event the investigative report indicates that the initial complaint or any testimony given as part of the internal investigation, may have been intentionally falsified. If deliberate falsification of such a complaint or testimony is substantiated, it will be grounds for disciplinary action against the false reporter, up to and including termination of employment.

#### **5.94.20 Intellectual Property and Patents**

New Mexico State University recognizes that faculty and staff members create commercially valuable intellectual property as part of their teaching, scholarship, research, and service duties. University administration strives to foster a work environment that will motivate the creation and commercialization of intellectual property, by providing advice and assistance to originators of intellectual property, by entering into cost and benefit sharing intellectual property agreements with its faculty and staff, and by assuring compliance with such agreements.

- A. Definitions: When used in this section the following definitions apply:
  - 1. Copyright: Copyright means the intangible property right granted by federal statute for an original work fixed in a tangible form of expression. Copyright provides the owner with the exclusive right to reproduce a work, to distribute it by sale or otherwise, to display or perform it publicly and to prepare derivative works.
  - 2. Earnings: “Earnings” refers to the monetary proceeds received by the university from the sale or licensing of intellectual property in the nature of sales proceeds, license fees and royalties; but shall not include: (1) proceeds in the nature of research or development funding or contracts for reimbursement for same to the university or its designee or (2) amounts required to be paid or reimbursed to or offset by third parties under any contractual obligation.
  - 3. Intellectual Property: Intellectual property includes, but is not limited to, books, articles, plays, films, audio and video works, written lectures, works of art, musical compositions, laboratory manuals, demonstration devices, computer programs, chemical compounds, new materials or processes, and instruments.
  - 4. Intellectual Property Office: The Intellectual Property Office is charged with the responsibility of receiving and processing intellectual property disclosures, obtaining intellectual property protection, maintaining and enforcing intellectual property, and commercializing and distributing the intellectual property.
  - 5. Intellectual Property Officer: The vice president for economic development serves as the university’s intellectual property officer.

6. **Originator:** “Originator” refers to the person or persons primarily responsible for developing the Intellectual Property.
  7. **Patent:** A patent is the right granted under federal statute for a discovery or invention. To be patented, the discovery or invention must be novel, useful and not of an obvious nature. A patent gives the owner the right to exclude others from producing or using the discovery or invention for a limited period of time.
  8. **Significant Use:** Significant use shall mean use of university resources which imposes on the university costs or liabilities that otherwise would not be incurred, except for incidental use addressed by Policy 3.75 Non Work Related Use of University Resources.
  9. **Trademarks:** Trademarks are distinctive symbols, logos, pictures, sounds or words that are used to distinguish and identify the origin of products. Trademarks may also include distinctive and unique packaging, color combinations, building designs, product styles and overall presentations. A trademark provides the owner with the exclusive right to use it on the product it was intended to identify and often on related products. Service-marks receive the same legal protection as trademarks but are meant to distinguish services rather than products.
- B. **Ownership of Intellectual Property:** Ownership of intellectual property shall be determined as follows:
1. **Personal Resources:** Intellectual property developed by faculty, staff, or students (1) outside normal university working hours and (2) without the significant use of university resources, belongs to the originator.
  2. **University Resources:** Intellectual property developed with the significant use of university resources by employees, students or other personnel, belongs to the university. The university or its assignee will either (1) protect such intellectual property and share the earnings with the originator as specified in Part C below, or (2) return or assign rights to the originator.
  3. **Consulting Activities:** Intellectual property developed by a member of the faculty (1) during that person’s allowed consulting time and (2) without the significant use of university resources, belongs to the originator. Ownership of Intellectual Property developed as the result of consulting activity by a university employee, and to which the university is a party, will be determined in accordance with the terms of the consulting agreement.
  4. **Instructional Materials:** Intellectual property developed for any course offered by the university but without the significant use of university resources belongs to the originator.
  5. **Scholarly and Artistic Works:** Intellectual property developed by a member of the faculty engaged in scholarly or artistic activity without the significant use of university resources belongs to the originator.
  6. **Student Work:** Intellectual property developed by a student without the significant use of university resources belongs to the originator.
  7. **Grants and Contracts:** Ownership of intellectual property developed as a result of projects funded by a contract or grant to the university will be determined in accordance with the terms of the contract or grant.
- C. **Distribution of Earnings from Intellectual Property:** Net earnings from intellectual property owned by the university will be shared with the originator. After the repayment of all costs incurred by the university or its assignee to protect, manage, and commercialize (including legal, management and marketing fees), further earnings will be divided as follows:
1. **Total Distribution to Originator:** Annually, the originator, or originator’s heirs, will receive not less than fifty percent (50%) and the university the remainder.

2. **Multiple Originators:** Where more than one originator is involved, the originator's share of earnings will be divided among the originators as agreed upon by them in writing.
3. **Distribution by University:** Earnings received by the university will be used to promote creative endeavor. One-third of the university's share will go to the originator's college or appropriate division; one-third will go to the originator's department; and one-third to the Office of the Vice President for Research.

D. Managing Intellectual Property Transactions:

1. **Intellectual Property Agreement:** In accordance with federal regulations, all employees of the university engaged in federally-funded research will sign the Intellectual Property Agreement.
2. **Responsibilities of the Intellectual Property Office:** The Intellectual Property Office will receive and process disclosures of originators concerning intellectual property; notify the appropriate dean or director, if applicable, regarding the appropriate steps recommended as to the intellectual property; file for, obtain and maintain patents and/or copyrights for the intellectual property; provide for maintenance and enforcement of the intellectual property; attempt commercialization of the intellectual property; and attempt resolution of all disputes or claims concerning the intellectual property. The originator is expected to cooperate with the Intellectual Property Office concerning all these activities, including signing all necessary papers, as requested.
3. **List of Intellectual Property:** The Intellectual Property Office will maintain a current list of patents, copyrights and trademark registrations which have been obtained through that office. This list will be available to all interested parties.
4. **Disclosure of Intellectual Property:** When intellectual property is developed within the scope of the originator's regularly assigned duties, with the significant use of university facilities, or under the sponsorship of a contract or grant, notice must be submitted to the Intellectual Property Office by the originator. The Intellectual Property Office shall recommend to the university whether to pursue legal protection for the intellectual property.
5. **University Assistance:** Intellectual property belonging solely to the originator may be submitted to the Intellectual Property Office to explore the feasibility of the university assisting with the protection and commercialization of the intellectual property. The university will require some consideration for such assistance, such as an assignment, a license (with the right to sublicense), or the right to receive royalties or other earnings, as mutually agreed upon between the parties. The originator and the university must negotiate and sign a written agreement before the university will assist the originator.
6. **Funding of Intellectual Property:** Patentable intellectual property developed under the sponsorship of a federal agency is subject to federal policy as detailed in P/L/ 96-157 (35 U.S.C. 200). This law allows grantees and/or contractors to take title to inventions made in the course of their federally-funded research. To enjoy the full benefits of this law, the Intellectual Property Officer will:
  - a. Inform the sponsoring federal agency of an invention within two months of disclosure of invention to the Intellectual Property Officer.
  - b. Elect within 12 months of disclosure whether the university wants title rights.
  - c. File a patent application within two years of electing title or by the expiration of the patent filing deadline in the U.S. Patent and Trademark Office.
  - d. Grant a royalty-free license to the federal government within 6 months after filing a patent application.
  - e. Provide the federal government with annual reports on utilization of federally supported inventions administered by the university.
  - f. Secure signed intellectual property agreements from employees working on federally assisted research projects.



Unless otherwise defined or limited by contract, grant or consulting agreement, distribution of shared earnings from intellectual property will follow the guidelines detailed in *Distribution of Earnings from Intellectual Property* above.

7. Dispute Resolution: Disagreements between the originator and the university regarding ownership or other issue relating to intellectual property may be submitted, through the Intellectual Property Office, to an ad hoc Special Dispute Resolution Committee.
  - a. The committee will consist of three members: one designated by the originator, one by the appropriate dean or director, and one by the Intellectual Property Officer. The members shall select one member to serve as chair.
  - b. The committee chair shall provide the parties at least five business day's notice of the hearing date and time. The committee will be convened within 15 business days from the date the request for a hearing is submitted by the aggrieved party.
  - c. The committee shall ensure a fair hearing, and may set rules as needed to maintain order and decorum during the hearing process.
  - d. To ensure impartiality, the committee members shall not communicate with either party, except through the chair to both parties jointly, or during the hearing with both parties present.
  - e. The committee members shall maintain confidentiality, and shall not discuss the matter with third parties, except for university officials with a legitimate need to know.
  - f. The committee will review the documentation provide by each party, hold a hearing, and render a written decision.
  - g. The committee's decision shall be issued to the parties within 15 working days from the date of the hearing with a copy to the Office of the University General Counsel.
  - h. The committee's decision may be appealed to the Faculty Grievance Review Board. (*See [4.05.50 Faculty Grievance Review and Resolution](#)*)

### **5.94.30 Research Oversight and Risk Management**

#### **A. Research Funding and Research Institutes:**

1. State University Research Fund: The State University Research Fund is the designated university fund where indirect (facilities and administrative) cost recovery earned by the university is deposited. Funds to support academic research from the State University Research Fund are relatively scarce and must be used in a variety of ways (*e.g.*, to support research, to stimulate new research, to support public service, and to support scholarly endeavors as well as the necessary administration). In general, it is desirable to keep the administrative costs at a minimum and, therefore, make available to the faculty as much support as possible for nonrecurring research expenses. It is the underlying philosophy to use this research support in a flexible manner in keeping with college and department priorities. Encouragement is given to the faculty to secure outside support for research, at the same time recognizing that it is important to provide some support to scholarly pursuits which may not attract outside funding.

#### University Research Institutes:

- a. University Research Institutes are units that primarily perform externally funded research. They are formed by the vice president for research in consultation with the executive vice president and provost. Generally, these units will report to the vice president for research; at the time of creating the institute, the reporting line for the unit shall be determined by the executive vice president and provost and the vice president for research.
- b. University Research Institutes may be created by the university in anticipation of outside funding. They revert to college status or cease to exist if external funding does not materialize. A University Research Institute may receive some support from the State University Research Fund. Except for the Physical Science Laboratory and the Water Resources Research Institute, University Research Institutes do not directly retain a percentage of indirect cost recovery resulting from their activity.

- c. Upon the recommendation of the vice president for research with concurrence of the executive vice president and provost, a University Research Institute may revert to College Research Institute status, be reorganized, or be dissolved, and the following list modified accordingly. University Research Institutes, all of which currently report to the vice president for research, are listed below.
    - i. Energy Research Laboratory
    - ii. Institute for Applied Biosciences
    - iii. New Mexico Space Grant Consortium
    - iv. Physical Science Laboratory
    - v. Water Resources Research Institute
  2. College Research Institutes: College Research Institutes are research units formed at the discretion of a college, reporting to the college as the dean directs, and relying on the college for support. College Research Institutes do not directly retain a percentage of any indirect cost recovery resulting from their activity.
- B. University Research Council: *[Amendment to URC Charter (FS Proposition 22-08/09) passed by Faculty Senate 04.03.09; adopted by Administrative Council 07.14.09; ratified by Board of Regents 07.29.09] [ Amendments restructuring and revising Policy 5.94 in its entirety, as noted above at 5.94, were approved by Board of Regents on 03.14.11]*

The University Research Council was established to foster research at the university. It serves as an advisory body to the vice president for research and proposes policy updates related to research, which if approved by the vice president for research are taken forward to the president for formal review and approval action. The University Research Council provides leadership in fostering a culture of research and in enhancing the university's distinction in research, scholarship, and creative activities among faculty, staff, and students.

1. Vision: The University Research Council, in concert with the Office of the Vice President for Research, seeks to create and maintain a culturally-diverse and ethically-driven academic environment that promotes excellence in research through a university that:
  - a. Acknowledges and celebrates innovation in research,
  - b. Promotes and nurtures interdisciplinary research and collaborative research partnerships as well as individual scholarly research,
  - c. Sustains and maintains the founding core principles of the university,
  - d. Advances collective representation among faculty, staff, and students to the administration through peer review of university funding programs, and
  - e. Supports the role of research in creating a university experience that enriches the lives of students and helps them to become well-informed individuals, lifelong learners, engaged citizens, and productive employees and employers.
2. Mission: The University Research Council assists the vice president for research in formulating recommendations and policies specifically affecting the university's research community. Formally advisory in nature, the University Research Council provides a forum for internal discussion, initiates the development of policy on research matters, gathers and disseminates information to the faculty, and provides a faculty voice to the university administration on matters pertaining to research. While it is recognized that research represents only one component of the academic enterprise, the University Research Council focuses on facilitating and enhancing research-related activities at the university.
3. Goals: The University Research Council will work with faculty, administrators, and students to achieve these goals:
  - a. Encourage research and creative activities,
  - b. Improve the institutional environment for research,
  - c. Strengthen the interdependence between research areas and creative activities, and
  - d. Increase public awareness of New Mexico State University research.

4. Duties and Responsibilities: While adaptive to changing priorities facing research endeavors, the University Research Council has the following specific duties and responsibilities:
  - a. Recommend to the Faculty Senate policies it deems appropriate with respect to research activities, facilities, personnel, and patents,
  - b. Consult with and advise the vice president for research on the stimulation of and support for research activities, including policies for investment of funds in university research endeavors,
  - c. Provide strategic research direction to the vice president for research ,
  - d. Assist in the evaluation of research programs within the university, and advise on new research centers and institutes and the performance evaluation of existing centers and institutes,
  - e. Recommend policies that will foster strong and mutually productive relationships among departments and research groups,
  - f. Be an advocate for the faculty on governmental, industrial, and other private sector and foundation support of the research programs of the university,
  - g. Support enhanced mechanisms for faculty to benefit financially from technology transfer and commercial application of research results for the public benefit,
  - h. Facilitate training for faculty on research grant management and indirect cost mechanisms,
  - i. Review and make recommendations to the vice president for research on internal research grants and awards, and,
  - j. Work with the vice president for research in enhancing procedures for submissions and review of research proposals.
  
5. Structure and Membership: The structure of the University Research Council consists of the complete University Research Council membership, an elected chair and executive committee, and appointed subcommittees established to address specific issues.
  - a. Eligibility for Membership: To be eligible, a faculty member must have at least a 25% allocation of effort assigned to research and creative activity and a successful track record in research and scholarship activity.
  - b. Members: The complete University Research Council membership consists of: the officers of the Council (chair, chair-elect, immediate past chair), two faculty members from each college (three from Arts and Sciences), one faculty representative from the library, one representative from each university research institute reporting to the vice president for research, and one representative from the faculty senate. The vice president for research may appoint additional members to represent specified research activities.
  - c. Term: Members will serve two-year terms on the council, beginning on July 1 of the year of selection, except for the chair-elect (*see below*). The terms of college representatives will be staggered such that one person will be selected each year (two in one year and one the next year from the College of Arts and Sciences). Members are eligible for reappointment. If a member is unable to complete a term, the appropriate college dean or, for university research institutes, the vice president for research will arrange for a replacement to fill the position. Selection procedures for faculty representatives will be determined by the individual colleges.
  
6. Chair and Other Officers:
  - a. Election: Each year in August or September, the membership will elect a member to serve as chair-elect (who also serves as vice chair) for one year, as chair for the following year, and on the executive committee as past chair for the next year. The member elected as chair-elect will serve a three-year term on the University Research Council beginning on the following July 1. If a college representative is elected as chair-elect, the college will be permitted to select an additional representative to complete the unexpired term. In the event that an officer is unable to complete a term, the membership will elect a member to fill vacancies.

- b. Responsibilities of the Chair: The chair will be responsible to convene and conduct regular University Research Council meetings. When the chair is unavailable, the chair-elect or another member designated by the chair will assume these duties.

7. Executive Committee:

- a. Membership: The executive committee shall consist of the chair, chair-elect (who also serves as vice chair), immediate past chair, and faculty senate representative.
- b. Responsibilities: Responsibilities shall include, but not be limited to: preparing the meeting agenda, appointing subcommittees, and delivering charges to the subcommittees.
- c. Nominating Committee: Early in the spring semester, the Executive Committee will appoint a nominating subcommittee charged with the task of selecting nominee(s) for chair-elect and filling other office vacancies for the coming year.

- 8. Resource and Administrative Support: The Office of the Vice President for Research will serve as the office of record for the University Research Council.

C. Council of Associate Deans for Research (formerly Council of Research Centers):

The Council of Associate Deans for Research is an advisory group to recommend research policy and to coordinate operational research procedures among the colleges, university research institutes, and central research administration. It is chaired by the vice president for research. The council is composed of the associate deans for research of each of the colleges, the director of the Physical Science Laboratory, and the university research council chair, who serves in an *ex officio* capacity.

- D. Institutional Review Board: *[Amendments to Institutional Review Board procedures were recommended by the Administrative Council 07.13.10; approved by Board of Regents 07.20.10] [Amendments restructuring and revising Policy 5.94 in its entirety, as noted above at 5.94, were approved by Board of Regents on 03.14.11]*

Administrative authority for the protection of human subjects at New Mexico State University has been delegated by the president to the vice president for research. The Office of the Vice President for Research oversees the Institutional Review Board, which has been established to regulate university research involving human subjects, consistent with federal law and university policy. Prior to submitting an application to the Institutional Review Board, principal investigators shall familiarize themselves with Policy 5.94 and all subparts, any supplemental procedures issued by the Institutional Review Board, and guidance available online from the Office of Compliance and the federal Office of Human Research Protections. Procedures may be amended from time to time by the Institutional Review Board with the approval of the vice president for research.

1. Membership:

- a. Institutional Review Board members are appointed by the vice president for research for renewable three-year terms, upon recommendation from, but not limited to, the institutional review board chair and the compliance director. All members of the Institutional Review Board appointed by the vice president for research will be voting members. A list of the current officers and membership of the Institutional Research Board as well as detailed application procedures are available from the Office of Compliance.
- b. The Institutional Review Board chair is appointed by the vice president for research and serves as the link between the Office of the Vice President for Research and the Institutional Review Board. A vice chair will be appointed to conduct business if the chair is unavailable, or has a conflict of interest.
- c. The composition of the Institutional Review Board will consist of individuals sufficiently qualified through their experience, expertise, and diversity, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and

welfare of human subjects. The Institutional Review Board will not consist entirely of men or entirely of women, or entirely of members of one profession.

- d. The Institutional Review Board will primarily be composed of representatives from the colleges and departments most concerned with projects involving human subjects. It will include at least:
  - i. one member whose primary concerns are in scientific areas,
  - ii. one member whose primary concerns are in nonscientific areas, and
  - iii. one individual who is not employed by or otherwise officially affiliated with the university and who is not part of the immediate family of a university employee.
- e. If the Institutional Review Board regularly reviews research protocols that involve a vulnerable category of subjects, such as children, prisoners, pregnant women, or handicapped or mentally disabled persons, the Institutional Review Board will include one or more individuals whose background is in protecting the welfare of these subjects.
- f. The vice president for research or his/her designee and the compliance director will be ex-officio non-voting members of the Institutional Review Board. A representative from the Office of the University General Counsel will serve as a non-voting consultant to the Institutional Review Board as necessary.
- g. The Institutional Review Board may, in its discretion, invite individuals with competence in special areas to assist in the review of issues which require expertise beyond or in addition to that available on the Institutional Review Board. These individuals will be non-voting members. Such non-voting members may include, but not be limited to, expert consultants external to the university and/or additional representatives of the university.

## 2. Functions and Responsibilities:

- a. The Institutional Review Board will assure complete and adequate review of research activities involving human subjects, and will be able to determine the acceptability of proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice.
- b. No member of the Institutional Review Board will participate in the initial or continuing review of any project in which the member has a conflicting interest, except to provide information requested by the Institutional Review Board.
- c. The Institutional Review Board shall recommend to the vice president for research, and review on a continuing basis, university policies and procedures regarding the use of human subjects in research.
- d. The Institutional Review Board shall review and have authority to approve, require modifications to secure approval, or disapprove all research activities involving human subjects or data related to human subjects.
- e. Research activities shall be reviewed by the Institutional Review Board for compliance with established federal regulations related to the protection of human subjects, as issued by the U.S. Department of Health and Human Services and the U.S. Food and Drug Administration, and contained in the Code of Federal Regulations 45, Part 46.
- f. Research covered by these regulations that has been approved by the Institutional Review Board may be subject to further appropriate review and approval or disapproval by officials of the university. However, those university officials may not approve the research if it has not been approved by the Institutional Review Board.
- g. The Institutional Review Board shall provide advice and guidance to investigators regarding the protection of the rights and welfare of human subjects.
- h. The Institutional Review Board shall ensure that investigators have been certified in the ethical principles of using human subjects in research.
- i. Where necessary, the Institutional Review Board shall serve as a referral board for complaints from subjects of research.
- j. The Institutional Review Board shall require that information given to subjects as part of informed consent is in accordance with federal regulations as indicated in the Code of federal Regulations 45, Part 46. The Institutional Review Board may require that information in addition to that specifically mentioned in Code of Federal Regulations 45,

Part 46, be given to the subjects when, in the Institutional Review Board's judgment, the information would meaningfully add to the protection of the rights and welfare of the subjects. Documentation of that process shall also be required. The Code of Federal Regulations outlining requirements for the protection of human subjects is available by contacting the Office of the Vice President for Research.

- k. The Institutional Review Board shall notify investigators in writing of its decision to approve or disapprove the proposed research activity or of modifications required to secure Institutional Review Board approval. If the Institutional Review Board decides to disapprove a research activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.
- l. The Institutional Review Board shall conduct continuing review of research covered by these regulations at intervals appropriate to the degree of risk, but not less than once per year, and shall have authority to observe or have a third party observe the consent process and the research.
- m. The Institutional Review Board shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the Institutional Review Board's requirements or that has been associated with unexpected serious harm to subjects. Any suspension or termination of approval shall include a statement of the reasons for the Institutional Review Board's action and shall be reported promptly to the principal investigator, to appropriate university officials, and to the federal Office of Human Research Protections.
- n. If a research subject registers a complaint, the investigator shall attempt to relieve the complaint by explanation or by a change of procedure. Written Institutional Review Board approval is required for procedural changes.
- o. It is the responsibility of the Institutional Review Board to determine whether applications that involve more than minimal risk to human subjects are of sufficient scientific merit to answer the proposed research questions or hypotheses.

E. Institutional Animal Care and Use Committee:

1. Membership:

- a. Voting members of the Institutional Animal Care and Use Committee are appointed by the vice president for research upon recommendation from but not limited to the Institutional Animal Care and Use Committee chair and the director of compliance. Alternate members may be appointed by the vice president for research, each to substitute for an absent member. Alternates should receive the same training as members. If they attend a meeting with the primary member, they will not be counted toward a quorum or have voting rights.
- b. The Institutional Animal Care and Use Committee chair is appointed by the vice president for research, and serves as the committee liaison to that office. The committee chair shall be a continuous appointment by the vice president for research, subject to annual confirmation. A vice chair shall be selected by the committee to conduct business in the absence of the chair, or in place of the chair if and when the chair has an application before the committee or other conflict of interest.
- c. The term of membership on the Institutional Animal Care and Use Committee is a twelve-month renewable period. It is not uncommon for members to serve at least two years. The committee chair and the director of compliance will make a recommendation for renewal of membership on the committee to the vice president for research.
- d. The Institutional Animal Care and Use Committee shall include at least five members, at least one of whom is a community member that are not otherwise affiliated with the university. The committee must include a doctor of veterinary medicine with training or experience in laboratory animal science and medicine and program authority and responsibility for activities involving animals at the university, a practicing scientist experienced in research involving animals, a member whose primary work concerns are nonscientific (examples include an ethicist, a lawyer, a member of the clergy), and a community representative who has no other affiliation with the university and has no

immediate family affiliated with the university. No more than three members may come from the same college or administrative unit of the university.

- e. The vice president for research or his/her designee, the director of the Office of Compliance, and the biosafety officer will be ex-officio non-voting members of the Institutional Animal Care and Use Committee.
2. Functions and Responsibilities: All use of vertebrate animals must be reviewed and approved in advance by the Institutional Animal Care and Use Committee to ensure the necessity of animal use and high standards of humane treatment. Animal research must be conducted by adequately trained persons using all necessary measures to prevent, minimize and alleviate pain and distress to an animal. Measures will be taken to ensure that no animals in the university's care will experience severe or unrelieved pain and/or distress. All university employees involved in animal use for teaching or research purposes must be certified by the Institutional Animal Care and Use Committee and must complete the occupational health and safety program for animal workers. Details of these requirements can be obtained from the institutional animal care and use committee chair or the director of compliance. The office of record for Institutional Animal Care and Use Committee activities is the Office of Compliance within the Office of the Vice President for Research, which will comply with federal agency reporting requirements.

F. Institutional Biosafety Committee:

1. General Principles: The university, through the Office of the Vice President for Research, has established the Institutional Biosafety Committee which oversees the use of biohazardous agents and/or recombinant DNA by university faculty and staff, or at university facilities. University researchers using or planning to use biohazardous agents and/or recombinant DNA methods must submit the scope of their projects to the Institutional Biosafety Committee for approval.
2. Definitions:
  - a. Biohazardous Agents:
    - i. Any microorganism (including but not limited to bacteria, viruses, fungi, rickettsiae, or protozoa), or infectious substance, or naturally occurring, bioengineered, or synthesized component of any such microorganism or infectious substance that is capable of causing: (a) death, disease or other biological malfunction in a human, an animal, a plant or another living organism; (b) deterioration of food, water, equipment, supplies, or materials of any kind; or (c) a deleterious alteration of the environment.
    - ii. Any toxic material or product of plants, animals, microorganisms (including but not limited to bacteria, viruses, fungi, rickettsiae, or protozoa), or infectious substances, or a recombinant or synthesized molecule (whatever the origin and method of production), which includes any poisonous substance or biological product that: (a) may be engineered as a result of biotechnology; (b) produced by a living organism; or (c) is an isomer or biological product, homologue, or derivative of such a substance.
    - iii. Infectious or pathogenic biological agent defined by: (a) CDC as biosafety level (BSL) 2-4 (*BMBL 5th Edition December 2009*), or (b) NIH as risk group (RG) 2-4 agent (*NIH Guidelines September 2009*).
    - iv. Regulated biological agent or toxin as identified by the CDC-APHIS National Select Agents Registry Program (NSAR) pursuant to (a) HHS-CDC 42 Code of federal Regulations (CFR) Part 73; (b) USDA-APHIS (9 CFR Part 121) or (7 CFR Part 331); <http://www.selectagents.gov>.
  - b. Recombinant DNA Molecules:
    - i. Nucleic acid molecules constructed outside of living cells by joining natural or synthetic DNA segments to DNA molecules that can be replicated in a living cell.

- ii. DNA molecules that result from the replication of those molecules described above.

3. Membership:

- a. Voting members of the Institutional Biosafety Committee are appointed by the vice president for research upon recommendation from but not limited to the institutional biosafety committee chair and the director of compliance.
- b. The institutional biosafety committee chair is appointed by the vice president for research and serves as the committee liaison to that office. The committee shall select a vice chair to conduct business in the absence of the chair, or in place of the chair if and when the chair has an application before the committee, or other conflict of interest.
- c. The term of membership on the Institutional Biosafety Committee is a twelve-month renewable period. It is not uncommon for members to serve at least two years. The committee chair and the director of compliance will make a recommendation for renewal of membership on the committee to the vice president for research.
- d. The institutional biosafety committee chair is a continuous appointment by the vice president for research, with an annual confirmation from the committee to the vice president. The biosafety officer is a continuous position appointment. The biosafety officer is a professional position that reports to the director of compliance.
- e. The composition of the Institutional Biosafety Committee should include at least eight members employed by or otherwise affiliated with the university and two community members that are not otherwise affiliated with the university, with the following expertise and/or job duties:
  - i. recombinant DNA technology,
  - ii. molecular biology,
  - iii. biological safety,
  - iv. public health and epidemiology,
  - v. virology,
  - vi. microbiology,
  - vii. infectious diseases,
  - viii. animal scientist,
  - ix. plant pathogen or plant pest containment principles,
  - x. laboratory technician/non-doctoral, or
  - xi. facilities management.
- f. The community members should represent the interests of the surrounding community with respect to health and protection of the environment and should be knowledgeable in the basic principles of microbiology and recombinant DNA technology, or capable of assimilating these principles within the context of their applicability to the surrounding community and the general public. Individuals with the following expertise and/or job descriptions should be considered:
  - i. officials of state or local public health or environmental protection agencies, or
  - ii. persons involved in medical, occupational health or environmental concerns in the community.
- g. The Institutional Biosafety Committee may also include ex-officio non-voting members who may be invited to serve when their expertise is required and can supplement the deliberations of The Institutional Biosafety Committee. These members shall include, but not be limited to, biosafety expert consultants external to the university, and/or additional representatives, usually administrative, from such departments as Environmental Health & Safety; Employee Health Services; Research Administration; Office of the University General Counsel; Facilities and Services; and/or Planning, Design and Construction.

4. Functions and Responsibilities:

- a. The Institutional Biosafety Committee is responsible for reviewing all applications



submitted by research investigators and their laboratory staff members, teaching faculty, and visiting scientists (collectively defined as PI for principal investigator) whose activities involve:

- i. any biohazardous agent as defined above which can cause disease in humans,
  - ii. any biohazardous agent which will be introduced into any animal,
  - iii. any non-exempt recombinant DNA molecules (Exempt experiments are defined by NIH Guidelines Section III-F) (NIH Guidelines September 2009),
  - iv. any large scale production of viable organisms containing recombinant DNA, or with the potential to produce toxic or hazardous substances (as defined by NIH Guidelines Section III-D-6 and Appendix K). (NIH Guidelines September 2009), or
  - v. any possession, use, or transfer of the select agents listed on the CDC-APHIS NSAR. (HHS Select Agents and Toxins 42 CFR Part 73: USDA Biological Agents & Toxins 9 CFR Part 121 or Plant Pathogens (7 CFR Part 331).
- b. The Institutional Biosafety Committee will minimize the risks to the health, safety, and well being of laboratory employees, the public, and the environment regarding the use of biohazardous agents, non-exempt recombinant DNA molecules, and large-scale production of recombinant DNA molecules.
  - c. The Institutional Biosafety Committee recommends policies to guide Principal investigators, the biosafety officer, the Office of Compliance, and Environmental Health & Safety in the administration of the university's Biosafety Program with regard to the acquisition, use, transfer, storage, disinfection, disposal of agents, and emergency response procedures for all biosafety activities. The Institutional Biosafety Committee shall ensure that such activities meet standards of good practice consistent with safety of personnel, the general public, and the environment in ways that best facilitate relevant research or teaching activities at the university.
  - d. The Institutional Biosafety Committee is vested with the authority to comprehensively review, and approve research applications with or without modifications, or withhold approval of all or any part of an application with regard to biological aspects of the research or activity. The Institutional Biosafety Committee may make recommendations for corrective action on protocols.
  - e. If the biosafety officer's review of a suspected or alleged violation of any university policy or external regulation that involves "biosafety activities" indicates that the violation is of a serious or continuing nature, the biosafety officer will report such to the Institutional Biosafety Committee. The Institutional Biosafety Committee holds the authority to suspend any project in which serious or continuing violations have been reported. The Institutional Biosafety Committee will notify and coordinate with the affected investigator to rectify the situation. If further action is needed, the Institutional Biosafety Committee will inform the Office of Compliance, which will comply with appropriate federal agency reporting requirements.
  - f. Upon request, the Institutional Biosafety Committee shall review and comment on proposed biosafety regulations, including but not limited to federal, state, and local policies. When appropriate, the Institutional Biosafety Committee will formulate draft policies and procedures for approval by the vice president for research and other institutional officials as needed.
  - g. The Institutional Biosafety Committee shall periodically review the effectiveness of the Biosafety Program and make recommendations for improvements.
  - h. The Institutional Biosafety Committee shall ensure that "biosafety activities that fall within the responsibility and scope of the Institutional Biosafety Committee" that are official university business conducted by a university employee at a non-university facility have been approved by the non-university facility and adhere to the university biosafety requirements.

G. Radiation Safety Committee:

1. General Principles:

- a. The use of radioactive materials and x-ray emitting machines at the university is

regulated by federal, state, local and university entities. The Radiation Control Bureau of the New Mexico Environment Department (Bureau) is the primary regulatory authority.

- b. The Bureau issues Radioactive Material Licenses and X-Ray Certificates of Registration that define the conditions for use of radioactive materials and/or radiation producing devices at university facilities.
- c. The university has established the Radiation Safety Committee to serve as a review and approval body for the use of radioactive materials on campus or for university research purposes, and to provide and enforce safety guidelines for the use of radioactive materials or sources and of x-ray generating equipment at the university. University employees responsible for the use of radioactive materials in their research, operations, and/or teaching (whether conducted by employees, students, or others) must submit a proposal of their activities to the Radiation Safety Committee for approval.
- d. No program proposed or acquisition of radioactive materials shall be initiated until the proposal is approved by the Radiation Safety Committee. All staff and students participating in activities involving radioactive materials shall meet certain training requirements specified in the *Radiation Safety Manual*, available at the Environmental Health and Safety web site, and shall work within the permit granted by the Bureau and the Radiation Safety Committee's guidelines.

## 2. Membership:

- a. A minimum of three technical members of the Radiation Safety Committee are appointed by the vice president for research upon recommendation from the radiation safety committee chair. The members of the Radiation Safety Committee shall be representative of areas of the university where personnel are using radioactive materials or radiation emitting equipment. The radiation safety officer, a regular position of the Environmental Health and Safety Department, is an official member of the Radiation Safety Committee. All members of the Radiation Safety Committee, including the chair and the radiation safety officer, will be voting members. The radiation safety officer advises the Radiation Safety Committee on every aspect of the radiation safety program.
- b. The radiation safety committee chair is appointed by the vice president for research and serves as the committee liaison to that office. The committee shall select a vice chair to conduct business in the absence of the chair, or in place of the chair if and when the chair has an application before the committee, or other conflict of interest.
- c. Members of the Radiation Safety Committee are appointed for two-year renewable terms. The radiation safety officer is a continuous position appointment. The Radiation Safety Committee may also include ex-officio non-voting members who may be invited to serve when their expertise is required and can supplement the deliberations of the Radiation Safety Committee.

## 3. Functions and Responsibilities:

- a. The Radiation Safety Committee advises the vice president for research on radiation safety policy and procedures at the university. The Radiation Safety Committee is responsible for reviewing and approving all applications from research investigators and teaching faculty whose activities involve the use of radioactive materials/sources and x-ray generating equipment.
- b. The Radiation Safety Committee is vested with the authority to thoroughly review and make recommendations to the vice president of research regarding
  - i. qualifications of applicants requesting permission to use or supervise the use of radioactive materials or radiation equipment;
  - ii. applicants' training and experience in the context of the plans for the work requested, including consideration of the types and quantities of materials, and the methods of use;
  - iii. all training courses that an applicant, or first-time user, attends to overcome any deficiencies in training; and
  - iv. efforts of each applicant to maintain exposure as low as reasonably achievable (ALARA) when considering the use of byproduct material.

- c. The Radiation Safety Committee will (a) ensure that the users justify their procedures, exposure potential and that individual and collective doses will be ALARA; and (b) encourage all users to review current procedures and develop new procedures as appropriate to implement the ALARA concept.
- d. The Radiation Safety Committee will delegate authority to the radiation safety officer for enforcement of radiation safety policies and procedures. If the Radiation Safety Committee overrules the radiation safety officer, it will record the basis for its action in the meeting minutes.
- e. The Radiation Safety Committee must meet at intervals not to exceed 12 months to review radiation policies and procedures and their implementation. A quorum for a meeting would require attendance of the chair, the radiation safety officer, and the committee member whose field of expertise is necessary to assure all safety aspects have been addressed.

## **5.94.40 Responsibilities and Accountability for Sponsored Project Awards**

### **A. Administrative Responsibility:**

1. **Principal Investigator Defined:** The principal investigator is the individual responsible for the intellectual direction of a research project and the training of graduate students. This responsibility includes the conduct of the project, fiscal and administrative accountability, and adherence to the requirements of all relevant laws, regulations, policies, procedures and agreements. If a project has multiple investigators (lead principal investigator and co-principal investigators), they shall share the responsibility and accountability for leading and directing the project, both intellectually and logistically.
2. **Eligibility to Serve as a Principal Investigator:** Eligibility to serve as a principal investigator on an externally sponsored award is generally limited to those regular employees of the university including: (a) those with faculty rank, including college faculty and research faculty as well as administrators with faculty rank such as (but not limited to) the president, executive vice president and provost, vice presidents, deans, and associate deans, and (b) research and development technical staff. There may be instances when it is in the best interest of the university to have other persons serve as principal investigators, such as temporary employees, affiliated faculty or emeritus faculty. Exceptions to the requirements that a principal investigator must have both (a) regular employee status and (b) either faculty rank or employment as research and development technical staff may be made with written approval of both the relevant dean or director, and the vice president for research. A student may serve as a co-principal investigator, but may not serve as the lead principal investigator on a project.

### **B. Sponsored Project Proposal Process:**

1. **Proposal Preparation:** Proposal preparation is the responsibility of principal investigators and their units, working in cooperation with the Office of Grants and Contracts. The Proposal/Award Form or a similar automated system, as designated by the vice president for research, will be used by all principal investigators and project directors seeking externally sponsored project funding. This form will be processed in the early stages of proposal development. This is a mandatory form, and no research proposal will be signed or sent out from the university unless this form is signed by the appropriate administrative officers or designated representatives. Responsibility for proposal preparation includes developing budgets consistent with relevant cost accounting standards and obtaining appropriate certifications, permits (*e.g.*, for drug use), and permissions (*e.g.*, use of humans and animals in research).
2. **Proposal Submission:** Proposal submission is the sole responsibility of the Office of the Vice President for Research. Principal investigators should timely submit funding proposals through their unit to the Office of Grants and Contracts, with sufficient advance notice to allow for their proper review, approval and submission to funding agencies.

- C. Acceptance of Sponsored Project Award: Award documents are received by the Office of Grants and Contracts for final review, negotiation and formal acceptance. Only the vice president for research (or designee) has the authority to accept an award, negotiate and to sign award agreements related to sponsored programs, including amendments, modifications, budget changes, principal investigator changes, and extensions to existing agreements.
- D. Maintenance of Sponsored Project Records: Records of sponsored project awards and related certifications, permits and permissions, as well as of non-financial deliverable reports to sponsors, are maintained by the Office of the Vice President for Research through the Office of Grants and Contracts. This includes coordinating the production, submission and retention of reports and records generated in the closeout of sponsored award agreements. Financial records of sponsored awards and related reports, invoices and financial reports, are maintained by the Office of Administration and Finance, primarily through the Sponsored Projects Accounting Office.
- E. Accountability for Sponsored Award Transactions: Transactions on sponsored project awards shall be approved by the principal investigator and the dean, director, or designee of the college or other unit. The Sponsored Projects Accounting Office, in cooperation with the principal investigators and their respective units, fiscally monitors sponsored awards, reviews and prepares financial reports, and receives and disburses funds.
- F. Accountability for Property Acquired Through a Sponsored Project Award: The principal investigator, department head, dean or director, and university property administrator shall be accountable for acquisitions and dispositions of equipment and other property acquired through sponsored project awards. Any such property will be recorded on the university's inventory at a minimum, for property to which the university does not acquire title, until the expiration of the award period. A determination as to whether title to property acquired under sponsored awards vests with the sponsor or with the university at the end of the award period should be included in the award agreement, rather than negotiated at award termination. The university property administrator will be kept informed of any amendment to the initial determination regarding property ownership, so that the university's inventory may be updated and the necessary final property reports prepared.

## 5.96

**Searches for Academic Administrators** *[Amendment (FS Proposition 11-08/09) passed by Faculty Senate 04.02.09; adopted by Administrative Council 04.14.09; ratified by Board of Regents 09.25.09][Amendment (FS Proposition 04-09/10), passed by Faculty Senate 11.05.09; ratified by Board of Regents 02.01.10]*

- A. Guidelines and procedures for a search may be found in the Search Committee Guidelines, copies of which are available in departmental offices or through the Office of Institutional Equity/OIE.
- B. Faculty members shall serve on search committees for academic administrative positions. They will be nominated and elected for this specific purpose.
- C. The executive vice president and provost will inform the chair of the Faculty Senate about nonacademic administrative searches, and the chair may request similar faculty representation.
- D. All academic administrative positions at the department head (or equivalent) or above level, including that of the university president, require a search to be filled permanently.
- E. A search at the department head (or equivalent) or associate dean levels may be done externally or internally.
- F. Searches for all positions at the dean (or equivalent) level must allow external applicants.
- G. Internal candidates, including interims, are allowed to apply for any position.
- H. In all cases where external and internal candidates apply for the same position, these applicants will be treated equally. There is no assumed preference for internal applicants.

- I. The provisions of this policy do not limit the Board of Regents when negotiating a contract for interim president.

**5.98 Tenure Track and Tenure (Continuous Contract) Amended by Proposition 06-08/09**  
*Passed by Faculty Senate 01.15.09; Signed by president 02.19.09 Ratified by Board of Regents 07.29.09]*

- A. Tenure Home: Tenure at the university is placed in a specific department/program/community college where the criteria for each individual's tenure are established. Tenure at the community college means at the community college, not on the main campus. There is no obligation to bring the person to the main campus if the person's position ceases to exist at the community college.
- B. Initial Appointment: Excerpts from this manual regarding promotion and tenure will be presented to each new member of the faculty\* prior to appointment and the faculty member's acceptance of an appointment indicates understanding and acceptance of the provisions of the contract as specified in this manual. Information regarding social security, retirement, hospitalization, disability, and life insurance will be presented to each prospective member of the faculty prior to appointment and acceptance of the conditions of employment. The patent policy for the university staff will be presented to each prospective member of the faculty prior to appointment, and acceptance of the appointment indicates understanding and acceptance of this policy.
- C. Temporary Contracts (Issued by the Office of the Executive Vice President and Provost): Contracts which cover an employment period of either 9 months or 12 months are issued as follows:
1. Contracts are issued to full-time tenure-track faculty members.\* Full-time is interpreted to apply to tenure-track faculty members who are released no more than 1/4 time to duties other than academic and/or research programs and/or academic administration. Unless prior approval for exception is obtained from the department head, dean, and executive vice president and provost, it will be considered that all other faculty are less than full-time and occupy nontenure-track positions.
  2. Nine-month contracts cover the period from the opening faculty meeting in the fall to the date final grade reports are due for the spring semester; 12-month contracts are issued effective July 1 and terminate on June 30 of the following year. Temporary contracts are presumed to end at the conclusion of the stated term. The terms shall be stated in contractual form and a copy retained by the university and the appointee.
  3. New tenure-track faculty reporting for duty after the last Friday in September (12-month employees) or the second Friday in October (9-month employees) will not receive a temporary contract. Instead, the dean will prepare an agreement for the new faculty member's signature covering employment for the remainder of the year (this form to be submitted with the initial Personnel Action Form). The first contract will be issued at the beginning of the next contract period, which will constitute the first year of the probationary period toward tenure.

*\*Interpreted as including all tenure-track and tenured members of the instruction staff and the Agricultural Experiment Station staff; all Cooperative Extension Service state staff members; the Research Centers' staffs; and any others whom the Board of Regents may designate.*

- D. Probationary Period: The probationary period [may also be referred to as the trial, or provisional period] (1 year at a time) for personnel with or without previous experience agreed upon from other institutions of higher education will ordinarily not exceed 6 years. At the discretion of the administration, the trial period may be shortened. Thereafter, there shall be a presumption of permanence in employment and the requirement of cause as indicated below assigned for dismissal.

- E. Nonrenewal of Contracts and Termination of Appointment: In the process of evaluating performance and issuing temporary contracts, it may be necessary not to renew a temporary contract.
1. During the trial period, non-renewal of the contract may be without implication of criticism or specification of cause.
  2. The reason for non-renewal will be stated, if so requested by the faculty member subject to non-renewal. The reason is only to be communicated if requested by the faculty member. The choice of the manner of notification (verbally or in writing) is to be made by the faculty member. The faculty member must request the reason for non-renewal prior to the end of the faculty member's contract.
  3. Prior to non-renewal, the department head, or comparable administrator, must consult with the promotion and tenure committee of the department before any recommendation of non-renewal is forwarded to the dean. The consultation is to be in the form of a meeting and the department head or comparable administrator must identify the faculty member(s) at risk for non-renewal. In addition, the department head or comparable administrator must provide the committee with all relevant information, to the extent allowed by law, related to the non-renewal.
  4. Notification of the non-renewal of short-term or non-continuous appointment is made in writing according to the following schedule:
    - a. for faculty members in their first year of service at this university – 3 months or more before the end date of their contract;
    - b. for faculty members in their second year of service at this university – 6 months or more before the end date of their contract;
    - c. for faculty members who will have 3 or more years of service at this university at the time of nonrenewal – 1 year or more before the end date of their contract.

A Contract Status Form must be processed by the department head for the nonrenewal of a temporary contract prior to the deadlines established for notification. The employee should acknowledge receipt of such notification by dating, signing, and returning the Contract Status Form.

- F. Voluntary Termination of a Temporary Contract: Any staff member who proposes to resign shall give written notice to the administration at the earliest time possible, but in no case later than 30 days after the staff member receives written notification of the terms of the next year's contract, or 3 months prior to the start of the following academic year, whichever is later, except when mutually agreed upon by the individual and the administration. The faculty member should inform the department head in writing. The department head will inform the dean, who in turn will notify the executive vice president and provost. The department head should then submit a terminating Personnel Action Form at the earliest possible date. If death is the reason for termination, payment will be made for all unused annual leave accrued at the time of death to a maximum of 52 working days of leave. If a person listed by the promotion and tenure committee does not wish to be considered for promotion or tenure, the person must so indicate to the department head in writing. However, if the person is in the fifth year of tenure-track service, withdrawal from consideration for tenure must be accompanied by written notice of resignation effective at the end of the sixth year of service (this notice to be received by the department head before the end of the fifth year of service).
- G. Involuntary Termination of a Temporary Contract: See 5.47 Faculty Discipline and Appeal Process
- H. Change to Continuous Contract: The department head initiates the Contract Status Form to accomplish the change from temporary to continuous contract. All recommendations for tenure must be accompanied by notification to the executive vice president and provost from the dean of the result of the faculty committee vote. When tenure is awarded, it is awarded in the unit that

initiated the request for tenure (continuous contract). No temporary appointment can become continuous without the official action of the university administration.

- I. Continuous Contracts: A continuous appointment is not a matter of right, but is made after the provisional period has been completed successfully, providing the individual's services are needed. Such an appointment is made by the issuance of a new contract at the time of continuous appointment or shortly thereafter, and the contract becomes the abiding instrument governing employment, except that the terms may be modified from time to time by endorsement. Continuous contracts are issued by the Office of the Executive Vice President and Provost following receipt of an approved Contract Status Form. Continuous contracts are not reissued until there is a promotion in rank. Each spring an official contract amendment (salary letter) is issued by the president's office which informs the faculty member of final performance evaluation and annual salary for the ensuing year. Once a faculty member has been appointed to a continuous contract, that faculty member will retain continuous contract status even though the faculty member accepts appointment at less than full time.
- J. Transfers: Normally there are four types of transfers of faculty members within various agencies of the university:
  1. A faculty member leaving an instructional/research department to serve in a different instructional/research department. Under these circumstances, the individual may be given credit toward a continuous contract for the years served in the earlier department. With proper departmental and college vote, and the completion of a Contract Status Form by the new department, tenure may be transferred with a faculty member from one department to another.
  2. The transfer of a faculty member from a non-instructional division to an instructional division or vice versa. Under these circumstances, years of service in the prior position will not necessarily count toward a continuous contract in the new position. Proven performance in the first position, under these circumstances, might not assure that the individual would be able to render satisfactory professional service in the new area of assignment.
  3. The transfer of a faculty member from the university community college campuses to an instructional division on the main campus or vice versa. Under these circumstances, years of service in the prior position will not necessarily count toward a continuous contract in the new position or assure appointment in an equivalent rank. Proven performance in the community college or main campus position might not assure that the individual meets the rank requirements of the new position.
  4. The transfer of a faculty member from one community college to another: Under these circumstances, the individual may be given credit towards a continuous contract and rank for the years in the previous community college.
- K. Voluntary Termination of a Continuous Contract: The section above on voluntary termination of temporary contracts also applies to continuous contract employees.
- L. Involuntary Termination of a Continuous Contract: See 5.47 Faculty Discipline and appeal Process.

## **Chapter 6**

### **Academic-Related Policies**

- 6.05 Academic Units - Creating, Reorganizing, Relocating, Etc.
- 6.10 Academic Units/Programs (Procedures for Changes)
- 6.15 Articulation Agreements
- 6.16 Authorized Absences
- 6.20 Class Cancellation
- 6.25 Class Disruption/Interruption
- 6.26 Class Schedules and Catalogs
- 6.30 Commencement
- 6.35 Curricula Changes
- 6.40 Course Material/Textbooks
- 6.45 Course Prefixes
- 6.50 Degree Revocation and Expulsion from university *fka* Degree Revocation
- 6.55 Distance Education
- 6.60 Examinations/Tests
- 6.65 General Education Courses
- 6.70 Grade Reports
- 6.75 Honorary Degrees
- 6.80 Independent Studies
- 6.82 Majors and Minors
- 6.84 Military Science Coordinator
- 6.86 Registrar
- 6.87 Student Admission and Residency Processes in Relation to Immigration
- 6.88 Summer Session
- 6.89 Transfer Credit
- 6.90 Tutoring Services
- 6.92 Withdrawals, Administrative
- 6.93 Embargo of Dissertations or Master's Theses



## **CHAPTER 6 - ACADEMIC-RELATED POLICIES** *(See also academic policies contained in the Undergraduate and Graduate Catalogs and NMSU Student Handbook)*

### **6.05 Academic Units - Creating, Reorganizing, Relocating, Eliminating** *(See also Policy 2.50 Naming Policies)*

- A. Definition of Academic Unit: For the purpose of this policy an academic unit is defined as a college, a department, an undergraduate major, a graduate degree program, or a library, whether these units are located on the main or a community college.
- B. Reviews/Recommendations and Approvals Required: Any proposal to create, reorganize, relocate or eliminate an academic unit must be submitted for review and recommendation by the Faculty Senate, the Academic Deans Council, and the president to the Board of Regents for their consideration and action.
- C. Initiation of Proposal to Create, Reorganize, Relocate or Eliminate an Academic Unit: Proposals to create, reorganize, relocate, or eliminate an academic unit formally originate with a bill submitted to the Faculty Senate. The proposed legislation shall follow the procedure specified in Faculty Senate Constitution ARTICLE IX Propositions for Consideration of the Constitution of the Faculty Senate, except that no such proposal will be considered as emergency legislation.
- D. Effective Date of Change: If approved, the creation of a department will be effective either January 1 or July 1 following the approval.
- E. Procedure for Implementation: After approvals from the appropriate authorizing bodies are obtained (*i.e.*, Faculty Senate, Academic Deans Council, etc.), the requesting department head/director must submit an Organization Change Request Form to the Office of Human Resource Services for processing. The form must be submitted with all relevant documentation attached no later than November 30 (for January 1 effective date) and May 31 (for July 1 effective date).
- F. Creation of New Colleges: The creation of a new college is a decision based on the weighing of a number of criteria, including those below. An attitude of flexibility, reality, and organizational feasibility should be maintained in applying these criteria. The structure of the entire university, if a new college is formed, is an important consideration.
  1. There should be a documented professional need for the college in the state and region.
    - a. Rationale: This can be expressed through increasing student enrollment in programs that would be part of the new college, or an obvious need for professional graduates of the college as expressed by state and local groups who desire to hire these professions.
  2. The proposed college should be of a recognized profession or group of disciplines.
    - a. Rationale: The new college should give a desirable added professional recognition and development in the area of the new college.
  3. At the outset, the new college shall have a minimum student enrollment of 250 with demonstrated ability to reach an enrollment of 500 within a 3- to 5-year period and a sufficient number of faculty to make it a viable administrative unit within the university.
    - a. Rationale: After several development years, the quantity of faculty and students should be sufficient to lend themselves to a quality of organization, instruction, and service that will provide a viable thrust to the university.

The quality and quantity of the faculty in the proposed college should be capable of maintaining with distinction an academic undergraduate and graduate program.

4. The university must be willing to make the commitment to furnish financial support for an additional college.
  - a. **Rationale:** This should include an adequate budget to provide for an expanding staff at the college level and funds for additional housing at a professional level.
- G. **Changing a Department or Group of Departments into a School:** The proposed school should incorporate more than one area of specialization or should offer more than one degree (may include interdisciplinary cooperative efforts or more than one department). The proposed school should be an administrative and support unit with undergraduates and graduate students and an established, nationally recognized teaching and research program. The administrative head of a school may be called a chair, a head, or a director, but this person's administrative level will be equal to that of a department head. The legislation must contain a clearly stated and convincing justification for the name change, and must have support of the department and college faculty and administration.
- H. **New Academic Unit:** There should be a documented academic/educational need for the academic unit, including but not limited to, an increasing student enrollment or significant employment opportunities for graduates in that field. The new program(s) should be consistent with the mission of the university and the college in which it will be located. There are sufficient faculty and resources to staff the program.
- I. **Relocation or Reorganizing an Academic Unit:** Proposals to relocate a department must meet all of the following criteria:
  1. The relocation will produce a more homogenous set of programs and departments in both colleges.
  2. The relocation will enhance the professional identity of the program or department involved
  3. The relocation will not cause undue hardship for other academic units.
  4. The faculty and administrators directly affected are in agreement.
  5. Such a change will better serve the university community, clients, and/or the mission of the university.
  6. Address the transfer of resources, courses taught, and the faculty rank and tenure (or years to tenure) of those individuals being transferred.
  7. If a unit is being relocated to another college, there should be significant support from the unit being transferred and the unit receiving the transferred personnel/resources.
- J. **Elimination of an Academic Unit:** (*See also Policy 4.40 Layoff/Financial Exigency*) Proposals to eliminate an academic unit must meet the following criteria:
  1. A significant decline in enrollment, either as measured by number of majors or student credit hours.
  2. The resources are needed by programs or departments with much higher enrollment or student credit hour production.
  3. In evaluating a proposal to eliminate an academic unit, the unit's contribution in the areas of teaching, research, and service shall be considered.
- K. **Undergraduate Program Changes:** (*See 6.35 Curricula Changes*) All undergraduate program changes, including those of associate degrees, will be reported by the appropriate college representative at the fall curriculum meeting of the Associate Deans Academic Council. If applicable, adequate library resources and support services should be confirmed.

**6.10 Academic Units/Programs (Procedures for Change)** (See [Appendices 5-A](#) and [B](#) for flowcharts of both academic and nonacademic change procedures) See also Policy [2.50 Naming Policies](#)

**6.15 Articulation Agreements**

- A. The decision to participate in an articulation agreement with another institution(s) rests with the faculty.
- B. For those articulation agreements that are initiated by the New Mexico Higher Education Department, the administration will appoint a representative to the HED Statewide Articulation Task Force. The representative will consult closely with faculty in individual departments on discipline-specific course equivalencies prior to signing any articulation agreements. Department faculty must approve any changes which affect how credit is awarded in their discipline prior to implementation. Faculty approval is not required if the proposed changes are already reflected in the Course Transfer Matrix established by the Office of the Registrar. (See [Transfer Credit in Undergraduate Catalog](#))
- C. In cases where a change in the current HED Articulation Agreement will affect the university's general education requirements, the representative will consult closely with the General Education Committee prior to signing any articulation agreements. The General Education Committee must approve any changes affecting the structure of the university's general education curriculum prior to its implementation.
- D. For those articulation agreements initiated by a university department or college, the initiating department or college will consult closely with the faculty in individual departments on discipline-specific course equivalencies prior to signing any articulation agreements. Department faculty must approve any changes in how credit is awarded in their discipline prior to implementation. Faculty approval is not required if the proposed changes are already reflected in the Course Transfer Matrix established by the Office of the Registrar. (See [Transfer Credit in Undergraduate Catalog](#))
- E. The Board of Regents endorses the concept of articulation between 2 and 4-year colleges and universities. At the university, the evaluation of transfer students' transcripts has been done by one central office for over 15 years. By centrally evaluating these transcripts, the majority of the problems with respect to articulation have been resolved. In addition, the university has prepared academic transfer guides for all two-year institutions in the state of New Mexico. To promote the continuous efficient, forward progress of students through the educational system of New Mexico, the board endorses practices and matrices which facilitate the intrastate transfer of credit and support the development and implementation of a statewide articulation plan. To this end, students awarded the Associate of Arts or Associate of Science degree from an accredited New Mexico postsecondary institution will be accepted at the junior level\* in baccalaureate degree-granting institutions.

*\*Students will be allowed to register as juniors. They may be required to take lower division course work to fulfill specific baccalaureate degree requirements. This interpretation will be published in catalogs and student transfer guides.*

**6.16 Authorized Absences**

Students making satisfactory progress in their classes will be excused from classes when they are representing the university at a university sponsored event (e.g., ASNMSU president represents the university at legislative session, student-athletes competing in university scheduled athletic events, or educational field trips, and conferences). Authorized absences do not relieve the student of class responsibilities. Prior written notice of the authorized absence will be provided to the instructor by the sponsoring department.

## 6.20 Class Cancellation

Classes are not to be canceled without prior approval of the appropriate department head and dean.

## 6.25 Class Disruption/Interruption

Any disruption or interruption of classes is to be reported promptly to the department head, who will in turn inform the dean and the dean will inform the executive vice president and provost.

## 6.26 Class Schedules and Catalogs

- A. Minimum Class Time: The minimum class meeting time is 750 minutes per credit hour per semester. A chart of minimum class meeting times follows. For more information, contact the Scheduling Office.

Course Length	Credit Hours	Meets 1 Time/Week	Meets 2 Times/Week	Meets 3 Times/Week	Meets 4 Times/Week	Meets 5 Times/Week
16-weeks	3.0 (2250 min.)	2 hrs 30 min	1 hr 15 min	50 min	40 min	30 min
6-weeks	3.0	6 hrs 25 min	3 hrs 15 min	2 hrs 10 min	1 hr 45 min	1 hr 25 min
5-weeks	3.0	7 hrs 30 min	3 hrs 45 min	2 hrs 30 min	2 hrs	1 hr 30 min
4-weeks	3.0	9 hrs 25 min	4 hrs 45 min	3 hrs 10 min	2 hrs 20 min	1 hr 55 min
9-weeks	3.0	4 hrs 20 min	2 hrs 10 min	1 hr 25 min	1 hr 5 min	50 min
8-weeks	3.0	4 hrs 45 min	2 hrs 25 min	1 hr 35 min	1 hr 15 min	60 min
Short-course	1.0					2 hrs 30 min

A credit equals 1 hour of class per week during a semester. To convert laboratory clock hours to credit hours, divide the laboratory clock hours by 2. Thus a course designated as (2+2P) could be evaluated as 3 credits. (See Chapter 5, Faculty - Assignments for other proportional credit calculations)

- B. Use of the Term "Variable": The term variable in the class schedules and catalogs shall be reserved for the following courses only: 599, 600, 699 and 700.
- C. Listing of Credits: Courses showing credits X-Y (for example, 1-3) are limited to a maximum of 9 credits. That is, they may be listed for 1-9 credits, but not 1-10. Following the course description or title there should be a statement in regard to the maximum credit which may be taken for any given semester and the total maximum credits.
- D. Printing Format: In the printed class schedule the word variable following a course shall be applied to those courses in paragraph B. above. Courses referred to in paragraph C. above will be scheduled 1-3, 1-4, etc., according to the maximum credit which may be taken for any given semester.
- E. Authority of Chair of Associate Deans' Academic Council: The chair of the Associate Deans Academic Council may approve the offering of new courses on a one-time-only basis if the courses are to be used in programs with special outside funding, or under the following circumstances:
1. The course responds to a special circumstance that could not be anticipated (e.g., to take advantage of the expertise of someone hired in a professorial chair, such as the Gerald Thomas Chair).
  2. The course responds to specific needs in a grant recently received.
  3. Changes in certification requirements dictate immediate changes in the curriculum.
- F. Review by University Curriculum Committee: College deans are to urge department heads to submit to the University Curriculum Committee special topics courses at the lower division, upper

division and (if applicable) graduate levels.

- G. Approval Authority of Associate Deans' Academic Council: Associate Deans Academic Council approval of course changes for the ensuing catalog automatically authorizes scheduling of these courses during the semesters preceding the publication of the catalog if requested by so indicating on the course change form on the line marked starting date.
- H. Adherence to Class Schedule: Faculty members will meet each class at the place listed in the schedule unless they have approval from the department head to meet elsewhere. (This especially pertains to changing a class to any off-campus location.)

### 6.30 Commencement

- A. Ceremony: Two ceremonies may be held at the end of each semester, one ceremony on Saturday morning for three colleges and one Saturday afternoon for the other three colleges. Graduate students will participate with their respective colleges, but all graduate students in each ceremony will sit and be identified together. One honorary degree may be awarded at each ceremony.
- B. Symbolic Commencement: Candidates for degrees sign applications which clearly state that the awarding of degrees is subject to completion of all requirements and cannot be interpreted as a commitment. Commencement ceremonies for the associate degrees awarded by the community colleges will be arranged by the respective community college.
- C. Academic Regalia: Each college may approve distinctive symbols to be worn by the top 10 percent of its graduates at commencement. Only one such symbol may be worn by each graduate. In addition, the student with highest honors in each college may wear a crimson-colored gown. No other symbolic additions to academic regalia are allowed without the approval of the Academic Deans Council.

### 6.35 Curricula Changes

- A. All new courses, course changes (description, credit, prerequisite, etc.), and course deletions are approved by the Associate Deans Academic Council, prior to being placed in the catalog or in the Schedule of Classes. This includes courses offered at the community colleges that meet for less than a full semester. A special meeting is called when appropriate to consider interim courses and other course changes approved for review by the chair of the Associate Deans Academic Council. Deadlines for having this information to appropriate offices will be announced and enforced. The chair is empowered to act for the committee on a one-time-only basis in the case of extenuating circumstances.
- B. Although a grade of D is "passing" but "below-average" work, it is recognized that in some courses, and sequences of courses highly cumulative in nature, below-average work is not adequate preparation for the subsequent courses. In such cases the Associate Deans Academic Council may approve a prerequisite specifying "a grade of C or better in the prerequisite course."
- C. A department wishing to initiate a new course, delete a present course, or introduce changes in descriptions, credits, or prerequisites must submit the request to the cognizant dean on the NCR form designed for this purpose. (These forms, commonly called "flimsies," are available in the deans' offices.) Format guidelines for flimsies are also available in the deans' offices.
- D. Summary sheets, in alpha-numeric order by prefix, provide a cover list of changes. (For example, a number change BIOL 116 to BIOL 119; a title change CHEM 199, Intro. to CHEM to Elementary Chem; a credit hour change PE101, 1 cr to 2 cr; a prereq. Change E T 101 to E T 112; a course deletion GEOG 206; or a new course.) Copies of summary sheets and flimsies are distributed by each dean as follows:

	# of summary sheet copies	# of flimsy copies
AGHE	9	9
A&S	24	5
BA&E	6	2
ED	7	4
ENGR	8	2
HSS	2	2
Executive Vice President/Provost	1	1
Catalog Editor	1	1
Graduate School	1	1
Scheduling	1	1
Library	1	

- E. Objections to any change cited on a flimsy are resolved prior to the meeting of the Associate Deans Academic Council. If this is not possible, a written statement must be submitted to the committee chair prior to the day of the meeting. Automatic approval of the committee will be extended to all courses for which there are no written objections. Any dispute regarding a flimsy that cannot be resolved by the Associate Academic Deans Council will be referred to the executive vice president and provost for a final decision.
- F. The recommendations of the Associate Deans Academic Council are reported immediately to the departments by the deans. An approved copy of the NCR form is distributed to the scheduling office, cognizant dean, and the cognizant department head. Courses which have not been offered for 5 years are subject to automatic deletion by the scheduling office. Before initiating deletion, the scheduling director prepares a list of such courses, and departments may request that they be maintained if suitable justification exists.

**6.40 Course Material/Textbooks**

- A. Course Material: Department heads are responsible for having on file a course outline for each course offered by the department. Each professor is responsible for course content and selection of required materials (textbook(s), supplementary printed material, equipment, supplies) for the course. The professor is obligated to keep course costs to the student as low as possible. The department head is responsible for the approval of bookstore requests, requests for supplementary materials, and for the coordination of requirements for multiple sections. The department head should be cognizant of course costs to students and advise the professors should such costs appear to be excessive.
- B. Textbooks: All textbook orders from faculty must be channeled through the department head for signature and approval and then forwarded to the bookstore manager. The bookstore manager will review departmental requests for textbooks and order as per the department head's request. Order quantities may be increased or decreased by the bookstore manager if previous enrollment or sales history indicates that it is necessary. Department heads must notify the bookstore manager immediately when additional sections are opened or courses canceled. Faculty will not be allowed to order and/or sell books on or off campus without written approval from the appropriate dean and the bookstore manager. Before a faculty member may require students to buy a textbook or other material authored or coauthored by that faculty member, approval from the department head is required. The department head may convene a committee of department faculty to consider the matter. If the department head is the author/coauthor of the required textbook or other material, a committee of department faculty will consider the matter and make a recommendation to the dean, whose approval will be required. Supplementary materials, published or unpublished, produced by departments or individuals for sale to students will be sold through the university Bookstore or through other vendors who are authorized to purchase such materials from departments only, not from individual faculty members. Payment by the vendors shall be made to the department upon receipt of an appropriate departmental voucher or invoice. Faculty and staff members may request reimbursement from their departments for their expenses.

## 6.45 Course Prefixes

- A. Proposals for New Course Prefixes: Colleges or departments may propose new course prefixes through appropriate channels to the executive vice president and provost. It is assumed that the prefix will convey desirable information. New prefixes by the departments may be instituted only if they will be applied to at least 9 credits of course work.
- B. Lower-Division Occupational Education Courses at the University's Community Colleges: All courses taken toward fulfilling requirements for an associate degree and/or individual courses offered for credit at community colleges only will have an OE (Occupational Education) designation. The third and fourth letters will designate the area in occupational education (e.g., WU, Water Utilities; MM, Mid-Management).

## 6.50 Degree Revocation and Expulsion from University *fka* Degree Revocation (See also Academic Misconduct Policy in NMSU Student Code of Conduct)

The Board of Regents recognizes that on rare occasions a degree may be awarded to an individual who, upon review, has not properly completed all requirements for the degree.

- A. Allegations Reported To Dean: Allegations regarding academic misconduct which may result in permanent expulsion or degree revocation shall be brought immediately to the attention of the appropriate dean.
- B. Preliminary Investigation: The dean shall conduct a preliminary investigation with an appropriate professional body within the university.
  1. The dean may consult experts in the professional field in which misconduct is suspected. The purpose of this consultation shall be to provide an evaluation of the alleged misconduct.
  2. In all cases where such serious academic misconduct is suspected, the dean shall convene a misconduct review panel consisting of the department head of the appropriate department, or if appropriate, Graduate Council chair, the chair of the Faculty Senate, and an administrative officer of the unit in which the suspected misconduct occurred. No one who has participated in any previous decisions relating to the facts underlying the allegations in question may participate on the Review Panel (or on the ad hoc committee, described below). In the event of a conflict of interest, alleged bias against the accused or refusal to serve on the panel, the dean shall appoint a replacement from the senior faculty. This panel shall review the evidence and its evaluation, decide whether a formal charge is appropriate, and advise the dean and the executive vice president and provost.
  3. If, after such preliminary investigation, serious academic misconduct which could result in degree revocation is suspected, the dean shall notify the executive vice president and provost.
- C. Formal Charges: If so advised, the dean shall:
  1. Issue in writing a formal charge, detailing the basis for the charge, to be delivered to the accused as described below.
  2. Notify the accused in writing of the formal charge(s), including the factual allegations, in detail, upon which such charge(s) are based. This notice will also inform the accused of the right to appear at a hearing before an ad hoc committee and to present evidence at that hearing. The notice shall inform the accused of the proposed date of the hearing and that, if the allegations are substantiated, the revocation of the accused's degree will be considered as a sanction. In addition, a copy of these procedures shall be included with the notice. This notice shall be delivered to the accused in person or by registered or certified mail, return receipt requested.
- D. Ad Hoc Hearing Committee: The ad hoc committee shall be composed of five senior faculty members appointed by the executive vice president and provost. The executive vice president and

provost shall designate one member of the committee as the chair. In the event of a conflict of interest, bias against the accused, or refusal to serve on the committee, the executive vice president and provost shall appoint a replacement.

- E. Ad Hoc Committee Hearing Process: A hearing shall be held before the ad hoc committee, which hearing shall begin between 20 and 30 working days after the accused has been notified of the allegations, unless an earlier hearing is requested by the accused. The accused may request, and shall be granted, additional time, not to exceed 20 working days, to prepare for the hearing before the ad hoc committee. All hearings and appeals described in this procedure will be closed meetings, unless the accused student or former student requests that they be open to the public.
1. The accused shall be given the opportunity, at least 10 working days before the ad hoc committee hearing, to examine any documentary evidence that may be used in support of the allegations, and to interview any witnesses who will be called in support of the allegations.
  2. The accused may be represented by legal counsel, at the accused's expense, who shall be allowed to fully participate in all proceedings following notice of the charge(s) to the accused.
  3. The university may designate and appoint an attorney to present the evidence against the accused and to fully participate in all aspects of the proceedings.
  4. The hearing by the ad hoc committee and any subsequent proceedings shall be recorded by certified court reporter.
  5. All testimony before the ad hoc committee shall be sworn and upon the oath or affirmation of the witness.
  6. The burden of proof shall be on the university to prove the charge(s) by clear and convincing evidence.
  7. At the hearing before the ad hoc committee, the accused shall be entitled to present witnesses and cross-examine adverse witnesses, and to present such other written or documentary evidence as may be relevant to the charge(s).
  8. No formal rules of evidence shall be used by the ad hoc committee. The chair shall control the conduct of the hearing and shall rule on the admissibility of any disputed evidence and may exclude any evidence which, by its nature, would appear to be untrustworthy, irrelevant, or redundant.
  9. The ad hoc committee shall present written findings of fact to the dean. These findings shall state whether the charge(s) against the accused were substantiated by clear and convincing evidence and shall also set forth the specific pertinent factual findings established by the evidence. The ad hoc committee shall not make recommendations concerning possible sanctions.
  10. The ad hoc committee's findings shall be by majority vote and shall be reported to the dean, in writing, within 10 working days of the conclusion of the hearing.
  11. Following the hearing and upon receipt of the formal, written advice of the ad hoc committee, the dean shall decide upon the disposition of the case and, if appropriate, recommend the imposition of sanctions. Within 5 working days of the receipt of the ad hoc committee's report, the dean will forward the record, and the dean's decision and recommendations to the executive vice president and provost.
  12. Within 5 working days following receipt of the disposition and recommendation from the dean, the executive vice president and provost will submit a recommendation as to sanctions, if any, together with the reports of the ad hoc committee and the dean, to the president of the university.



13. The president will make a decision regarding the imposition of any sanction or penalty. This decision shall be rendered within 5 working days following receipt of the recommendation from the executive vice president and provost. The decision shall be delivered to the accused in person or by certified or registered mail, return receipt requested.
- F. Appeal to Board of Regents: The decision of the president may be appealed, in writing, to the Board of Regents. In the event the accused wishes to exercise such appeal, the accused shall, within 20 days of the date the decision of the president is mailed to the accused, provide the executive vice president and provost with written notice of appeal to the board. This notice shall be forwarded to the president. The president shall then forward the notice, a copy of the president's written decision, and the record of proceedings, including the evidence presented to the ad hoc committee, to the board. An appeal to the Board of Regents shall be considered by the board at its next regularly scheduled meeting:
1. The Board of Regents shall allow oral arguments by both the general counsel and counsel for the accused, or by the accused, not to exceed 30 minutes in length for each side.
  2. The accused, and general counsel, may present written arguments to the board, by service upon the executive vice president and provost, not later than 10 working days prior to the time that the board will hear oral arguments.
  3. The general counsel for the university shall be allowed to present its argument first, and to reserve any portion of the allotted 30 minutes for rebuttal following the accused's presentation.
  4. The Board of Regents, by majority vote, in open session, may affirm the action of the president, modify such action, or dismiss the allegations against the accused.
  5. The decision of the Board of Regents shall be reported, in writing, to the accused (by certified or registered mail, return receipt requested) within 30 days following oral argument, with a copy to the ad hoc committee.
  6. The decision of the board shall be final.

## **6.55 Distance Education** (*See also* Policy 5.25.30 Compensation-Distance Education)

- A. All costs for off-campus programs must be recoverable from contracts and/or specified state appropriations and tuition.
- B. The following costs must be recovered:
  1. That portion of salaries of faculty and site facilitators required for the delivery of the course off-campus.
  2. Charges for use of off-campus facility(ies).
  3. Expenses for the production and transmission of the course(s).
  4. Transportation and per diem for travel to remote site(s).
  5. Other expenses such as telephone calls, shipping materials, and supplies.
  6. College and/or departmental and distance education increments.
- C. When contract and/or tuition funds are not sufficient to cover all the costs of Item 2, costs listed under the first and last items in Item 2 above may be negotiated to meet the constraints of funding.
- D. All of the above may be modified to meet different educational approaches; however, the total allocated resources would not be reduced.

- E. Following approval by the college dean, off-campus graduate course proposals are forwarded to the dean of the Graduate School, who is the academic officer responsible for field-based graduate offerings.

## 6.60 Examinations/Tests

- A. Exam Week: Normally, every class meets at least 750 minutes per credit hour. The registrar will schedule the sixteenth week of instruction of each regular semester in 2-hour blocks. These blocks may count toward the 750-minute minimum per credit hour if necessary, or it may exceed the 750-minute rule. In either case, the exam week class time is not optional and must be used for some culminating activity, whether or not the instructor requires a final exam.
- B. Exam Schedule: The examination schedule will be included in the class schedule at registration.
- C. Completion of Fall Semester Prior to Holiday: The fall semester will be completed before the winter holidays.
- D. Length of Examinations During Last Week of Regular Classes: Faculty are not allowed to hold examinations lasting more than one class period during the last week of regular classes. In addition, faculty can only reschedule exams outside of the regularly scheduled exam period with the unanimous consent of the students and permission of the department head.
- E. Student Grievance: Students who feel that their rights have been violated should contact the respective department head.
- F. Maximum of Three Final Exams Per Day: During exam week, a student cannot be required to take more than three exams in 1 day. Instructors of exams that would occur after the third must permit the student to take the exam at another time if the student desires. Any student having more than three examinations scheduled in any 1 day may notify the instructor of the last examination listed and ask for alternate arrangements to be made for examination. If the fourth exam is a departmental exam, the instructor of the third exam will make alternate arrangements. (See 6.88 Schedule of Classes for deadline for notifying instructors.)
- G. Advance Coordination of Final Exams/Term Papers: Each faculty member will be requested by the deans to announce intentions as to final examinations and term papers during the first week of the semester.
- H. Advance Resolution of Final Exam Scheduling Conflicts: Also, the faculty member will request students with problems of scheduling to report them to the office of the college dean.
- I. Priority in Scheduling: A regularly scheduled evening class will have precedence over examinations scheduled in other courses outside the normal class meetings.
- J. Alternate Exam Time: When a conflict occurs, the department scheduling the examination will arrange for students to complete the examination at another time.
- K. Student Review of Final Exam or Term Paper: Students shall be permitted to see any examination or test paper upon request within a reasonable period of time after the conclusion of the test.

## 6.65 General Education Coursework Required for Graduation *[Amendment (FS Proposition No. 13-05/06) passed by Faculty Senate 03.02.06, signed by president 03.29.06; ratified by Board of Regents 09.08.06] [Amendments (FS Propositions 25-07/08, 26-07/08 and 27-07/08) passed by Faculty Senate 05.01.08, signed by president 06.13.08; ratified by Board of Regents 07.15.08][Amendment (FS Proposition 21 11/12) passed by Faculty Senate 05.03.12; signed by the President 05.21.12; approved by Board of Regents 06.21.12]*

- A. General Education Policy Statement: The General Education curriculum required for graduation from New Mexico State University is comprised of the state's common core and the university's

Viewing a Wider World courses. See the *NMSU Undergraduate Catalog* for specific category requirements, options and required credits that will fulfill both state and university requirements.

1. **Common Core:** The New Mexico Higher Education Department (HED) mandates a lower-division general education common core curriculum. These are accepted in total as a block by all accredited, public post-secondary institutions within the state of New Mexico. See NMSA 1978 §§ 21-1B-1 et seq.
  2. **Viewing a Wider World:** In addition to the state's requirements, NMSU has adopted Viewing a Wider World courses (VWW) as part of its General Education curriculum required of all undergraduate students. See NMSA 1978 §21-1B-4 (B). These courses foster intelligent inquiry, abstract logical thinking, critical analysis and the integration/synthesis of knowledge beyond the student's major discipline.
- B. **General Education Course Certification Committee:** The Board of Regents recognizes and delegates review and certification for the general education courses to the advisory body known as the General Education Course Certification Committee, which reports to the university's chief academic officer, the Executive Vice President and Provost, as follows:
1. **Role and Purpose:** The General Education Course Certification Committee is recognized as a standing university board within the definition of Policy 1.05.90. It serves as an advisory body to the Office of the Executive Vice President and Provost. Its primary charge is to review the courses submitted for inclusion in the General Education curriculum in light of the applicable state or university criteria, and to provide its recommendations to the Office of the Executive Vice President and Provost. The committee also develops or reviews proposed procedural guidelines for the General Education course certification process, for consideration by the Office of the Vice President and Provost.
  2. **Composition:** The General Education Course Certification Committee shall be comprised of one faculty member and one alternate faculty member from each academic college and the library, to be selected by the appropriate dean; two community college faculty members and one alternate community college faculty member, to be selected by majority vote of the community college chief academic officers; and one member and one alternate member from the Faculty Senate. A representative from the Registrar's office and from the Outcomes Assessment office shall also serve on the committee in an *ex-officio* capacity.
  3. **Reporting Structure:** The committee reports directly to the Executive Vice President and Provost, who will appoint a representative from the Office of the Executive Vice President and Provost to serve as chair. The Office of the Executive Vice President and Provost shall provide the committee with necessary administrative support.
  4. **Meetings:** The committee shall meet a minimum of one time per semester. The chair or the Executive Vice President and Provost may call additional meetings as often as necessary for the committee to perform its charge.
- C. **General Education Certification:**
1. The Office of the Executive Vice President and Provost, after consideration of the recommendation from the General Education Course Certification Committee, will establish and publish procedural guidelines pertaining to the review of courses proposed for inclusion in the General Education curriculum.
  2. Any NMSU-Las Cruces college or department may propose to create or modify a course for inclusion in the General Education curriculum.

3. Courses that are part of the state common core are subject to the regulations of the New Mexico Higher Education Department. The Office of the Executive Vice President and Provost is responsible for compliance with these regulations.
4. Viewing a Wider World courses proposed by the various colleges and departments will be certified or re-certified in accordance with the General Education Course Certification Procedural Guidelines issued by the Office of the Executive Vice President and Provost.
5. Upon receipt of notice of certification, the sponsoring department will process the appropriate course action forms to initiate the process for the course to be officially offered, and published in the appropriate catalog(s).

**6.70** **Grade Reports** *[Amendment (FS Proposition 02-06/07) passed by Faculty Senate 11.05.06, signed by president 11.09.06; ratified by Board of Regents 10.22.07]*

- A. Deadline to Submit Grades: The deadline for submission of grades will be 5 p.m. on the second working day after the last day of classes at the end of the semester or as assigned by the official academic calendar. Necessary forms will be furnished by the registrar.
- B. Faculty Obligated to Provide Academic Progress Upon Student Request: At the request of the student, the instructor will provide information on progress in the course prior to the last day to drop a course.
- C. Posting of Grades: Protection of Personally Identifiable Information:
  1. Personally identifiable information, such as names, social security numbers and/or Banner I.D. numbers, in whole or in part, shall not be used for the purpose of publicly posting student grades, unless specific written permission (signed and dated) has been obtained from the student prior to grades being posted.
  2. It is permissible to publicly post student grades without consent only if it is done in a manner that is not personally identifiable – *i.e.*, the faculty member assigns a unique identifier to each student for this purpose, and the identifier is kept confidential and known only to the student and the faculty member.

**6.75** **Honorary Degrees** *[Amendment adopted by Administrative Council 10.09.07; ratified by Board of Regents 10.22.07] [Amendment (FS Proposition 09-11/12A) passed by Faculty Senate 05.03.12; signed by the President 05.21.12; approved by Board of Regents 06.21.12]*

- A. Bachelor's: An honorary bachelor's degree may be awarded under the following conditions:
  1. A student who has completed over 85% of the credit hours required by their degree program at the university (or has demonstrated strong effort to complete their degree as determined by the faculty of their degree program) is by accident, serious illness, death, or other unanticipated event permanently prevented from completing their degree at NMSU can be nominated for an honorary bachelor's degree as follows:
    - a. A department head or faculty member initiates the process and seeks departmental approval through the department's normal governance policies (e.g. consensus of majority vote of the faculty).
    - b. The student's home department makes a judgment regarding whether the student made suitable progress toward completion of their bachelor's degree.
    - c. If the nomination is approved by the home department, the department head or faculty member then submits the nomination to the Dean of the home college for the student and then, if approved by the Dean of that college, the nomination is submitted to the Provost for approval.
- B. Master's: An honorary master's degree may be granted to an individual who has brought honor to the university or to someone whom the university wishes to honor for that individual's

contributions to the university, the state, or the nation.

- C. Professional Degree: An honorary professional degree may be granted to a person who has achieved extraordinary professional distinction. The degree may be awarded under the following conditions:
1. The individual has made an outstanding professional contribution to his or her field and is recognized for professional achievement; and
  2. The nominee or the nominee's family is willing to accept the degree.
- D. Procedural Consideration for Awarding Honorary Bachelor's/Master's Degrees: The honorary bachelor's degree will be awarded upon recommendation of the major department and the appropriate dean, with the approval of:
1. Faculty of the appropriate academic department
  2. Executive Vice President and Provost
  3. President of the University
  4. Board of Regents

The degree will be awarded at commencement exercises along with the conferral of earned degrees, or at another appropriate time approved by the executive vice president and provost.

- E. Procedures for Awarding an Honorary Master's Degree:
1. Nomination Process: A letter of nomination and support material, which should include support letters and/or documents describing the contributions and/or accomplishments of the nominee, is presented to the dean of the appropriate unit through the department head.
  2. Approval Process: All documentation will be submitted for approval to the following officers in the order listed below:
    - a. Faculty of the appropriate academic unit
    - b. Dean of the appropriate unit, upon the advice of an existing or appointed unit-wide committee
    - c. Dean of the Graduate School upon advice of the Graduate Council
    - d. Academic Deans Council
    - e. Executive Vice President and Provost
    - f. President of the University
    - g. Board of Regents
  3. Presentation of Degree: The degree may be presented at a special ceremony or at another appropriate time approved by the executive vice president and provost.
  4. Limitation of Awards: Honorary master's degrees should be limited to not more than two per college or library each year to maintain prestige and distinction of the award.
- F. Procedures for Awarding an Honorary Professional Degree:
1. Nomination Process: A letter of nomination and support material, which should include support letters and/or documents describing the contributions and/or accomplishments of the nominee, is presented to the dean of the appropriate unit through the department head.
  2. Approval Process: All documentation will be submitted for approval to the following officers in the order listed below:

- a. Faculty of the appropriate academic unit
  - b. Dean of the appropriate unit upon the advice of an existing or appointed unit-wide committee
  - c. Academic Deans Council
  - d. Executive Vice President and Provost
  - e. President of the University
  - f. Board of Regents
3. **Presentation of Degree/Limitation of Awards:** The honorary professional degree may be presented at a special ceremony, or at another appropriate time approved by the executive vice president and provost, and shall be limited in number to one candidate from each college or library per semester.
  4. **Distinction from Honorary Doctoral Degrees:** These initiatives are separate from the established practice of awarding an honorary doctoral degree at each commencement and are intended to expand public recognition opportunities where it is deemed appropriate and conducive to enhance public relations for the university.
- G. **Honorary Doctoral Degrees:** Selection of honorary doctoral degree recipients rests with the Board of Regents. The responsibility for seeking qualified nominees for the honorary doctorate degree rests with the Office of University Advancement. Nominations will be sought from the campus community, alumni, and volunteers. No current faculty member or administrator of the university, nor any currently serving elected official, should receive honorary degrees; however, with a unanimous vote of the board, these prohibitions can be overruled. The vice president for university advancement will screen the nominations, provide biographical information, and make recommendations through the president to the board. The board will make the final selection. The honorary doctoral degree is normally presented during commencement ceremonies.

## 6.80 Independent Studies

Independent studies are for students capable of self-direction, who meets the requirement for the S/U option, *i.e.*, if the students are not eligible for the S/U option, they are not eligible for independent study. Class tickets will not be issued, nor will on-line scheduling unless the student presents a signed Independent Study Permit to the card issuer. Independent study courses are considered part of a faculty member's load. Departments will establish standards for each independent study course offered. The instructor should file a summary of requirements with the department head for each student enrolled in an independent study course before the last day to add or drop a course. Independent study research or reading courses may not be challenged.

## 6.82 Majors and Minors

- A. **Majors:** New majors, including those of associate degrees, are endorsed by the Academic Deans Council, and then approved by the Faculty Senate and the Board of Regents. A major is defined as a recognized area of study in which there is an extensive and well-developed curriculum offered at the university, as well as adequate library resources and support services. A major may include courses from more than one department, but as a minimum it must consist of at least 24 credits in the major field, of which 18 credits must be upper-division courses. A student may take a double major. In this case, the student must meet all of the requirements in the catalog for each degree. Courses taken outside of the two major fields may be used to fulfill the conditions of both degrees.
- B. **Supplementary Majors:** In addition to a major, a student may elect to undertake a supplementary major. The academic colleges offer supplementary majors in areas where sufficient numbers of courses of a closely-related nature are available so as to constitute a significant body of study. The minimum requirements for a supplementary major are 24 credits taken from the catalog listing for the field of study, of which 18 credits must be upper-division courses.
- C. **Minors:** A student may also minor in a particular area. A minor is based on courses that encompass a recognized field of study. As a minimum, a minor must consist of 18 credits of course work, of which 9 credits are at the upper-division level. Upon approval of the dean of the

college, departments may offer a minor that meets these requirements by describing it and receiving approval from the dean of the college. Departments may require that certain courses be a part of a minor and may exclude other courses. Acceptable minors are those listed in the catalog for a department. If a particular minor is not offered by a department, a student may petition for the recognition of that minor at the time of filing for a degree. If the department and the college concerned approve, they will notify the student and the registrar to that effect. Succeeding catalogs will then list that department as offering the particular minor and the requirements that must be met.

## 6.84 Military Science Coordinator

- A. Promotion of ROTC Program: The university's Reserve Officer Training Corps (ROTC) program is established as a voluntary course of study. It is the policy of the university to advocate and promote the ROTC, and the ROTC officers on campus shall be given faculty status.
- B. Role of the Dean of the College of Arts and Sciences: The dean of the College of Arts and Sciences serves as the military science coordinator and represents the university administration at various military functions. The dean also approves the faculty members assigned to the Departments of Aerospace Studies and Military Science.
- C. Dismissal from ROTC Programs: When an ROTC department makes a decision to cancel the contract leading to a commission for a student in the advanced ROTC program, the following university procedure will apply:
  1. If the contract is canceled during a semester when the student is currently enrolled in an advanced ROTC course, and the student is demonstrating satisfactory academic performance, the student may be dropped from the course only with the student's approval and with a grade of W.
  2. The student wishing to complete a given advanced course for graduation or for credit, whose contract is canceled during the semester in which the student is enrolled in the course, will be permitted to complete the course, provided the student continues to demonstrate satisfactory academic performance. The course may be completed by continued attendance at classes, or by extra-class arrangements made for individual instruction at the discretion of the professor of military science or aerospace studies. Extra-class arrangements must provide to the student the opportunity to achieve the same grade which could have been received by remaining in class.

## 6.86 Registrar

The Office of the Registrar cannot provide official academic information to unauthorized persons, nor can it reduce the amount of information obtained in the registration process below what is required by the New Mexico Higher Education Department, state statutes, and the National Center for Education Statistics. In these requirements, the Office of the Registrar follows the minimum recommended by the American Association of Collegiate Registrars and Admissions Officers. Strict adherence to academic policies is an integral part of record integrity. A balance must be maintained between public relations and the responsibilities of record-keeping.

- A. Duties of the Registrar:
  1. Record and preserve academic data on all students registered for credit at the main campus and at the community colleges.
  2. Determine assignment of resident or nonresident tuition and fees, in accordance with state law and the uniform definition established by the New Mexico Higher Education Department and the Attorney General's Office.

3. Submit reports of official enrollment statistics to the New Mexico Higher Education Department and to the National Center for Education Statistics.
  4. Develop procedures for registration of students in any program in which academic credit is issued.
  5. Coordinate preparation of a schedule of classes for each academic semester or summer session.
- B. Transcript of Credit: Upon written request, the Office of the Registrar will furnish, for a \$3 fee, an official transcript of a student's academic record to the student or designee.
- C. Transcripts: Transcripts will not be furnished without the student's consent if the student is 18 years of age or over, except as requested by a parent claiming the student as a dependent under the definition established by the Internal Revenue Service. If a student is under 18, the parents may request and receive a transcript of the academic records. The Office of the Registrar will also furnish to the student, upon written request, an information copy of the student's academic record. Transcripts, either official or unofficial, may be furnished to university faculty members or professional staff members upon request, with or without the student's permission. Prior to each advisement period, information copies are produced for the advisors.
- D. Release of Student Information: Information concerning a student that is published in the official student directory may be released to anyone requesting such information. This information will be published unless a request to withhold is received by the registrar by the last day of late registration for the fall term (Buckley Amendment - PL 93-380). Information recorded on the academic record page and in the student's file is released according to the procedures covering issuing of transcripts. Information in the student's folder is confidential, and is not released except to those authorized under the Buckley Amendment to PL 93-380 and The Family Educational Rights and Privacy Act of 1974. (See 2.90 University Records)
- E. Eligibility for Registration: Students under any type of sanction may not register until the sanction is removed by the appropriate office. On-line entry or clearance of sanctions is entered by the university agency involved. Students on scholastic suspension may apply for readmission and register when eligible. Students with disabilities may petition for early registration through the Office of Services for Students with Disabilities Office, Room 100, Garcia Annex.
- F. Statistical Data: Certain statistical data are required from the student in order to furnish data to the New Mexico Higher Education Department, the National Center for Education Statistics, and university officials. Other information required is for identification of student records. Registration of students who refuse to furnish requested data is subject to cancellation.
- G. Establishing Residence Status for Tuition Purposes: This responsibility, delegated to the registrar, is based upon state law and various rulings from the New Mexico Higher Education Department and the Attorney General's Office. The general counsel may be consulted by the registrar in cases where legal advice seems warranted. Determination is made by the registrar on the basis of information and affidavits submitted by the student. The burden of proof is on the student, and the final decision will be made by the university. Information on residence requirements may be obtained from the Office of the Registrar. The admissions office determines residency for tuition purposes for first-time applicants.
- H. Release of Registration Statistics to the Press: Final or near final registration statistics are released by the registrar through the vice president for student affairs and enrollment management to the associate vice president for university communications and marketing services, who in turn furnishes such figures to the media. Such release is not made until the close of registration. Any university official may release final enrollment figures after they are published.
- I. Recording Academic and Demographic Data on the Academic Record: Office of the Registrar updates and corrects data entered by admissions on the student's record at the time of matriculation. The following data are entered: last name, first, middle/maiden; date of birth;



college or school to which admitted; degrees granted from the university ; date of degrees; major field; minors; other institutions attended, and credits granted; high school last attended; admission status; and social security number or alternate identification number. Also recorded on the undergraduate academic record page, upon approval by the academic dean, are allowable credits from military service, challenged courses, CLEP, or ACT. Such credit will be treated as transfer credit without a grade, will count toward graduation, and may be used in fulfilling curriculum requirements as specified by the student's academic college.

- J. Registration: Eligible students may reserve courses in the offices of the academic deans or on-line by computer, as determined by the academic calendar. Subsequent schedule changes may be made on the dates published in the Schedule of Classes. Students with disabilities may petition for early registration through the Office of Services for Students with Disabilities, Room 100, Garcia Annex. Eligible students may complete registration by mail, phone, Web, or in person by making a minimum down payment to the Office of University Account Receivable. Students who reserve classes but fail to complete registration by the published deadline will be disenrolled from all classes. At the close of the drop/add/late registration period, students who have not made the required payment will be disenrolled from all classes and may not attend until the next scheduled session.
- K. Academic Scheduling: (See 6.26 Scheduling Course)
- L. Grade Reporting to the Registrar: Faculty members report grades for students in their classes, through the department head and dean, on forms furnished by the registrar. It is the responsibility of the faculty member to submit these grades according to regulations and dates recommended by the Faculty Senate and approved by the president. Subsequently a list of grades assigned is sent to each instructor for verification.
- M. Justification of I: An I Grade Information Form shall be sent to the dean's office with instructor's grade sheet for each I grade assigned. Forms are available in the offices of the academic deans.
- N. Procedures for Approval of Degree Candidates:
  - 1. Three days (1 day in summer) after final grades are recorded on-line, the Office of the Registrar will furnish each academic dean a list of degree candidates, showing the results of the final record check.
  - 2. The deans' offices will confirm candidates who have met all requirements, and delete those who have not.
  - 3. The deans will certify graduation for the candidates listed.
  - 4. The Office of the Registrar will furnish the executive vice president and provost a list of approved degrees after the deans' certifications are received. The official graduation date will be the date degrees are approved by the executive vice president and provost.
  - 5. The Office of the Registrar will record degrees approved and mail diplomas to graduates.

## **6.87 Student Admission and Residency Processes in Relation to Immigration Status** *[Policy adopted by Administrative Council 09.13.05; ratified by Board of Regents 09.08.06]*

The rules and regulations for establishing student residency for tuition purposes are defined by the New Mexico Higher Education Department which is authorized by the Constitution of the State of New Mexico and state statutes.

- A. All international students entering the United States on a non-immigrant student visa will apply for admission through the Office of International Admissions Program located in Garcia Annex. Consult the Undergraduate Catalog section on Foreign Students for specific restrictions and procedures (*NMSU Undergraduate Catalog*).

1. Any non-citizen entering an institution of higher education on a non-immigrant visa (*i.e.*, student, diplomatic, visitor or visiting scholar), including spouses and dependents, shall be classified as a non-resident for tuition purposes.
- B. All legal immigrants (permanent residents), partially documented, undocumented or refugee students, who have attended a secondary educational institution in New Mexico for at least one year and have either graduated or received a general education development (GED) certificate in New Mexico, will apply for admissions through the Office of Undergraduate Admissions located in the Educational Services Building.
  1. Legal immigrants or refugees must present documentation of their status to the Office of Admissions and Office of the Registrar.
  2. Students meeting requirements may be eligible for in-state tuition as determined by the Office of the Registrar in accordance with the State of New Mexico Higher Education Department ([hed.state.nm.us](http://hed.state.nm.us)).
  3. Students eligible for in-state tuition may be eligible for state-funded financial aid.

### **6.88 Summer Session** (*See also Policy [5.25.40 Compensation-Summer](#)*)

Summer teaching at the university is considered a privilege and not a right. Departments will use the following guidelines in determining summer teaching assignments within the department's FTE summer allocation:

- A. Priorities: 1) The first priority must be student and program needs. As resources permit, courses needed by the students to complete programs in a timely fashion should be offered. 2) After student needs, continuing tenured and tenure-track faculty will have priority in teaching assignments.
- B. Development of Departmental Policy: Departments will have the flexibility to develop their own policies after priorities #1 and #2 above have been met. The departmental policy must be written and available to all departmental faculty and other interested parties. The departmental policy must adhere to existing policies related to summer teaching (*e.g.*, current policy states that, in general, faculty members will be employed in one 6-week period only).
- C. Allocation as Relates to Department Heads: No summer session faculty allocation is used for 12-month department heads who teach in the summer.
- D. Schedule: Two 6-week sessions will be scheduled between the end of the spring semester and the beginning of the fall semester. Colleges and departments offering courses numbered 450 and above, designed primarily to meet the needs of teachers have permanent approval to offer courses on a 5-week schedule. During the first summer session, the 5-week option schedule begins after the first week of instruction. In the second summer session, the 5-week option schedule ends after the fifth week of instruction. It is recognized that students may be registered in both 5-week and 6-week courses. Graduate students in a combined registration may not register for more than 6 credits.
- E. Faculty Teaching-Normal: Because the summer schedule must be prepared well in advance, and summer funding is always uncertain, early agreements regarding summer teaching must be identified as tentative. No actual commitment is made until approvals are completed on an E-Hire Form Permission to Offer section). Full load for 6 weeks is 4.5 semester credits or equivalent. (For community college faculty the full load for 6 weeks is 6 semester credits or equivalent.)
- F. Salary for Summer Session: (*See Policy [5.25.40 Compensation - Summer](#)*)

## 6.89 Transfer Credit

- A. Faculty Decision: The decision to award a student credit for work completed at another institution rests with the faculty.
- B. Registrar's Duties: The registrar will maintain a data base of commonly transferred courses from other institutions and their NMSU equivalents.
- C. Four Year Review of Departmental Equivalents: Every 4 years faculty from each department will have the opportunity to review the equivalents from their department and make changes to the data base.
- D. Transferred Courses Not in Registrar's Data Base: Transferred courses that are not in the data base will be individually evaluated by the Office of the Registrar. If uncertain about which NMSU course is equivalent, the registrar will consult with the faculty in the relevant department.
- E. Transfer Credits from Non-Accredited Institutions: Transferred credits from non-accredited institutions will be evaluated by faculty from the relevant department after the student has shown acceptable performance at NMSU for two semesters.
- F. Responsibility of Student to Provide Documentation to Facilitate Determination of Transferability: It is the student's responsibility to provide departmental faculty with sufficient materials to determine which of the department's courses is equivalent to the credits being transferred. The determination whether a course is from an accredited institution will be based on where the course was actually taken. (For example, a course taken at a workplace for which college credit was later awarded by an accredited institution would be treated as credit from a non-accredited institution.)

## 6.90 Tutoring Services

- A. Approvals: All tutors paid from university funds will be recommended by the head of the department in which the course is taught. In addition, approval must be obtained from the dean of the college. Graduate students must also obtain the approval of the dean of the Graduate School.
- B. Requirements for Providing Tutorial Services: Additional requirements for tutorial services are outlined in the *NMSU Student Employment Handbook*.
- C. Employment of Graduate Assistants, Fellows and Trainees: Graduate assistants, fellows, and trainees may be employed as tutors. Such employment must be shown to be free of conflict of interest and must be consistent with policies governing supplemental appointments of such students. (See *NMSU Graduate Catalog*)
- D. Hourly Tutoring Rates: (See the *NMSU Student Employment Handbook*. For exceptions to published rates for graduate students, contact the dean of the graduate school.)

## 6.92 Withdrawals, Administrative

When an administrative withdrawal from a course is initiated for a student who is representing the university at an official out-of-town event, the withdrawal will become effective upon the return of the student to the university from that event, or 5 class days after the signed drop slip arrives in the dean's office, whichever is sooner.

## 6.93 Embargo of Dissertations or Master's Theses [Policy (FS Proposition 16-08/09) passed by Faculty Senate 04.02.09, signed by president 04.07.09; ratified by Board of Regents 07.29.09]

New Mexico State University permits the embargo of dissertations or master's theses under certain conditions as described in this policy.

A. Definition: An embargo of a thesis is defined as a delay in the release of the dissertation or master's thesis for a specified amount of time (non-renewable).

B. Routine Processing by Library:

Unless a request for embargo is approved, dissertations or master's theses will be routinely processed by the Library. NMSU Library: Embargo NMSU permits the embargo of dissertations or master's theses under the following conditions:

1. To protect information of commercial value
2. To protect a patent application
3. To protect intellectual property rights associated with publication of content
4. To honor a pre-existing contractual agreement; or
5. To protect individual rights to privacy because of the thesis subject or when cultural respect is being infringed.

C. Procedure To Request Embargo: To apply, the requestor must submit a Master's Thesis and Dissertation Embargo Request Form to the Graduate School office with the Thesis-Dissertation Intake Form.

1. The completed Master's Thesis and Dissertation Embargo Request Form must be signed by:

- a. Student
- b. Dissertation Advisor(s)
- c. Department Head
- d. Dean of College or Designee
- e. Dean of Graduate School

2. Conditions: The following conditions will apply if an embargo is granted:

- a. The bibliographic information (author, title, abstract, metadata, etc.) of the copy held by the NMSU Library will be publicly accessible in the library catalog.
- b. The embargoed dissertation or master's thesis will automatically be made available upon the embargo expiration date.
- c. An approved embargo period shall be twenty-four months and non-renewable.

## **Chapter 7**

### **Human Resources-Employee Benefits**

- 7.03 Deferred Compensation (457 Program)
- 7.04 Domestic Partners
- 7.05 Educational Opportunities for Employees and Their Families
- 7.08 Employee Health Center
- 7.09 Flexible Spending Account
- 7.10 Holidays (New Mexico State University Official)
- 7.11 Identification Cards
- 7.15 Group Medical Insurance
  - 7.15.05 Group Medical Insurance
  - 7.15.10 Group Dental Plan
  - 7.15.20 Group Term Life Insurance
  - 7.15.25 Group Long-Term Disability Insurance
  - 7.15.30 Supplemental Life/Voluntary Life Insurance
  - 7.15.35 Voluntary Accidental Death and Dismemberment Insurance
  - 7.15.40 Vision Insurance
- 7.20 Leaves
  - 7.20.05 Leaves - Absence for Purpose of Course Registration
  - 7.20.10 Leaves - Absence for Purpose of On-Campus Interview
  - 7.20.15 Leaves - Absence for Purpose of Voting
  - 7.20.20 Leaves - Absence, Unauthorized (Staff)
  - 7.20.25 Leaves - Annual
  - 7.20.30 Leaves - Compassionate
  - 7.20.32 Leaves - Domestic Abuse
  - 7.20.35 Leaves - Educational (With and Without Pay)
  - 7.20.40 Leaves - Employees Funded from External Sources
  - 7.20.45 Leaves - Family and Medical
  - 7.20.50 Leaves - Jury and Witness
  - 7.20.55 Leaves - Military (Regular Employees)
  - 7.20.60 Leaves - Professional (Without Pay)
  - 7.20.65 Leaves - Records
  - 7.20.70 Leaves - Sabbatical
  - 7.20.75 Leaves - Sick
  - 7.20.80 Leaves - Sick Leave Bank
  - 7.20.85 Leaves - Without Pay
- 7.23 New Employee Orientation
- 7.24 Pre-Tax Premium Plan
- 7.25 Recreational Facilities
- 7.26 Retirement, Educational
- 7.27 Re-Employment of Retirees
- 7.30 Social Security (FICA)

- 7.34 Tax Sheltered Annuities
- 7.35 Tickets (Athletic) for Faculty/Staff
- 7.40 Unemployment Compensation
- 7.41 United Fund Contribution
- 7.42 United States Savings Bonds
- 7.45 Workers' Compensation Benefits and Other Assistance

## CHAPTER 7- HUMAN RESOURCES-EMPLOYEE BENEFITS

### 7.03 **Deferred Compensation (457 Program)** *[Amendment ratified by Board of Regents 10.22.07][Amendment adopted by Administrative Council 02.09.10; ratified by Board of Regents 07.20.10][Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

- A. **Eligibility to Participate:** This policy authorizes eligible employees to elect participation in the university's voluntary deferred compensation program. All employees are eligible to exclude a portion of their salary, within IRS prescribed limits, from their current taxable income and invest those contributions in a university approved deferred compensation plan.
- B. **Payroll Deduction:** Method of Contribution: Contributions are made via payroll deduction.
- C. **Supplemental to ERB:** The employee's contribution to an approved deferred compensation program may be in addition to the New Mexico Educational Retirement Account, the New Mexico Alternative Retirement Program and Tax Sheltered Annuity (403b) contributions.
- D. **Selection of Program:** Employees may choose from a list of approved companies that offer 457 programs for the university.
- E. **Cessation of Coverage:** The employee's deferred compensation contributions cease when an employee terminates employment, retires, completes a Salary Reduction Agreement to cancel participation to the program or when contributions have exceeded annual maximums permitted by the IRS. The university will set all 457 contribution amounts with a maximum allowed by the IRS, unless otherwise instructed by the employee on the salary reduction form.

### 7.04 **Domestic Partners** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] [Amendment recommended by Administrative Council 03.11.14, approved by the Board of Regents 04.03.14]*

- A. **Purpose:** To ensure equal employment and educational opportunities to all employees at New Mexico State University; to provide HR benefits to qualified domestic partners.
- B. **Scope:** This policy applies throughout the NMSU system.
- C. **Policy Administrator:** The Office of Human Resource Services administers this policy.
- D. **Definitions:**
  - 1. **Qualified Domestic Partner:** A qualified domestic partner is each member of qualified domestic partnership, defined as two individuals who live together in an exclusive relationship of indefinite duration, who have satisfied the requirements reflected in the "Affidavit of Domestic Partnership", available on the NMSU Benefit Services website.
- E. **Policy Statements:**
  - 1. All qualified domestic partners, and their eligible dependents, shall be provided the same services and benefits as those provided to legally recognized spouses and their dependents, unless expressly prohibited by law. Eligible dependents for benefit purposes are defined on the NMSU Benefit Services website based on benefit type.
  - 2. All benefit policies that affect employees, legally recognized spouses and their families shall also apply to employees, domestic partners and their families, such as insurances and tuition benefits.

3. The value of tuition and insurance benefits provided to the domestic partner is considered taxable income to the employee by the Internal Revenue Service and is subject to social security, federal, and state income tax withholding.
- F. Related Procedures and Forms: In accordance with Policy 1.10 E. 4, the policy administrator may issue supplemental procedural guidelines and/or forms. Such procedures shall not conflict with the policy, and are intended to facilitate the implementation, application, and enforcement of this policy. Such procedures and forms shall be posted on the NMSU Benefits website.

**7.05 Educational Opportunities For Employees and Their Families** *[Amendment ratified by Board of Regents 10.22.07] [Amendment adopted by Administrative Council 07.08.08; ratified by Board of Regents 07.15.08][Amendments adopted by Administrative Council 11.10.09 and 02.09.10; ratified by Board of Regents 07.20.10][Amendment recommended by Administrative Council 04.12.11, approved by Board of Regents 05.06.11] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

New Mexico State University encourages all eligible employees to engage in life-long learning to enhance their careers by taking advantage of the program below:

- A. Tuition Remission: With appropriate administrative approval from the current employer/supervisor, regular employees and non-regular employees in a term appointment are entitled to take course(s) at the university's main and community colleges totaling no more than 6 credit hours (supported by regular I & G funding) each fall and 6 credit hours each spring semester without a charge of tuition or the fees included in the tuition rate. No more than a total of 8 credit hours may be taken at the university's main and community colleges during the summer session. This does not include challenged or nontraditional courses for which the university does not receive formula funding, nor any reciprocal agreements the university might have with other higher education institutions.
- a. The legal spouse or domestic partner of the eligible employee may also take the tuition-free courses. Credits not used by the employee may be used by the spouse/qualified domestic partner. The tuition free courses taken by the employee and spouse/domestic partner must not exceed 6 credit hours for the fall and spring semesters, and must not exceed 8 credit hours during the summer session. This benefit is not transferable to another university employee who is eligible for a free course.
  - b. Employees who take a course during working hours may be required to make up the time spent away from the work station (or take annual leave) unless enrollment is a requirement for continued employment.
  - c. All courses may be subject to social security federal and state tax withholdings.
  - d. Staff and spouses/domestic partners who enroll fulltime will be subject to the full-time tuition rate unless the free credit hours reduce their full-time hours below the full-time tuition rate.
  - e. Other fees not included in the tuition rate (*e.g.*, fees particular to a given course, late registration fees, graduation fees, thesis fees, etc.) are not included in the waiver. To see a complete list of other fees, please refer to the university college catalog.
- B. Registration: Registration follows the same procedures governing all students. Requests for Tuition Remission will be submitted electronically. Changes to class schedules require a new request to be submitted to ensure the class or classes are covered by the tuition benefit. This benefit does not apply to individuals holding graduate assistantships.
- C. Approvals and Resolution of Conflicts of Interest: When university faculty or exempt staff members enroll in a program to earn a graduate degree at this university, a potential for conflict of interest may arise as a result of the dual role as student and as a faculty or staff member. Persons in this status must demonstrate that the potential for conflict of interest will not compromise the quality of their program of study. Approval of cognizant department heads and deans will be required. Such programs are approved on a case-by-case basis by the dean of the Graduate School with the concurrence of the provost. When appropriate, the dean may confer with the Graduate Council about the potential for conflict of interest in such programs. The graduate dean may



require a specific representative on such a graduate committee, possibly including off-campus representatives, as a condition for approving programs.

- D. Retiree Benefits: Retirees of NMSU are eligible for tuition remission benefits. A Retiree Tuition Remission form must be completed and submitted to the Office of Human Resource Services department each semester or summer session the retiree chooses to participate in this benefit. Changes to class schedules require a new form to be completed and submitted to ensure the class or classes are covered by the tuition benefit. Retiree spouses/qualified domestic partners are eligible to take one class if the retiree does not take any classes in the session/semester. Surviving spouses of retirees are not eligible for this benefit. See Policy [7.26 Retirement, Educational](#) for further details.
- E. Dependent Children Reduced Tuition Program:
- a. The program provides a 50% discount on tuition and the fees included in the tuition rate for eligible full-time and part-time students. Other fees not included in the tuition rate (*e.g.*, fees particular to a given course, late registration fees, graduation fees, thesis fees, etc.) are not included in the discount. To see a complete list of other fees, please refer to the university college catalog.
  - b. Biological children, adopted children, and legally dependent stepchildren, under age 25 and unmarried, of regular employees, non-regular employees in a term appointment and of official university retirees, are eligible to participate in this program.
    - i. The student's status and the employee's employment status on the university census date (third Friday of the semester or last day to add or register for summer session courses) will determine participation eligibility.
    - ii. If the employee's status changes before the census date, the student will no longer be eligible and the charges will be recalculated.
    - iii. If the student reaches his/her 25th birthday before the census date, the student will no longer be eligible and the charges will be recalculated.
  - c. Dependents assessed the New Mexico tuition rates will receive a 50% reduction in tuition with this benefit. Dependents assessed non-resident tuition rates will receive a benefit equivalent to 50% off the New Mexico tuition rates.
  - d. Students must be enrolled in undergraduate courses (eligible for undergraduate tuition) on the main campus or any one of the community colleges.
  - e. A student enrolled in more than 18 credit hours will be charged the normal overload rate for any credits over 18.
  - f. Courses eligible for a grade will be included in this program; audited courses and challenged credits will be excluded.
  - g. The Office of Financial Aid will be informed of a student's participation in this program. A reduction of the student's financial aid package may result from the reduced tuition. Information on the possible effect of this program on the student's financial aid package should be obtained from the student's financial aid advisor.
  - h. All eligible dependents enrolled with New Mexico State University or its community colleges will automatically be granted the benefit upon request, except those receiving the Lottery Scholarship or who otherwise do not meet the eligibility criteria.
- F. Recognition of Employees Earning Degrees: Half-time or greater regular staff employees and faculty with above-average job performance who earn degrees from an accredited institution of higher education during their employment will be rewarded in appropriate ways whenever possible. Guidelines for this program are:
- a. An employee will receive recognition only once for each type of degree awarded (*i.e.*, associate's, bachelor's, master's, and doctorate). An employee shall not receive an increase for earning a lower degree than already held. An employee may only receive an increase for earning the same level degree as already held if the degree is directly related to the position and no increase has been previously awarded.

- b. The salary increases will be effective on the first day of the month following award of the degree, or on the first day of the month in which a degree increment request is received by the Office of Human Resources Services, whichever is later.
- c. Degree increments will not be paid on a retroactive basis.
- d. Employees who have met the above criteria will be eligible for a salary increase of:
  - i. 5 percent of their current salary, not to exceed \$1,000, for an associate degree.
  - ii. 5 percent of their current salary, not to exceed \$1,200, for a bachelor's degree.
  - iii. 5 percent of their current salary, not to exceed \$1,400, for a master's degree.
  - iv. 5 percent of their current salary, not to exceed \$1,600, for a doctorate.
- e. This policy does not apply to faculty who were hired at salaries comparable to others in the department who already have doctorates.

## 7.08 Employee Health Center

Employees will not be charged leave for visits or appointments at Employee Health Center or for participation in the EAP (Employee Assistance Program). Employees will be required to charge sick leave when taking dependents to Employee Health Center. The EAP is a confidential counseling and referral service available to all university employees. Personal problems can affect an employee's sense of well-being and ability to perform on the job. The EAP offers professional help in preventing/resolving these problems. Employees may refer themselves or can be referred by supervisor to the program by calling (575) 646-6600.

## 7.09 Flexible Spending Account *[Amendment ratified by Board of Regents 10.22.07][Amendment adopted by Administrative Council 06.10.08; ratified by Board of Regents 07.15.08] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Description of Flexible Spending Account: Flexible Spending Accounts allow employees to set aside dollars from their paycheck on a pre-tax basis in order to be reimbursed for out-of-pocket health care and child care expenses for themselves and their eligible dependents as defined by IRS codes.
- B. Eligibility and Deadline to Enroll: All regular employees working at least a .50 FTE or greater and non-regular employees in a term appointment are eligible for this plan within the first 31 days following their hire date with the plan becoming effective the first day of the month following receipt of the enrollment form in the Office of Human Resources. If an employee does not return a completed and signed enrollment form to the Office of Human Resource Services department within their first 31 days of employment, they will not be eligible to participate in the plan until the next open enrollment period.
- C. Periodic Open Enrollment: Open enrollment occurs during the fall of each year with any changes or new enrollments becoming effective January 1<sup>st</sup>. During open enrollment eligible employees who are not currently enrolled in the plan may enroll and employees currently enrolled in the plan must complete paperwork to continue the plan.
- D. Changes to Plan: Employees may only make changes or new enrollments to their plan outside of the open enrollment period within 31 days after a change in status occurs. The proper forms must be executed with the Office of Human Resource Services department within the 31-day period. Examples of a change in status include but are not limited to:
  - 1. Marriage
  - 2. Divorce
  - 3. Legal Separation
  - 4. Childbirth
  - 5. Adoption of child
  - 6. Death
  - 7. Loss of prior coverage
  - 8. Loss of dependent status

- E. Account Balance After Change to Plan: If a change in status occurs and an employee elects to reduce or cancel coverage, the employee may not reduce or cancel coverage to a point where the total plan year account balance is less than the amount of funds already reimbursed for the employee. An employee's account balance after a change has been made during a plan year will be calculated by adding any balance (including a negative balance) remaining in the employee's account immediately preceding the change, to the newly elected plan year election amount for the remainder of the plan year in which the change in status took place.
- F. Cancellation of Plan/Refunds: If coverage is cancelled, no refund of contributions will be made and no claims incurred after the last day of the month in which the change in status occurred will be eligible for reimbursement.
- G. Contributions During LWOP Status: While on leave without pay, employees are responsible for continuing to make contributions to the plan. If contributions are not made, the plan can be cancelled for the remainder of the plan year. The employee will only be eligible to rejoin the plan during the next open enrollment period held in the fall of each year with the plan becoming effective January 1<sup>st</sup>.
- H. Issues Upon Separation From Employment: If an employee separates employment from the university, coverage will continue until the last day of the month in which they were employed and claims incurred during that time may be submitted for payment no later than 90 days following the plan year. Employees are allowed to continue the coverage following separation through COBRA.

**7.10 Holidays (New Mexico State University Official)** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] (See also Policy 8.20 Compensatory Time, Overtime, and Holiday Pay)*

- A. Eligibility for Holiday Pay, Generally: Regular employees and non-regular term employees both full-time and part-time on a prorated basis are eligible for holiday pay. Certain situations and/or employee status may disqualify an employee from receiving holiday pay (*See* subsections D-G below).
- B. Official Holidays: The university recognizes the following holidays:
 

Martin Luther King, Jr. Day	Labor Day
Spring Holiday (1 day)	Thanksgiving Day
Independence Day	Friday following Thanksgiving Day
Memorial Day	Christmas Eve Day through New Year's Day
- C. Observance of Holiday: When a holiday falls on a Saturday, the preceding Friday is observed; when a holiday falls on a Sunday, the following Monday is observed. If the beginning of the Winter Break (Christmas Eve Day) falls on a weekend, the preceding Friday is observed and if the end of the Winter Break (New Year's Day) falls on a weekend, the following Monday is observed.
- D. Holiday Preceded or Followed by Unexcused Absence from Work: Any eligible employee shall forfeit payment for any holiday if the employee has an unexcused absence on the last regular work day preceding such holiday or on the first regular work day following such holiday.
- E. Employees on Leave Without Pay Status: Employees on leave without pay are not entitled to holiday pay. An employee returning from leave without pay must be on the job at least one day for each day of the holiday period immediately before and after the holiday.
- F. Issues Upon Separation from Employment:
  1. To be eligible for holiday pay, any employee who voluntarily terminates with less than 5 years of regular service on or after a holiday must have worked one day (immediately following the holiday or holiday period) for each day of the holiday period. Leave will be considered as time worked only for those employees continuing permanent employment with

the university.

2. Employees with 5 or more consecutive years of regular service may retire or terminate on December 31 and be eligible for all holiday pay in December.
3. If regular employees with 5 or more years of service retire or terminate after December 31 they must work and be physically present one day (immediately following the holiday period) for each day of holiday pay to be received. Leave will not be considered as time worked.

G. Issues Relating to Date of Initial Hire:

1. Any regular staff, 12-month faculty or non regular term employee hired after the first Monday in December will be eligible for holiday pay on Christmas Day and New Year's Day only.
2. A staff employee's first day of work may not begin on a holiday.

**7.11 Identification Cards** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Permanent ID Cards: Regular and term employees are issued a permanent identification card.
- B. Temporary ID Cards: Non-regular temporary employees will be issued temporary identification cards. Other persons eligible for identification cards include campus ministers (and associated persons) and affiliated faculty/staff.
- C. Issuance Procedures: Employees may have their pictures taken at the ID Card Services in Corbett Center and receive their printed NMSU ID card with a valid picture ID.
- D. Proof of ID Card Required: The identification cards are required for admittance into the Activity Center, Natatorium, for ticket discounts, library privileges and to obtain a parking permit.

**7.15 Insurance** *(See Chapter 9 Facilities - Transportation Services for Mexico trip coverage and Chapter 1 Governance - Board of Regents) [Amendments ratified by Board of Regents 10.22.07][Amendments adopted by Administrative Council 06.10.08; ratified by Board of Regents 07.15.08]*

**7.15.05 Group Medical Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university offers group medical insurance for all eligible employees. Full-time and part-time (.50 FTE or more) regular employees and non-regular employees in a term appointment are eligible to participate in the group policy. Optional dependent coverage is available. Part-time (less than .50 FTE) employees, temporary employees, graduate assistants, other student employees, and Cooperative Extension Service employees with federal appointments are not eligible to participate in the group policy. Note: Nine -month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.
- B. Effective Date of Coverage: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first pay period after 30 days of employment. Coverage may begin on the first or sixteenth day of the month. Employees must complete and return an enrollment form to the Office of Human Resource Services department within 31 calendar days of their regular date of employment to receive this benefit.
- C. Enrollment Procedures: Coverage is not automatic. Within the first 31 calendar days of employment, each eligible employee must either enroll in or waive coverage under the policy by completing an enrollment form. Details of coverage and provisions of the medical plan are available in the plan Benefit Summary.

- D. Premium Payments: Premium payments are made by payroll deduction. The university pays a percentage of the premium for the employee and, if the employee's dependents are enrolled in the plan, a percentage of their dependent premium also. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (July-June) will be deducted over 18 paychecks (August - May) for 9month faculty/staff.
- E. Coverage Changes: An employee is responsible for requesting changes to insurance coverage by completing and submitting appropriate forms in order to adjust premiums. When an employee experiences a change in status, the employee has 31 calendar days from the date of the status change to contact the Office of Human Resource Services to make coverage changes.
1. A change in status includes, but is not limited to:
    - a. Marriage
    - b. Divorce
    - c. Childbirth or adoption
    - d. Loss of prior coverage or gain of new coverage
    - e. Dependent no longer meeting insurance eligibility rules due to age
  2. All status changes which result in an insurance coverage and/or premium change will be effective the day following the date of the change in status, except in the following cases:
    - a. For a newborn or placement of child(ren) through adoption - the coverage becomes effective the date of birth or date of placement
    - b. For divorce or legal separation - the change is effective the day the legal documents are filed with the appropriate court
    - c. For dependent children who lose eligibility due to age - the change is effective the day before their 26<sup>th</sup> birthday.
  3. All changes that affect premiums will result in a full premium being deducted for the pay period in which the change takes place.
- F. Coverage During Disability: If any employee is terminated because of total disability, coverage may be continued in certain circumstances. Refer to the COBRA section of the medical plan Benefit Booklet for details.
- G. Coverage After Retirement: An employee who officially retires from the university and receives a monthly benefit from the Educational Retirement Board immediately upon termination of employment (those eligible under the Alternative Retirement Plan must meet eligibility rules and immediately begin receiving a benefit) may elect to continue medical insurance after retirement, providing the employee had been covered under the plan for the prior 10 consecutive years and worked in a regular employment status. Time while enrolled as an employee or as a spouse of an active employee will be counted toward the 10 years, provided there is no gap in coverage during the 10 year period. Coverage as the spouse of a retiree will not be credited toward the 10 years. The university continues to pay a percentage of the premium. When a retiree or dependent becomes age 65 and/or eligible for Medicare, all medical coverage will be moved to the Medicare Carve-Out Plan, which includes a Medicare Part D prescription plan. If the retiree or dependent enrolls in a Medicare Part D prescription plan outside the university retiree plan, they will no longer be eligible to access prescription or medical coverage through the retiree medical plan. Details regarding coverage, eligibility and restrictions are available through the Office of Human Resources. The university reserves the right to unilaterally increase, decrease or discontinue coverages, plan provisions, and premiums.
- The university reserves the right to unilaterally increase, decrease or discontinue coverage, plan provisions, and premiums.
- H. Dependent Coverage after Retirement: Spouses and dependent children of eligible retirees covered at the time of retirement may continue coverage after retirement. New spouses of retirees acquired after retirement may be added to the plan under certain circumstances. In order to add a new spouse, an enrollment form must be completed. The new spouse may not be added until 1 year

after the date of marriage; The retiree must still be living and have medical insurance coverage at the end of the 1 year waiting period and must enroll the new spouse within 31 days of the 1 year marriage anniversary. New spouse coverage begins the first day of the month following the 1 year waiting period, provide the appropriate forms have been completed and received by Benefit Services. There will be no university contributions to the new premium, and the retiree will be responsible for paying 100 percent of the premium for the new spouse's coverage. The new spouse will be eligible for surviving spouse benefits. New dependent children acquired after retirement may not be added to the plan, unless the child is a newborn or a newly adopted child. A retiree who rescinds retirement, returns to full-time employment, and later retires, may only continue coverage for dependent children who have been covered as a dependent for at least 10 years. Time covered under the retiree as an active employee will count toward the 10 years. If coverage is discontinued by the retiree for self or any covered dependent (including spouse), retiree and/or dependent may never re-enroll. Surviving spouse of a deceased retiree may continue coverage until re-marriage if he/she pays 100 percent of the premium. Surviving dependent children of a deceased retiree may continue coverage until they no longer meet the rule of a dependent child under the medical plan by paying 100 percent of the premium. If coverage is terminated or dependents are removed from the plan for any reason, enrollment in the plan at a later date is prohibited.

- I. Coverage During Leave Without Pay (LWOP): During periods of leave without pay, medical insurance may be continued at the option of the employee. Continued coverage will not exceed the length of time agreed upon by the individual vendor agreements. Arrangements for timely payment of premiums will be made with the Office of Human Resource Services and the Office of University Accounts Receivable. If the employee is on LWOP for a full pay period the employee is responsible for both the university's and employee's portions of premium (except FMLA LWOP, Professional LWOP and Educational LWOP). Failure to make full payment of premiums may result in cancellation of coverage. If coverage is not continued or cancelled during any leave without pay period, the employee will be required to re-apply for coverage through the open enrollment process or with a qualifying event. (If approved for FMLA, the employee may be reinstated immediately upon return to work, provided the employee requests coverage from the Office of Human Resource Services within 31 days from the date of return.).
- J. Coverage After Termination (12-Month Faculty and Staff): Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid. The policy contains continuance in compliance with state and federal law. Complete information on these procedures is available in the Office of Human Resource Services.
- K. Coverage After Termination (9-, Month Faculty and Staff): When employees or faculty members do not return the next academic year, only dental and medical coverage will remain in effect until June 30<sup>th</sup>. All other insurances stop at the end of the pay period in which their regular employment ends. *See* the health insurance carrier's Benefit Booklet for details.
- L. Certificate of Group Medical Plan Coverage: The Certificate of Group Health Plan Coverage may be obtained from the employee's previous medical insurance carrier. Upon losing coverage with the university plan, this certificate will be issued from the medical plan carrier. Creditable coverage is defined as length of coverage under an individual or group health insurance policy.
- M. Medical Plan Provisions: Details on the medical plan provisions are contained in the medical insurance carrier's Benefit Booklet.

#### **7.15.10 Group Dental Plan** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university offers group dental insurance for all eligible employees. All regular full-time and part-time (.50 FTE or more) employees and non-regular employees in a term appointment are eligible to participate in the group policy. Part-time (less than .50 FTE) employees, temporary employees, graduate assistants, other student employees, and contract-for-

service employees are not eligible to participate in the group policy. Note: Nine -month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.

- B. Effective Date of Coverage: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first pay period after 30 days of employment. Coverage may begin on the first or sixteenth day of the month. The employee must complete and return an enrollment form to the Office of Human Resource Services department within 31 calendar days of their regular date of employment to receive this benefit.
- C. Enrollment Procedures: Coverage is not automatic. Within the first 31 calendar days of employment, each eligible employee must either enroll in or waive coverage under the policy by completing an enrollment form. Details of coverage and provisions of the dental plan are available in the plan Benefit Summary.
- D. Premium Payments: Premium payments are made by payroll deduction. The university pays a percentage of the premium for the employee and, if the employee's dependents are enrolled in the plan, a percentage of the dependent premium also. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (July-June) will be deducted over 18 paychecks (August - May) for 9month faculty/staff.
- E. Coverage Changes: An employee is responsible for requesting changes to insurance coverages by completing and submitting appropriate forms in order to adjust premiums. When an employee experiences a change in status the employee has 31 calendar days from the date of the status change to contact the Office of Human Resource Services to make coverage changes.
  - 1. A change in status includes, but is not limited to:
    - a. Marriage
    - b. Divorce
    - c. Childbirth or adoption
    - d. Loss of prior coverage or gain of new coverage
    - e. Dependent no longer meeting insurance eligibility rules due to age
  - 2. All status changes which result in an insurance coverage and/or premium change will be effective the day following the date of the change in status, except in the following cases:
    - a. For a newborn or placement of child(ren) through adoption – the coverage becomes effective the date of birth or date of placement
    - b. For divorce or legal separation - the change is effective the day the legal documents are filed with the appropriate court
    - c. For dependent children who lose eligibility due to age - the change is effective the day before their 26<sup>th</sup> birthday.
  - 3. All changes that affect premiums will result in a full premium being deducted for the pay period in which the change takes place.
- F. Coverage After Retirement or Termination (12-Month Faculty and Staff): Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid. The policy contains continuance provisions. Complete information on these procedures is available in the Office of Human Resource Services.
- G. Coverage After Retirement or Termination (9Month Faculty and Staff): When an employee or faculty member does not return the next academic year, only dental and medical coverage will remain in effect until June 30<sup>th</sup> (all other insurances stop at the end of the pay period in which their employment ends). The policy contains continuance in compliance with state and federal law.

- H. Coverage During Leave Without Pay (LWOP): During periods of LWOP, dental insurance may be continued at the option of the employee. Continued coverage will not exceed the length of time agreed upon by the individual vendor agreements. Arrangements for payment of premiums will be made with the Office of Human Resource Services and the Office of University Accounts Receivable. If the employee is on LWOP for a full pay period, the employee is responsible for both the university's and employee's portions of premium (except FMLA LWOP, Professional LWOP and Educational LWOP). Failure to make full payment of premiums may result in cancellation of coverage. If the coverage is not continued or cancelled during the leave without pay period, the employee may re-enroll during the next scheduled open enrollment period.

**7.15.20 Group Term Life Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university provides group life insurance for all eligible employees. All regular full-time and part-time (.50 FTE or more) and non-regular term appointment employees are eligible to participate in the group policy. Part-time (less than .50 FTE) employees, temporary employees, graduate assistants, and other student employees are not eligible to participate. Note: Nine-month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.
- B. Enrollment Procedures: At the time of employment, each new eligible employee must either enroll in or waive coverage under the policy by completing an enrollment form. Employees must enroll in or waive coverage within the first 31 calendar days of employment. If an employee does not complete an enrollment or waiver form within 31 calendar days of eligible employment, the employee will automatically waive their right to life insurance and will be subject to approval by the life insurance carrier for coverage to begin.
- C. Effective Date of Coverage: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first pay period after 30 days of employment. Coverage may begin on the first or sixteenth day of the month. Employees must complete and return an enrollment form to the Office of Human Resource Services within 31 calendar days of their regular date of employment to receive this benefit without late enrollment provisions.
- D. Premium Payments: Premium payments are made by payroll deduction, and the university pays a percentage of the premium. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (June-July) will be deducted over 18 paychecks (August-May) for 9 month faculty/staff.
- E. Change of Beneficiary: Employees are asked to keep the Office of Human Resource Services notified of any name change or beneficiary change.
- F. Coverage During Disability: If an employee is totally disabled, the employee may request a waiver of premium from the insurance company. If granted, the insurance will remain in force without payment of premium for the length of the disability or until age 70, whichever comes first.
- G. Coverage After Retirement: When an employee officially retires from the university with at least 10 years of consecutive regular service the employee may elect to continue and pay for coverage under this policy up to a scheduled maximum; however, double indemnity provisions for accidental death and dismemberment are canceled for all insurance carried into retirement. If coverage is terminated for any reason, enrollment at a later date is prohibited.
- H. Coverage During Leave Without Pay (LWOP): During periods of LWOP, life insurance may be continued at the option of the employee. Continued coverage will not exceed the length of time agreed upon by the individual vendor agreements. Arrangements for payment of the premiums will be made with the Office of Human Resource Services and the Office of University Accounts Receivable. If premiums are not paid coverage will end as of the last date premiums were paid. If coverage is not continued or is canceled during leave without pay, the employee will be required to re-apply for coverage as a late enrollee upon return to work. Reinstatement of coverage is not automatic and is subject to approval from the carrier. If the employee is on LWOP for a full pay



period the employee is responsible for both the university's and employee's portion of premiums (except FMLA, Professional LWOP and Educational LWOP).

- I. Coverage After Termination: There is a conversion privilege which allows a terminated employee to convert the group policy to an individual policy without medical examination. Application must be made to the insurance carrier within the 31 calendar days following termination of employment. Retired employees may also exercise the conversion privilege on the remaining portion of the coverage not carried into retirement. Forms are available in the Office of Human Resource Services. Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid.
- J. Death Claims: When an employee dies, the Office of Human Resource Services will be available to meet with the beneficiary to explain the policy and process claim requests.
- K. Discontinuing Coverage: An employee who discontinues coverage and then wishes to re-enroll in the future will be required to submit evidence of insurability (a medical examination at the employee's expense may also be requested). Reinstatement of coverage is not automatic it is subject to approval or disapproval by the university's insurance carrier.

### **7.15.25 Group Long-Term Disability Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university provides group long term disability insurance for all eligible employees. All regular full-time and part-time (.5 FTE or more) employees and non-regular employees in a term appointment are eligible to participate in the group policy. Temporary employees, graduate assistants, and other student employees are not eligible to participate. Note: Nine month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.
- B. Effective Date of Coverage: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first pay period after 30 days of employment. Coverage may begin on the first or sixteenth day of the month. Employees must complete and return an enrollment form to the Office of Human Resource Services department within 31 calendar days of their regular date of employment to receive this benefit without late enrollment provisions.
- C. Enrollment Procedures: At the time of eligible employment new employees will be required to complete an enrollment form to either enroll in or waive coverage within the first 31 days of employment. If an employee does not complete an enrollment or waiver form within 31 days of eligible employment, then the employee will automatically waive his/her right to long-term disability coverage and will be subject to approval by the long-term disability carrier for coverage to begin.
- D. Premium Payments: Premium payments are made by payroll deduction, and the university pays a percent of the premium. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (July-June) will be deducted over 18 paychecks (August-May) for 9 month faculty/staff.
- E. Application for Benefits: When an employee is disabled, it is the employee's responsibility to notify the Office of Human Resource Services. The Application for Disability and a Physician's Statement of Disability must be completed and returned directly to the insurance carrier for processing to request benefits to be paid under this program, along with the Employer Statement. The Employer Statement can be requested from the Office of Human Resource Services. The long term disability carrier will not process incomplete applications.
- F. Pending Approval for Claims: The employee can request to be placed on paid leave if sick leave or annual leave are available or request to be placed on leave without pay while the carrier processes the application. If the application is denied, then employment may be terminated if the

employee is unable to return to work.

- G. Employees on Long-term Disability: Employees who qualify and receive a long-term disability benefits will:
1. Use all remaining sick and annual leave to offset long-term disability benefits. Total compensation, to include annual/sick leave and long-term disability benefits, may not exceed the employee's regular rate of pay unless a minimum disability benefit is being paid by the carrier.
  2. If still employed at the time of approval for disability payments, be placed on extended leave without pay for up to one year from the date the disability benefits are effective. If the employee is able to return to work within one year from the date disability benefits are effective, when possible, the university will assist the employee in finding an appropriate position for which they are qualified during the first 90 days after becoming eligible for employment. If an appropriate position is not available or the employee refuses the offered position, the employee may be terminated.
  3. Be required to submit a copy of their certificate of continued disability to the insurance company as required by the policy.
  4. Retire or terminate at the end of one year, and in order to retain other applicable insurance benefits during that year, the employee must pay premiums like any other employee on LWOP.
  5. If the employee qualifies and decides to retire, the employee may continue medical insurance the same as any other retiree, provided the medical benefits remained in effect during the leave of absence.
- H. Coverage After Retirement or Termination: Coverage is not available after retirement or termination. Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid.
- I. Coverage During Leave Without Pay: During periods of leave without pay employees have limited access to continue long term disability coverage and should consult with the Office of Human Resources for details.
- J. Discontinuing Coverage: An employee who discontinues coverage and then wishes to re-enroll in the future will be required to submit evidence of insurability as specified by the carrier and may include a medical examination at the employee's expense. Reinstatement of coverage is not automatic and is subject to approval or disapproval by the university's insurance carrier.

### **7.15.30 Supplemental Life Insurance/Voluntary Life Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university provides an employee-paid voluntary life insurance plan. All regular full-time and part-time (.50 FTE or more) employees and non-regular employees in a term appointment, and their eligible dependents, are eligible to participate in this policy. Note: 9month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.
- B. Effective Date and Enrollment Procedures: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first pay period after 30 days of employment. Coverage may begin on the first or sixteenth day of the month. Employees must complete and return an enrollment form to the Office of Human Resource Services department within 31 calendar days of their date of employment to receive this benefit without late enrollment provisions. Enrollment in the Voluntary Accidental Death and Dismemberment Insurance plan is required to participate in this benefit.

If enrollment is within the first 31 calendar days of eligible employment, employees may receive guaranteed issue for coverage up to established limits. For coverage amounts over the guaranteed issue or enrollment forms received after 31 calendar days of eligible employment; evidence of insurability is required. The insurance carrier will determine if the employee, spouse and/or dependent child(ren) are approved for amounts of coverage requested.

- C. Premium Payments: Premium payments are made by payroll deduction. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (July-June) will be deducted over 18 paychecks (August-May) for 9 month faculty/staff. The policy contains a waiver of premium provision which allows for waiver of premium payments during a period of disability without reduction of insurance coverage.
- D. Coverage After Retirement or Termination: There is a conversion privilege which allows a retired/terminated employee to convert the group policy to an individual policy without medical examination. Application must be made to the insurance carrier within 31 calendar days following the date of retirement or termination of employment.  
Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid.

### **7.15.35 Voluntary Accidental Death and Dismemberment Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university provides an employee-paid accidental death and dismemberment plan. All regular employees and non-regular employees in a term appointment are eligible to participate in this policy. Part-time (less than .50 FTE) employees, temporary employees, graduate assistants, and other student employees are not eligible to participate. Note: 9 month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.
- B. Premium Payments: Premium payments are made by payroll deduction. Premium payments begin the pay period in which coverage begins. Note: A full fiscal year of premiums (July-June) will be deducted over 18 paychecks (August-May) for 9 month faculty/staff. The policy contains a waiver of premium provision which allows for waiver of premium payments during a period of disability.
- C. Effective Date and Enrollment Procedures: Eligible employees may enroll at any time as there is continuous enrollment under this plan; however, enrollment in the Voluntary Life Insurance is required to participate in this benefit. Coverage is effective the same date as the Voluntary Life Insurance plan.
- D. Cessation of Coverage: Coverage ceases at midnight on the 15<sup>th</sup> day of the month if employment terminates between the 1<sup>st</sup> and 15<sup>th</sup> day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16<sup>th</sup> and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid.

### **7.15.40 Vision Insurance** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Eligibility: The university provides vision insurance for all eligible employees. All regular employees and non-regular employees in a term appointment are eligible to participate in the group policy. Temporary employees, graduate assistants, and other student employees are not eligible to participate. Note: 9-month employees will receive full benefits except for unemployment compensation during the off employment period provided they return to employment the following academic year.

- B. Effective Date of Coverage and Enrollment Procedures: Coverage is optional and is available from the date of eligible employment. Coverage is effective the first of the month after 30 days of employment. Employees must complete and return an enrollment form to the Office of Human Resource Services within 31 calendar days of their date of employment to receive this benefit without late enrollment provisions.
- C. Premium Payments: Premium payments are made by payroll deduction, and the employee pays 100% of the premium. Premium payments begin the pay period in which coverage begins.
- D. Coverage Changes: An employee is responsible for requesting changes to vision coverage by completing and submitting appropriate forms in order to adjust premiums. When an employee experiences a change in status, the employee has 31 calendar days from the date of the status change to contact the Office of Human Resource Services to make coverage changes.
  - 1. A change in status includes, but is not limited to:
    - a. Marriage
    - b. Divorce
    - c. Childbirth or adoption
    - d. Loss of prior coverage or gain of new coverage
    - e. Dependent no longer meeting insurance eligibility rules due to age or marriage
  - 2. All status changes which result in an insurance coverage and/or premium change will be effective the first day of the month following the date of the change in status.
  - 3. All changes that affect premiums will result in a full premium being deducted for the pay period in which the change takes place.
- E. Coverage After Retirement or Termination: Coverage ceases at midnight on the 15th day of the month if employment terminates between the 1<sup>st</sup> and 15th day of the month, provided the applicable premium for the pay period has been paid. If an employee terminates employment between the 16th and last day of the month, coverage ceases at midnight on the last day of the month, provided the applicable premium for the pay period has been paid. The policy contains continuance in compliance with state and federal law.
- F. Coverage During Leave Without Pay: During periods of leave without pay vision may be continued at the option of the employee. Continued coverage cannot exceed the length of time agreed upon by the individual vendor agreements. Arrangement for payment of premiums will be made with the Office of Human Resource Services and the university Accounts Receivable Office. If premiums are not paid coverage will end as of the last date premiums were paid. If coverage is not continued or is canceled during leave without pay, the employee will be required to re-apply for coverage as a late enrollee upon return to work. Reinstatement of coverage is not automatic and is subject to approval from the carrier. If the employee is on LWOP for more a full pay period the employee is responsible for both the university's and employee's portion of premiums (except FMLA, Professional LWOP and Educational LWOP).
- G. Discontinuing Coverage: An employee who discontinues coverage and then wishes to re-enroll in the future will be required to follow late enrollment requirements.

## 7.20

**Leaves** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] (See Insurance Section in this Chapter for Coverages During Leaves)*

- A. Requests for leave will be considered by a supervisor with primary consideration given to the requirements of the job. Requests should be made in writing in advance whenever possible.
 

Regular staff, regular 12 month faculty and non-regular employees in a term appointment are eligible to accrue leave. Part-time (less than .50 FTE) employees, temporary employees, graduate assistants, and other student employees are not eligible to accrue leave.
- B. All leave may only be used or paid in accordance with an employee's official FTE.

1. Exempt employees are required to submit approved leave taken to their supervisor each month via Employee Self Service.
  2. Non-exempt employees are required to submit approved leave taken to their supervisors each pay period via Employee Self Service.
  3. All exempt and non-exempt employees who earn leave may view their leave balances via Employee Self Service (the official leave tracking program of the university).
  4. Exempt employees who ordinarily work more than 40 hours a week may be given flexibility in reporting leave of one-half day or less.
  5. Faculty leaves normally do not exceed 1 year and, if exception is granted, are not normally extended beyond the second year.
  6. Faculty periods of sabbatical, educational, and personal leave (with or without pay) normally do not count toward eligibility for tenure and/or promotion decisions. Professional and other types of leave periods may count toward such eligibility upon agreement among the faculty member, the department, and the administration.
  7. Twelve-month faculty accrue and report annual and sick leave as usual while on sabbatical or educational leave. Any leave at less than half pay does not accrue leave.
  8. Exempt employees may only accrue leave based upon their designated FTE regardless of the number of hours worked, and may not be placed on leave without pay for less than 8 hours in a work day (except when the Family Medical Leave Act applies).
  9. Nonexempt employees will accrue leave on an hourly basis not to exceed the maximum accrual rate for their designated FTE regardless of the number of hours worked, and may be placed on leave without pay for less than 8 hours in a work day.
- C. Employees will accrue leave while on annual, sick, jury duty or compassionate leave.
- D. Supervisors are responsible for establishing and maintaining the appropriate leave records.

#### **7.20.05 Leaves - Absence for Purpose of Course Registration**

Annual leave will not be charged against an employee who is registering for a tuition-free course as a part of the university's benefits program.

#### **7.20.10 Leaves - Absence for Purpose of On-Campus Interview**

Annual leave will not be charged against an employee who is requested to interview for another university position.

#### **7.20.15 Leaves - Absence for Purpose of Voting**

On Election Day, any registered voter may be absent from employment for 2 hours for the purpose of voting between the time of opening and the time of closing the polls. The appropriate supervisor may specify the hours during this period in which the voter may be absent. This does not apply to employees whose work day begins more than 2 hours subsequent to the time of opening the polls or ends more than 3 hours prior to the time of closing the polls. This policy applies to city, county, state, and national elections.

#### **7.20.20 Leaves - Absence, Unauthorized (Staff)**

A staff employee who is absent from work without proper authorization or notification for a period of 1 working day, or if less than 1 working day for more than one occurrence, may be terminated. Such action will be considered as just cause for termination and processed as an involuntary termination. If

subsequent investigation and information reveals extenuating circumstances, the employee may use annual leave, sick leave, or leave without pay for the days absent and may be subject to other disciplinary action.

**7.20.25 Leaves - Annual** *(See also Policy 5.45.10, Department Heads-Leaves) [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]* (Faculty members on 9-month contracts are not included in this policy.)

- A. Regular 12-month employees and non regular term employees shall accrue 22 working days (176 hours) of annual leave each year based on job FTE. (To be prorated for regular half-time or more employees and for non-faculty 9 month employees.)
- B. Leave will be earned from the first day of employment and may be used as it is earned.
- C. Hours worked over 40 hours per week do not accrue either annual or sick leave.
- D. Annual leave may be accumulated to a total of 416 work hours.
- E. Up to 240 hours accumulated annual leave may be carried forward each July 1 and may be paid upon termination of employment for regular employees only. Non regular term appointment employees will forfeit all unused accrued leave on September 30<sup>th</sup> and upon termination of term appointment.
- F. In the case of death, the maximum payment for unused leave shall be 416 work hours.
- G. The end of the fiscal year (June 30) is the date for determining accumulated leave to be carried to the succeeding fiscal year for regular employees. It is the responsibility of the employee/director/department head to ensure that the use of annual leave is programmed in advance and used so the employee will not lose any leave. However, an employee who has accumulated leave on June 30 in excess of 240 hours may take such excess leave prior to October 1 of the succeeding fiscal year.
- H. An employees pay can be docked for a voluntary day off if they do not have a leave balance to cover (*see 8.15 Compensation*).
- I. Annual leave for regular employees will be transferred with the employees from one department to another.
- J. Regular staff employees who convert from regular to temporary status may be paid for unused annual leave as stated above.
- K. Regular faculty employees who convert from 12-month status to academic 9-month status may be paid for unused annual leave not to exceed 240 hours, prorated for less than full-time FTE.
- L. Regular employees who are terminating may request terminal leave (with administrative approval) in lieu of lump sum payment and will not accrue leave during terminal leave unless they return to permanent work status.
- M. Employees who are retiring may accrue leave during terminal leave.

**7.20.30 Leaves - Compassionate** *[Amendment recommended by Administrative Council 08.24.10; approved by Board of Regents 09.17.10] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

In the event of the death of a member of the immediate family, an employee is allowed a leave with pay, not to be charged against sick or annual leave, of up to 3 regular working days in order to attend the funeral or to handle affairs immediately associated with the death. For purposes of this policy, "immediate family member" includes spouse, a domestic partner as defined in Policy [7.04 Domestic Partnerships](#), a child, parent or legal guardian, a sister or brother, a grandparent, or a grandchild. Such

familial relationships created by law are also included (i.e. mother/father in law; half or step siblings).

**7.20.32 Domestic Abuse Leave** *[New policy recommended by Administrative Council 08.24.10; approved by Board of Regents 09.17.10]*

In compliance with NMSA 1978, §§ 50-4A-1 *et seq*, the New Mexico Promoting Financial Independence for Victims of Domestic Abuse Act (“NMPFIVDAA”), the university offers domestic abuse leave for up to fourteen (14) days per calendar year.

- A. Definitions: The definitions provided or cross referenced within the NMPFIVDAA shall apply, including but not limited to:
1. “Domestic Abuse” is defined by state law, and means:
    - a. an incident of stalking or sexual assault whether committed by a household member or not;
    - b. any incident by a household member against another household member consisting of or resulting in physical harm, severe emotional distress, bodily injury or assault, a threat causing imminent fear of bodily injury by any household member, criminal trespass, criminal damage to property, repeatedly driving by a residence or work place, telephone harassment, harassment, harm or threatened harm to children as set forth above; and
    - c. Domestic abuse does not mean the use of force in self-defense or the defense of another.
  2. “Employee” means any person employed by NMSU.
  3. “Family member” means a minor child of the employee or a person for whom the employee is a legal guardian.
  4. “Order of Protection” means a court order granted pursuant to the Family Violence Protection Act.
  5. “Retaliation” means adverse action against an employee, including threats, reprisals or discrimination for engaging in the protected activity of taking domestic abuse leave.
- B. Authorized Leave/Impact on Other Benefits:
1. Domestic abuse leave for purposes of this policy is leave taken due to the domestic abuse of an employee or an employee’s family member, including but not limited to: obtaining or attempting to obtain an order of protection or other judicial relief from domestic abuse, meeting with law enforcement officials, consulting with attorneys or victim advocates, attending court or other administrative agency proceedings.
  2. Unless the employee opts to use accrued sick or annual leave, compensatory time or other available paid time off, the domestic abuse leave shall be leave without pay.
  3. The university shall not withhold pay, health insurance coverage or another benefit that has accrued to the employee when an employee takes domestic abuse leave.
  4. Time taken for domestic abuse leave will not be included in calculating eligibility for benefits.
- C. Notice: When an employee must take domestic abuse leave under emergent circumstances, the employee or the employee’s designee shall give notice to the supervisor or employer within 24 hours. Otherwise, employees shall provide as much notice as possible under the circumstances.
- D. Verification Documentation: Employees must provide the Office of Human Resource Services with verification of the leave in a timely fashion. The verification may be:
1. A copy of a police report indicating that the employee or family member was a victim of domestic abuse;

2. A copy of an order of protection or other court evidence produced in connection with an incident of domestic abuse; however, the provision of such documentation shall not constitute a waiver of confidentiality or privilege; or
  3. A written statement signed by the employee's attorney, district attorney, district attorneys' victim advocate, or prosecuting attorney stating that the employee or employee's family member is scheduled to appear in court in connection with an incident of domestic abuse.
- E. Confidentiality and Limited Disclosure:
1. The university shall not disclose verification documentation or information contained therein, and shall maintain confidentiality of the fact that an employee or employee's family member was involved in a domestic abuse incident, that the employee requested or took domestic abuse leave, and that the employee made any written or oral statement about the need for domestic abuse leave.
  2. The university may disclose such information only when the employee consents or when a court or administrative agency orders the disclosure, or when otherwise required by state or federal law.
- F. Retaliation Prohibited: The university shall not penalize or in any other way retaliate against an employee for requesting or taking domestic abuse leave.

### **7.20.35 Leaves - Educational (With and Without Pay)**

- A. Educational Leave With Pay: After 5 years of satisfactory service, leave with partial pay may be requested by any full-time faculty member on regular appointment with rank of instructor or above (including exempt staff with faculty rank in the Cooperative Extension Service), normally for the purpose of taking coursework toward a degree, professional licensure or certificate which is related to the individual's university job assignment. If granted, the recipient of such leave shall be required to sign a supplementary contract agreeing to return to the employing university unit and to serve for a minimum of 2 years. Failure to do so would require immediate full refund of all salary paid by the university during the leave. Normally, no individual may receive more than one such leave with pay. In the case of a non-tenured faculty member, time used for educational leave (with or without pay) will not apply toward the probationary period. The time granted for educational leave with pay will not normally exceed the time allowed for a sabbatical leave. The following options apply:
1. One semester at no reduction in annual salary.
  2. One full academic year at half salary. (Those within 5 years of retirement may wish to request full salary for 1 semester or a 6-month period and personal leave without pay for the other half.) Semester II (spring) of 1 year and Semester I (fall) of the following year, at 1/4 annual salary for each semester of leave.
- B. Educational Leave Without Pay: Any regular full-time exempt staff member or faculty member on regular appointment with rank of instructor or above is eligible for and may request an educational leave of absence without pay after 3 years of service, normally for the purpose of taking coursework toward a degree, professional licensure or certificate which is related to the individual's university job assignment. If the leave is approved, all annual leave should be used before the educational leave without pay begins. The individual's sick leave balance at the beginning of the leave remains on hold during the period of the leave. The university will contribute the employer's portion of insurance premiums during the leave period. A faculty member on educational leave without pay, on continuous or temporary contract, will be required to notify the department head in writing 90 days before the educational leave without pay terminates, or 30 days after notification of salary and position, whichever is later as to the date of return to academic service on the faculty. In the absence of such notification, the department head may immediately initiate proceedings for termination of the contract.



## 7.20.40 Leaves - Employees Funded from External Sources

The president is authorized to develop and implement alternative leave, holiday, compensation, and insurance programs for groups of employees whose salaries are funded from external sources.

## 7.20.45 Leaves - Family and Medical *[Amendments adopted by Administrative Council 06.10.08; ratified by Board of Regents 07.15.08] [Amendments adopted by Administrative Council 11.10.09; ratified by Board of Regents 07.20.10] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Purpose: This policy is written to comply with the Family and Medical Leave Act of 1993 (FMLA). The act's governing regulations covering definitions and details will apply to this policy.
- B. Use of Accrued Sick and Annual Leave During Approved FMLA Leave:
1. Employees approved to take leave for FMLA purposes must use accrued sick leave for conditions involving themselves and qualified dependents as defined in the sick leave policy (up to six weeks for parents or adult children with serious health condition as defined below who do not meet the definition of dependent in the sick leave policy).
  2. Annual leave for purpose of the FMLA may only be taken when available sick leave is exhausted and will be subject to approval or disapproval by the employee's supervisor.
  3. If annual leave is denied, leave without pay may be used for FMLA purposes.
  4. FMLA leave periods will run concurrently with any accrued paid leave taken.
- C. FMLA Eligibility: The following employees are eligible for leave under the FMLA: All employees who have been employed at the university at least 12 months (need not be consecutive) and who have worked at least 1,250 hours for the university during the 12-month period immediately preceding the commencement of the leave (including faculty, staff and temporary employees).
- D. FMLA Leave: Eligible employees may take up to 12 weeks in a 12-month period based on a rolling calendar measured backward from the date FMLA was last taken, for one or more of the causes listed below (a total of 12 weeks for most causes). Any type of leave taken for the conditions listed below will be considered as leave for FMLA purposes:
1. **Childbirth**: Leave must be taken within the first 12 months following birth. Combined FMLA leave time for birth mothers and fathers whom both work for the university cannot exceed 12 weeks within the 12-month period.
  2. **Adoption or Foster Care**: Leave must be taken consecutively within the first 12 months following placement. Combined FMLA leave time for mothers or fathers whom both work for the university cannot exceed 12 weeks within the 12-month period.
  3. **Care of spouse, child, or parent with a serious health condition**. Combined FMLA leave time for spouses whom both work for the university to care for a seriously ill parent cannot exceed 12 weeks within the 12-month period.
  4. **Employees own serious health condition preventing employee to perform the job**. A serious health condition is defined as: inpatient care in hospital, hospice or residential medical care facility; or continuing treatment by a health care provider for a serious health condition.
  5. **Care of a service member (Armed Forces, Reserves or National Guard) undergoing treatment for or recuperating from a serious health condition incurred or aggravated during covered active duty and covered veterans undergoing medical treatment, recuperation or therapy for a serious health condition incurred or aggravated any time during the five years preceding the date of treatment**. This leave is available to a spouse, child, parent, or designated next of kin

of a service member for up to 26 weeks in a single 12-month period. Combined FMLA leave time for spouses whom both work for the university to care for a service member cannot exceed 26 weeks within the 12-month period.

6. Any “qualifying exigency” arising out of the fact that a covered employee’s spouse, child or parent is on or has been called to covered active duty in the U.S. Armed Forces, Reserves or National Guard , not to exceed 12 weeks of leave in a 12-month period. Combined FMLA leave time for spouses whom both work for the university cannot exceed 12 weeks in a 12-month period.

E. Intermittent FMLA Leave: An intermittent schedule may be arranged for #3, #4, and #5 above only if medically necessary and justified. Intermittent schedules for #1 and #2 above are granted at the discretion of the employee’s supervisor. In all cases for leave taken for #1 and #2 above, all leave must be completed within the 12 months immediately following the date of birth/placement of the child. The employee may be required to provide medical certification for any of the above from the attending physician describing the medical condition on a specified form available from the Office of Human Resource Services. Additional documentation may be required to confirm eligibility under Military Caregiver or Qualifying Exigency provisions. In addition:

1. For #3 & #5: The certification will also include a statement that the employee is needed to care for the family member and the expected length of time needed.
2. For #4: The certification will also include a statement that the condition prevents the employee from working.
3. For #6: The certification must include sufficient written documentation confirming the service member’s covered active duty or call to covered active duty.

F. Other Considerations During FMLA Leave:

1. The employee will give the employee’s supervisor as much notice as possible of the upcoming leave.
2. Departments will notify the Office of Human Resource Services when an employee has taken more than 3 continuous days of sick leave, annual leave or leave without pay for medical circumstances for that individual or individual’s family member in order to coordinate FMLA benefits.
3. The university will continue to contribute the employer portion of the medical and dental insurance premiums during the family leave.
4. The employee must pay the employee's portion of health and dental premiums on a timely basis in order to continue coverage and both the employee and employer's share of other coverage’s as described in “Leave Without Pay.”
5. If an employee fails to return from FMLA leave, the employee will be required to repay the employer's share of any insurance premiums paid by the employer during leave without pay.
6. Holiday hours which occur during a full week of leave will count toward the 12-week FMLA period.

### **7.20.50 Leaves - Jury and Witness** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Jury Duty: In order for university employees to fulfill their civic responsibility as jurors, regular full-time and part-time employees and non-regular employees in a term appointment may be granted leave for this purpose.

1. Employees are not required to report for work after serving 8 hours of jury duty during the day. If service is less than 8 hours in a day, employees will return to work for the remainder of their 8-hour shift (or may request annual leave).
  2. Jury duty is that service and time spent away from a university job as a result of a subpoena or notice issued by the court and counts as time worked.
  3. Department heads are authorized to grant jury duty leave upon the presentation of a subpoena or notice issued by the appropriate court.
  4. The university will pay regular employees who serve such duty their normal salary for each regular work day of service, not to exceed 8 hours per day.
  5. Non-regular employees will not receive compensation; however, they may be reimbursed through or by the appropriate court.
  6. A copy of a written statement furnished the employee by the court indicating the number of days or hours served should be furnished to the supervisor. It is the responsibility of the employee to keep the supervisor informed of the anticipated time to be spent away from the job.
  7. Employees must use annual leave or leave without pay for jury duty/witness service in a jurisdiction other than that of their primary work locale, with the exception of employees residing in El Paso and working in Las Cruces.
  8. Regular employees may not receive any form of compensation from state courts other than mileage.
  9. All employees may receive compensation while serving on federal juries.
- B. Court Witness:
1. University employees, as do all citizens, have the right, and on occasion the obligation, to serve as witnesses in a court of law. As such, they are not representative of the university, but are private citizens. Their conduct in the case of court appearances as private citizens should, however, reflect well on the community of university scholars.
  2. Eligible employees shall be granted annual leave, or placed on leave without pay if ineligible for leave, for time spent testifying as a witness.
  3. The employee should provide the supervisor with a copy of the subpoena.
  4. University employees who are plaintiffs in any legal action against the university must use annual leave or leave without pay for all time spent in activities related to such action.
  5. University employees appearing on behalf of the university or as a representative of the university in any legal action, to include depositions or witness testimony, will not be required to use annual leave or leave without pay for such purposes unless the employee receives a witness fee.

### **7.20.55 Leaves - Military (Regular Employees)**

- A. Military Training Leave: In accordance with state law, NMSU provides paid training leave for its employees who are members of organized units of the Army or Air National Guard or Army, Air Force, Navy or Marine Reserves, in amount not to exceed 15 days annually when they are ordered to active duty training with such organized units. Such leave shall be in addition to other leave or vacation time with pay to which such employees are otherwise entitled. (*See* NMSA 1978, §20-4-7)
- B. Employment Status: Employees that are mobilized or volunteer for active duty status will be

placed on leave without pay until the date of discharge or release from active duty status at which time the employee will return to regular employment.

C. Military Leave of Absence: The following under the Uniformed Services Employment and Reemployment Rights Act (USERRA) conditions will apply:

1. The employee must hold a job other than temporary job. (The job need not be permanent.)
2. The employee must leave employment for the purpose of going on active duty.
3. The employee must not remain on active duty longer than 5 years, unless the period beyond 5 years is active duty during a war or declared national emergency or active duty in support of a critical mission. Service beyond 5 years required to complete initial period of obligation service from which a person by no fault of their own is unable to obtain release within the 5 year limit.
4. The employee must be discharged or released from active duty under honorable conditions.
5. The employee must apply for re-employment as follows:
  - a. If the period of military service was less than 31 days, the service member must report to the university not later than the beginning of the first full regularly scheduled work period on the first full calendar day following completion of the period of service plus 8 hours, after a period allowing for safe transportation from place of service to residence.
  - b. If the period of military service was more than 30 days but less than 181 days, the service-member must apply for re-employment not later than 14 days after military service is completed, or the next full calendar day when such application becomes possible. A copy of a DD214 must be submitted with the application for re-employment.
  - c. If the period of military service was greater than 180 days, the service-member must apply for re-employment not later than 90 days after service is completed. A copy of a DD214 must be submitted with the application for re-employment.
  - d. In all cases above, if the member through no fault of their own the employee cannot re-apply for employment within the time periods listed above, they must report back to work as soon as possible.
6. If a fitness for duty exam is required before a service member can return to work, regardless of the time the employee was on active duty, the service member must report to the university no later than first full regularly scheduled work period on the first full calendar day following completion of the period of service plus 8 hours, after a period allowing for safe transportation from of service to residence.
7. Discharge will not occur without cause for a period of time based on the period of military service: 6 months if the military service was 30-181 days; 1 year if the service was more than 180 days in length.
8. If a service member incurs or aggravates a disability while on active duty, the member has up to 2 years from the date the member is hospitalized or convalescing due to apply for re-employment. The time will be extended to accommodate a circumstance beyond the member's control that would make the reporting within the 2 year period impossible or unreasonable.

D. Other Considerations Relating to Military Leave:

1. Employees may, but are not required, to use annual leave during their active duty status.
2. Employees are not entitled to use military leave if they are mobilized or volunteer for active duty.
3. Military leave may only be used for training purposes.

4. Employees may continue insurances during the leave-without-pay period by paying 100 percent of the total premiums (both employee and employer shares). Any employee called to active duty who discontinues insurance coverages during the leave-without-pay period may be placed immediately back on the plans upon return to employment without providing evidence of insurability.
5. Injuries/illnesses sustained during the active duty period will not be covered by the university health plan. These conditions would be covered by the Veterans Administration.
6. An attorney general's opinion, rendered after the passage of this law, points out that it does not pertain to temporary employees.
7. Dates for such leave must have prior administrative approval within the department and retained with internal leave records.
8. Annually is defined as federal fiscal year.

#### **7.20.60 Leaves - Professional (Without Pay)**

- A. Eligibility: After 3 years of service and with the approval of appropriate department head and administrators, any regular full-time exempt staff member or any faculty member of regular appointment with rank of instructor or above may submit an application for professional leave without pay, normally not to exceed 1 year, for the purpose of undertaking some project that will directly benefit the university and the person's professional development. These benefits must be detailed in the application.
- B. Use of Accrued Annual Leave: If the leave without pay is approved, all annual leave should be used before the professional leave without pay begins.
- C. Non-Accrual of Leave During Period of Professional Leave Without Pay: Annual and sick leave do not accrue during professional leave without pay.
- D. Professional Leave Absence is Unpaid: All days, including legal holidays, in the period between the date the professional leave commences and the date the employee returns to work are taken without pay.
- E. Insurance Premiums Contribution by NMSU: The university will contribute the employer's portion of insurance premiums during the leave period.
- F. Performance Evaluation: In cases where the individual enters a contract with a state or federal agency, such agreements must provide for a calendar-year evaluation to be prepared by the appropriate supervisor in that agency and forwarded to the appropriate department head or supervisor.
- G. Effect on Tenure Process: Periods of professional leave without pay normally will not apply toward the probationary period for tenure. All conditions of professional leave without pay, including the status of the individual upon return to the university and (if appropriate) the effect of this period on tenure and promotion eligibility, must be in writing prior to the leave period.

#### **7.20.65 Leaves - Records**

Supervisors are responsible for tracking and approving annual leave, and sick leave usage for all persons reporting directly to them. The official leave tracking program of the university is Employee Self Service. The annual leave record will be forwarded with the Personnel Action Form when an employee terminates or is placed on leave without pay.

#### **7.20.70 Leaves – Sabbatical** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Purpose: The purpose of a sabbatical leave is to promote professional growth and increased

competence among faculty members by subsidizing significant study and research, creative work, or some other program which is judged to be of equivalent value and which cannot be accomplished during the fulfillment of normal academic duties and responsibilities. All departments and colleges including community colleges are encouraged to participate fully in the sabbatical program.

- B. Qualifications and Options: Application for sabbatical leave may be made by any tenured full-time faculty member (above the rank of instructor) with at least 12 regular semesters of full-time service at the university without a sabbatical. A faculty member who is in the last year of the probationary period may be considered for sabbatical leave if a favorable decision on tenure has already been made. Sabbatical leave may be taken in conjunction with earned annual leave, personal leave, or educational leave without pay. Personal leave and educational leave without pay must comply with university policies. In instances where, for good and sufficient institutional reasons, a sabbatical leave is delayed (not to exceed 2 years), the faculty member will become eligible for a succeeding sabbatical leave after an equivalently reduced period. A faculty member should be given as much notice as possible if a sabbatical leave cannot be approved for the time frame requested. Sabbatical leave is available under the following options:
1. One semester at no reduction in annual salary.
  2. One full contract year at 60 percent salary (Those within 5 years of retirement should consult the Employee Benefits Office about the possible negative impact on the retirement benefit formula.)
  3. Semester II (spring) of 1 year and Semester I (fall) of the following year, at 30 percent annual salary for each semester of leave.

When a person has served as both a 9-month and 12-month employee in the 6-year period immediately prior to the requested sabbatical, the amount of time allotted for the sabbatical will be prorated. A faculty member employed on a continuing basis on a 12-month contract may take a 6-month leave at full salary or a 12-month leave at 60 percent salary.

- C. Applications: Sabbatical leave will not be granted automatically upon the expiration of the necessary period of service. Rather, a qualified faculty member shall, normally at least 6 months in advance of the leave, submit an application and proposed leave program to the department head or chair, with evidence of research, creative activity, or other academic achievement, including publications, to support the program of work which is planned for the sabbatical period. Also, this program shall give reasonable promise of accomplishing the major purpose of the leave. Request for a sabbatical leave should be accompanied by a detailed explanation of the benefits to the faculty member, university, and the state resulting from the sabbatical leave. For main campus faculty, the approval of the cognizant dean, is required. For community colleges, the approval of the division dean, CAO and CEO are required. In addition to the work plan, the leave application should include: (1) a statement regarding choice of options; (2) departmental verification that during the applicant's absence, teaching, research, and service duties can be managed by the department; (3) a statement concerning compensation to be received during the leave. A faculty member on sabbatical leave at full pay usually will not take other paid employment during the leave; and (4) a clear statement of the benefit of the proposed leave to the university. A person on sabbatical at 60 percent time usually will not take more than 40 percent time employment. However, it is recognized that such employment may be necessary for or enhance the leave. In such cases, a request to take compensated employment should be included in the proposal submitted and must have administrative approval. The evaluation of an application should be based on whether the planned program satisfies the aims and goals explicitly set forth in the Purpose statement above. These aims and goals may be independent of geographical location of the leave activities and, therefore, the place of the faculty member's residence during leave should be only one factor in considering the merits of the application. However, to ensure that the sabbatical experience provides opportunities not otherwise available to the main campus faculty member, the sabbatical period will normally include a component of study/work away from the home institution.

- D. **Related Conditions:** Time toward each new sabbatical begins immediately after return to full-time service regardless of the semester of return. The sabbatical leave will not adversely affect salary increases or promotions. Institutional participation in faculty retirement and group insurance will be continued for staff on sabbatical leave with pay. A faculty member on sabbatical leave may request, through the department head, travel support for participation in professional meetings. Consideration will be given if the faculty member is an officer of the professional organization or is to participate in some other significant way. Educational or other leaves are excluded as time counted toward eligibility for sabbatical leave. Twelve-month faculty will accrue annual and sick leave (at 60 percent for those on 60 percent pay) and will report annual and sick leave as usual.
- E. **Departmental Implementation:** Long-range department plans should consider the necessity of, and provide for, temporary absences for sabbatical leave. The initial leave discussions and concomitant management of duties is primarily a matter for discussion and approval by the concerned department. However, in transmitting the final leave request to the dean and provost, the department head should provide assurance that all student needs will be served by the department during the faculty member's absence. In some departments, the absence of one faculty member might place an undue load on the other department members. After a department has taken every step possible to plan for sabbatical leaves, it should submit its proposal to the dean for consideration. The administration will attempt to accommodate these special cases.
- F. **Procedures:**
1. At least 6 months prior to the requested leave period (exceptions to be considered on a case-by-case basis), application for sabbatical leave is submitted to the department head on a Request for Leave Form and includes the supporting materials detailed in the Application section.
  2. Preliminary approval is obtained when signatures of the department head, cognizant dean, dean of the Graduate School are affixed to the Request for Leave Form. For community college faculty, preliminary approval is obtained when signatures of the department chair, division dean, CAO and CEO are affixed to the Request for Leave Form. A supplementary contract, stipulating that the faculty member is obligated and agrees to return to the university to serve a period of 1 year, and failure to do so would require immediate full refund of all salary paid by the university during the leave, is prepared and sent to the faculty member. Upon receipt of the signed supplementary contract, final approval of the leave is granted and the faculty member is notified.
- G. **Post Sabbatical Obligations:** Sabbatical leaves will be approved only with the clear understanding that at the completion of the sabbatical and/or supplemental leave, the faculty member will return to the university for a period of service of 1 year. Failure to do so will require immediate full refund of all salaries and benefits costs paid by the university during the sabbatical, and repayment for any annual leave accrued and used during the extended leave. Within the first semester upon return from the sabbatical, the main campus faculty member shall submit to the provost, through the department head and dean a full report of the research, creative work, publications, or other results of the period of leave. This final report should contain a brief summary of the proposal, including a review of the objectives, as well as a summary of what was accomplished. An explanation should be given in the event that some objective(s) were not met. This report will be incorporated in the faculty member's annual written report and may be used in the annual performance evaluation process. The dean will forward the report with both the dean's and department heads comments to the provost regarding the overall value of the sabbatical to the faculty member and to the university and indicating the extent to which the sabbatical plan was accomplished. Community College faculty will submit a similar report to the Campus President through their immediate supervisor.

**7.20.75 Leaves - Sick** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

A. **Twelve-Month Exempt and Nonexempt Employees:**

1. Regular full-time employees shall be granted 12 working days of sick leave a year. This is

prorated for half time or more employees.

2. Non-regular employees are not eligible for sick leave.
  3. Leave will be earned from the first day of employment and may be used as it is earned.
  4. Hours worked over 40 hours per week do not accrue either annual or sick leave.
  5. Employees may accrue and bank 100 working days (800 hours) of accumulated sick leave (prorated for less than full-time employees and for any partial months by annual 9-month employees). On July 1 every year, any employee who has accumulated more than 100 working days of sick leave will have the sick leave balance reduced to 100 days.
  6. A department may require supporting documentation for any usage of sick leave any time abuse of sick leave is suspected. Any grant of sick leave in excess of 3 consecutive working days should be supported by a medical certificate or other evidence administratively acceptable. Abuse of sick leave may be grounds for immediate dismissal.
  7. Annual leave will be applied (if available) against sick leave in excess of the allotted sick leave days, but sick leave will not be applied against annual leave in any case.
  8. Any employee who terminates, retires or converts from a 12-month pay base to an academic faculty pay base will be paid for earned sick leave over 600 hours (not to exceed 200 hours). The payment will be made at a rate of 50 percent of the employee's straight-time hourly salary multiplied by the number of sick leave hours accrued over 600 to a maximum of 200. The payment may not exceed 50 percent x hourly rate x 200. (According to Educational Retirement Board rules, this payment will not be included in the 5-year average salary used for the retirement benefits calculation.)
  9. Sick leave will be transferred from one department to another with the employee.
  10. Sick leave may be used when the employee's presence is reasonably required for the care of dependents during illness or recovery from injury. For this purpose, dependents are defined as spouse, children, or immediate family members any of whom normally reside in an employee's household and who are dependent upon the employee for support and maintenance. A physician's statement may be required to support the usage of sick leave for dependents. Sick leave may be granted to a full-time employee for the purpose of caring for a newly adopted well child under the age of 5 years. Exceptions may be considered for children ages 5 and older upon request to the human resource service director. The leave may be given upon request and approval commencing with formal adoption or receipt of placement papers. Leave time may not exceed 6 weeks. If both adoptive parents are employed by the university, combined leave time may not exceed 6 weeks. Birth fathers and mothers may use up to 6 weeks of sick leave within the first 12 weeks immediately following the birth of a child. Birth mothers may use more than 6 weeks of sick leave for time that is required to be off work due to complications arising from the birth of the child that is directly associated with the mother's health. Time used for care of a newborn child with a serious health condition will be administered under the sick leave policy associated with caring for a dependent.
  11. An employees pay can be docked for a voluntary day off if they do not have a leave balance to cover (*see 8.15 Compensation*).
- B. Nine, Month And Other Non-faculty Employees: Nine -month non-faculty staff regular employees may earn 9 days of sick leave a year (8.00 hours per month worked, prorated based on job FTE). Annual leave or sick leave for 9 month non-faculty regular employees may be used only during the regular employment period they are scheduled to work each fiscal year. Leave is prorated for less than full-time eligible employees.
- C. Nine-Month Faculty Employees: Each case of illness, when duties of a regular faculty member cannot be made up or covered by coworkers, will be considered administratively, but time off for illness cannot exceed the equivalent of 2 regular semesters with pay. Normally such cases would



be approved on the basis of length of service with 1 semester off equated in terms of 10 years of service.

### **7.20.80 Leaves - Sick Leave Bank**

- A. This program establishes a Sick Leave Bank to be used by participating university employees affected by a personal emergency, and who have insufficient leave to cover required work absences.
- B. A personal emergency is defined as an unusual and catastrophic medical or immediate family medical emergency that is likely to require an employee's absence from duty for a prolonged period of time and to result in a substantial loss of income because of the unavailability of paid leave.
- C. Only those items allowable under the university Sick Leave Policy are covered by the Sick Leave Bank; maternity leave in connection with an uncomplicated pregnancy is not a personal emergency.
- D. The bank allows employees to share the risk of severe circumstances by donating to a common pool of leave.
- E. Members of the pool are required to enroll in the long-term disability insurance long-term disability program as a protection against income loss while recovering from a severe medical condition. The long-term disability policy covers total disability after a waiting period of 135 consecutive calendar days or 100 work days.
- F. The maximum a recipient can receive from the Sick Leave Bank is 70 days per personal emergency with no more than one withdrawal from the bank per fiscal year or per personal emergency. No more than 70 days can be withdrawn for a particular medical condition.
- G. Employees would be wise to maintain a balance of at least 30 days of combined sick and annual leave to cover them during the first 30 days of personal emergency or total disability. The Sick Leave Bank does not provide for the first 30 days of the personal emergency; these are the responsibility of the employee and are covered by the employee's sick and annual leave or leave without pay.
- H. Program requirements and application procedures are maintained on the web pages for the Office of Human Resource Services.

### **7.20.85 Leaves - Without Pay** (*See [7.20.35 Leaves - Educational](#) and [7.20.60 Leaves - Professional](#) [Amendments ratified by Board of Regents 10.22.07] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*)

- A. Leave without Pay (LWOP) for a period up to 90 calendar days may be requested by an employee and either approved or disapproved by the director/department head. Refer to Section [7.20.45 Leaves – Family and Medical](#) – for leave without pay granted in accordance with the Family and Medical Leave Act.
- B. Requests for LWOP in excess of 90 days should be requested by the employee to the department head/director. If the department head/director recommends approval, the request is forwarded through the dean or vice president to the Office of Human Resource Services for consideration. Circumstances in individual cases will determine if such leave will be granted.
- C. An employee who is granted a leave of absence without pay must make arrangements through the Office of Human Resource Services to pay the full cost (employer and employee) of insurance premiums and make timely payments to university accounts receivable (*See [7.20.35 Educational](#) and [7.20.60 Professional](#) Leaves without pay for payment requirements*). Employees who do not make timely premium payments by the last day of the month are subject to having their coverage cancelled.

- D. Annual and sick leave do not accrue during LWOP.
- E. All days, including legal holidays, in the interim period between the date LWOP commences and the date the employee actually returns to work are taken without pay. For exempt employees, leave without pay will begin on the first eight hour day and end on the last eight hour day of the leave period. Any partial days, taken immediately before or after the official LWOP period, shall be deducted from leave accrued upon return.
- F. An appointing authority may involuntarily place an employee on leave without pay if approved by the Office of Human Resource Services and executive vice president and provost.
- G. LWOP (including LWOP due to educational leave) will not be granted to an individual who has annual leave unless specifically approved by the executive vice president and provost, except under the Family and Medical Leave Act.

**7.23 New Employee Orientation** *[Amendments ratified by Board of Regents 10.22.07] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. All benefit eligible employees are encouraged to either attend a New Employee Orientation group session or review the orientation information and handouts on the NMSU benefits web site within 31 days of employment.
- B. It is the employing department's responsibility to provide employees with benefits enrollment information within their first 31 days of eligible employment, and to notify employees of their option to either attend a New Employee Orientation group session or review the orientation information.
- C. The online information is available on the NMSU benefits web site.

Employees who do not enroll within established deadlines for the university insurance plans are subject to late enrollment provision, when applicable.

**7.24 Pre-Tax Premium Plan**

The Pre-Tax Premium Plan allows employees enrolled in the university's health and dental insurance programs to decrease their taxable income by the amount of the employee portion of premiums. This plan is subject to guidelines set forth by the United States Internal Revenue Service. Employees must either enroll in or waive coverage within their first 31 days of employment. If an employee does not complete a form to either enroll in or waive coverage, the employee will waive their right to enrollment in the plan and will not be allowed to enroll until the next open enrollment period held in the spring of each year. Employees may make changes to their coverage (including termination of the plan) during the open enrollment period held in the spring of each year with changes going into effect on July 1. Enrollment in this plan limits the employee's ability to add, change or delete coverage in the health and dental insurance programs. See the benefit booklet provided in the Employee Benefits Office for more information.

**7.25 Recreational Facilities**

The facilities of the Department of Human Performance, Dance and Recreation are open to all faculty/staff/students under the administration of the Intramural Office (Activity Center). (See the Intramural Office for more information)

**7.26 Retirement, Educational** *(See also Policy 5.55 Emeritus Status) [Amendment ratified by Board of Regents 10.22.07] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13][Amendment recommended by Administrative Council 08.13.13; approved by Board of Regents 08.19.13]*

- A. **Purpose:** To clarify retirement benefits offered and/or required of university employees by the New Mexico Educational Retirement Board (NM ERB).

- B. Scope: This policy applies throughout the NMSU System.
- C. Policy Administrator: The Office of Human Resource Services administers this policy, consistent with the New Mexico Retirement Act, and guidance from the NM ERB.
- D. Definitions: (*See Also* Policy 7.27, Section D.)
1. NM ERB” refers to the state of New Mexico’s Educational Retirement Board, the statutorily authorized administrator of the New Mexico Educational Retirement Act, NMSA 1978, 22-11-1 through 22-11-55, which governs the retirement rights of eligible employees.
- E. Policy Statement(s):
1. **Membership**: As a condition of employment, all eligible employees are required to participate in the Educational Retirement and Disability Plan for educational institutions in the state of New Mexico as administered by the New Mexico Educational Retirement Board (NM ERB). Certain employees may qualify to participate in an Alternative Retirement Plan (an optional defined-contribution plan). Eligible employees have a limited period of time from the date of hire to exercise this option. While the alternative retirement plan is distinct from the defined benefit plan (directly administered by the NM ERB), retirees under the alternative retirement plan are still considered NM ERB retirees. Details regarding this option are available by contacting the Office of Human Resource Services, or at the NM ERB Website. Employees who are not eligible to participate include the following:
    - a. NM ERB retirees who are re-employed under the NM ERB’s Return to Work Exception and earn (per fiscal year) LESS THAN the greater of (i) \$15,000, or (ii) an amount equal to 0.25 FTE (i.e. 25% of the full-time equivalency) of annual salary of the position in which the retiree works after retirement;
    - b. All employees, whether retired or not, who work .25 FTE or less per fiscal year and have not chosen to work under the NM ERB’s Return to Work Program;
    - c. All students enrolled in any public school, grades 1-12;
    - d. Student employees (including graduate assistants);
    - e. All personnel of the Cooperative Extension Service who are on federal appointment are required to participate in the Federal Civil Service Retirement Program. This group consists of county extension agents, extension home economists, and state office (supervisory) personnel who have the option of exempting themselves from membership in the New Mexico Educational Retirement Plan. This option must be determined by the employee within the first 6 months of employment by the university, after which time the employee may not exempt themselves, but may revoke the exemption;
    - f. Public Employee Retirement Act (PERA) retirees who have not rescinded their PERA retirement.
    - g. Employees deemed exempt prior to July 1, 1971; however, such employees may revoke their exemption at any future date by completing the necessary forms.
  2. **Contributions and Withdrawals**: Contributions are made according to the New Mexico Educational Retirement Act, and the NM ERB rules/regulations. Employees may withdraw their contributions upon termination of employment.
  3. **Request for Retirement and Options Elections**: Approximately 3 months prior to the desired retirement date, the employee should contact the Office of Human Resource Services to complete appropriate retirement application forms. The NM ERB will send the employee information regarding benefits to be received. The Office of Human Resource Services will provide information explaining the benefits available after retirement.
  4. **NMSU Retiree Benefit Eligibility**: An employee will be considered eligible for certain university retirement benefits if the following criteria are met: (The university reserves the right to unilaterally increase, decrease or discontinue all or any retiree benefits and/or charges associated with available benefits.):
    - a. An employee has at least 10 continuous years of service, in the status of regular employee at .5 FTE or more, without a break in service during the 10 years prior to the date of

- retirement, and receives NM ERB benefits immediately upon termination of employment;
  - b. An employee is eligible for retirement under NM ERB rules/regulations at the time of termination of employment at the university.
  - c. An employee of the Cooperative Extension Service must be eligible for and receive federal retirement.
5. **Benefits Offered by NMSU to NMSU Retirees:** The following is a list of the university-provided, nontransferable benefits available to eligible NMSU retirees, and if indicated (\*), to their spouse or domestic partner:
- a. Discounted admission to various Music Department concerts, plays, Natatorium, Activity Center and Tennis Center\*
  - b. Discount Rates for Athletic Events (Season tickets only)\*
  - c. Discount Rates for the NMSU Golf Course\*
  - d. Receipt of university General Publications\*
  - e. Library privileges
  - f. Bookstore 10 Percent Discount (Some Exclusions Apply)\*
  - g. Parking Permit (Subject to fees, depending on date of retirement)
  - h. Remission of Tuition and Fees Up Through a Full Load of Classes (Spouse may enroll for one free course if the retiree is not enrolled\*)
  - i. Dependent Tuition Waiver
  - j. University E-mail Address
- F. **Procedural Guidelines and Forms:** Pursuant to 1.10 E. 4 Policy Development, Review and Approval, the Assistant Vice President for Human Resource Services may promulgate and post supplemental procedural guidelines and/or required forms, to facilitate the implementation, application or enforcement of this policy.

## 7.27

**Re-Employment of NM ERB Retirees** *[Amendment ratified by the Board of Regents 10.22.07] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] [Amendment recommended by Administrative Council 08.13.13; approved by Board of Regents 08.19.13]*

- A. **Purpose:** To clarify the terms and conditions under which the New Mexico Educational Retirement Board (“NM ERB”) retirees may be re-employed by NMSU subsequent to retirement and how that re-employment may affect retirement benefits. This policy is governed by NMSA 1978, § 22-11-25.1 and the NMERB’s Rules 2.82.5.15 and 2.82.2.11, which may be accessed at <http://www.nmcpr.state.nm.us/nmac/> [Note: from the New Mexico Administrative Code website, click as follows: “Browse Compilation”; Title 2 (Public Finance); Chapter 82 (Educational Retirement); 2.82.5 (Retirement Benefits); Rule 2.82.5.15 (Return to Work) and Rule 2.82.2.11 (Employees Excluded from Coverage)]. Retirees should also refer to the NM ERB’s website at NMERB for updates.
- B. **Scope:** This policy applies throughout the NMSU System.
- C. **Policy Administrator:** The Assistant Vice President for Human Resource Services administers this policy; however, it is the responsibility of each NM ERB retiree to individually coordinate with the NM ERB regarding ERB approval of eligibility for re-employment, as well as to monitor the employee’s compliance relating to earnings and FTE percentage in order to avoid or minimize any adverse impact to retirement benefits.
- D. **Definitions:**
- 1. “ARP” refers to the “Alternative Retirement Plan”, also sometimes referred to as the defined contribution plan, one of the two types of retirement plans administered by the ERB.
  - 2. “DCP” refers to the “Defined Contribution Plan”, one of the two types of retirement plans administered by the ERB, and sometimes referred to as the “Alternate Retirement Plan”.

3. “DBP” refers to “Defined Benefit Plan”, one of the two types of retirement plans administered by the ERB.
  4. “FTE” refers to “full time equivalency”. FTE typically refers to the number of hours, days, classes, *etc.* required for a position to be considered full time. FTE may vary between positions and retirees should check with their department head to confirm what the FTE is for a particular position.
  5. “Fund” “Fund” refers to the Educational Retirement Fund.
  6. “LAU” refers to “local administrative unit” also known as an NM ERB covered institution and for purposes of this policy typically means NMSU as the educational employer.
  7. “Layout” refers to the 12 month period in which the retired member must not have rendered service of any nature whatsoever to a local administrative unit (NM ERB covered institution). This includes all employment whether full time or part time, substitute teaching, performing duties as a volunteer, which would otherwise be, or in the past have been performed for the local administrative unit by a paid employee or independent contractor, services rendered as an independent contractor, or services as an employee of an independent contractor. The 12 month layout is a pre-requisite for participation in NM ERB’s Return to Work program.
  8. “NM ERA” refers to the state of New Mexico’s Educational Retirement Act, Sections 22-11-1 through 22-11-55, NMSA 1978.
  9. “NM ERB” refers to the state of New Mexico’s Educational Retirement Board, the statutorily authorized administrator of the NM ERA, which governs the retirement rights of eligible employees.
  10. “NM ERB Retiree” includes both defined benefit plan retirees and alternative retirement plan retirees.
- E. Policy Statement(s): NM ERB retirees may be re-employed by NMSU consistent with New Mexico law and NM ERB rules and regulations, as they may be amended from time to time. In the event of a conflict between this policy, and the NM ERA or NM ERB rules/regulations, the latter shall govern.
1. Return to Work Program: The New Mexico Return to Work Program permits qualified NM ERB retirees to return to work, without limitations being placed on annual earnings or on the FTE percentage.
    - a. For employees who retired *after* January 1, 2001:
      - i. The NM ERB retiree must not work for NMSU (or any other LAU) for 12 consecutive months; and
      - ii. Prior to the date of re-employment, the retiree/prospective employee must have submitted a notarized Return to Work application to the NM ERB, and have received NM ERB approval, verifying the retiree’s eligibility to participate in the Return to Work program.
    - b. For employees who retired *before* January 1, 2001, and since that time have not voluntarily suspended their retirement benefits, or were not required to suspend their benefits (e.g. worked less than .25 FTE and/or earned less than \$15,000 per fiscal year):
      - i. The 12 consecutive month layout requirement does not apply; and
      - ii. Prior to the date of re-employment, the retiree/prospective employee must have submitted a notarized Return to Work application to ERB, and have received ERB approval, verifying the retiree’s eligibility to participate in the Return to Work program.
    - c. For employees who retired *before* January 1, 2001, and since that time have voluntarily suspended their retirement benefits or were required to suspend their retirement benefits:

- i. Retirees must have had a 12 consecutive month period in which they did not work for a NM ERB institution; and
  - ii. Retirees/prospective employees must not have rendered services in any capacity to a local administrative unit for an additional ninety (90) consecutive days prior to returning to employment under the Return to Work Program. The 90 day period shall not include any part of a summer, winter, or spring break period or vacation or sick leave.
  - iii. Prior to the date of re-employment, the retiree/prospective employee must have submitted a notarized Return to Work application to the NM ERB, and have received NM ERB approval, verifying the retiree's eligibility to participate in the Return to Work program.
2. No Service Time or Refundable Contributions:
  - a. Consistent with NMSA 1978, § 22-11-25.1 C., Return to Work Program retirees shall continue to receive retirement benefits, but shall not be entitled to acquire service credit, nor to acquire or purchase service credit in the future for the period of the retired member's reemployment.
  - b. Consistent with NMSA 1978, § 22-11-25.1 E., both the Return to Work retiree, and NMSU shall pay to the fund an amount equal to the amount of the member contributions that would have been required under NMSA 1978 § 22-11-21 if the re-employed member had been a non-retired employee. Contributions paid pursuant to this section shall not be refunded to the employer or to the employee.
3. Return to Work Exception: As described below, the NM ERB does not consider limited employment with an LAU to fall within the Return to Work Program.
  - a. ERB retirees, which includes both DBP and DCP retirees, may work for an LAU without satisfying the Return to Work Program requirements if the retiree earns **less than** the greater of (i) \$15,000 or (ii) an amount equal to 0.25 FTE (i.e., 25% of the full-time equivalency) of annual salary of the position in which the retiree will work after retirement (the "Return to Work Exception," a/k/a "Greater of 0.25 FTE or \$15,000 Return to Work Exception"). *See* Rule NMAC 2.82.2.11 (B). (The earnings limit is calculated on a fiscal year basis from July 1 to June 30). (Retirees working under the .25 FTE provision, whether from the Defined Benefit Plan or the ARP must be working **.25 or less** than a Full time Equivalency.) A retiree who works under the Return to Work Exception is not required to apply for the Return to Work Program and will not have to pay member contributions. Time worked under the Return to Work Exception does not qualify for the 12 consecutive month break in service or layout required for the Return to Work Program. **If the retiree's earnings exceed \$15,000 or the retiree's workload exceeds 25% of what is considered full time employment, the retiree no longer is eligible for the exception and must return to active status and pay contributions (non-refundable) at the rates established for active members.** *See Also* Subsections E. 5. b. and c. below.
  - b. As indicated above, ARP retirees may work for an LAU pursuant to the NM ERB's Return to Work Exception. Retired ARP participants who exceed the limitations of the Return to Work Exception will be required to pay contributions (non-refundable) at the rates established for active members as required by NMSA 1978 § 22-11-25.1 (E). *See Also* Executive Director's Policy Regarding Contributions By Retirees Working Pursuant to the Return to Work Program, Return to Work Contribution. *See Also* Subsections E. 5. b. and c. below.
4. Consequences for Violation of NM Educational Retirement Law:
  - a. If a NM ERB retiree returns to employment without first completing twelve consecutive months of retirement or otherwise fails to complete other requirements for the Return to Work Program, the retiree's retirement benefits may be immediately suspended, and the retiree will also be required to pay the fund a sum equal to the retirement payments received while the retiree was ineligible, plus interest at the rate set by the Educational Retirement Board.
  - b. Retirees under the Alternative Retirement Program (the "ARP") who return to work also

must comply with the Return to Work Program or the Return to Work Program Exceptions. See Section 22-11-25.1 (E) NMSA 1978 of the Educational Retirement Act and all applicable NM ERB Return to Work rules, including Rule NMAC 2.82.5.15 and Rule NMAC 2.82.2.11 (B). *See Also* Executive Director's Policy, Return to Work Contribution.

- c. Before the retiree's monthly retirement benefits will be resumed, the retiree member must certify to the NM ERB that the retiree has ceased the employment that would violate the Return to Work rules.
  - d. If the retiree member desires to re-qualify for the Return to Work program, the retired member shall complete the required minimum break in service.
5. Additional Requirements for Re-Employment of NM ERB Retirees:
- a. Upon re-employment under the NM ERB Return to Work program, NM ERB retirees, which includes both DBP and DCP (ARP) retirees, shall provide to the Office of Human Resource Services, a copy of the approval granted by the NM ERB, finding the retiree eligible for participation in the Return to Work program.
  - b. Upon re-employment, and in accordance with the state's rule on the Return to Work exception, NM ERB retirees, which includes both DBP and DCP (ARP) retirees, shall be limited **to less than** the greater of (i.) \$15,000 or (ii) an amount equal to the 0.25 FTE (i.e., 25% of the full-time equivalency) in a fiscal year. **It shall be the responsibility of the retiree to ensure that the NM ERB Return to Work Exception limits are not exceeded; NMSU will not be responsible for any administrative consequences imposed by the NM ERB in the event that the limitations of the exception are exceeded.**
  - c. NM ERB retirees, which includes both DBP and DCP (ARP) retirees, who work for more than one local administrative unit covered by ERB are obligated to inform each employer about all NM ERB-covered jobs. The law requires the earnings of all NM ERB-covered jobs to be combined in the determination of whether the retiree complies with the Return to Work Exception limit on earnings and/or the 0.25 FTE. NM ERB retirees who earn more than the applicable limits or who work more than 25% of the full time equivalency (FTE), will be returned to active status in the Defined Benefit Plan, **even if the retiree originally retired under the ARP**. To avoid disruption in receipt of retirement benefits, the NM ERB retiree should ensure that the salary earned and the percentage FTE worked do not exceed the limits set by the NM ERB. *See* Subsection E. 5. b. above.
  - d. NM ERB retirees shall be subject to the same hiring policies and procedures as other prospective applicants, if re-employed, including the competitive hiring process required for certain positions. However, NM ERB retirees returning to faculty positions may only be employed as college non-contract faculty.
  - e. NM ERB retirees who are hired as regular 12 month employees or non-regular term appointment may earn 22 days of annual leave per fiscal year (prorated based on FTE), but all earned annual leave must be used or forfeited by September 30<sup>th</sup> of the next fiscal year. Retirees will not be paid any annual leave upon termination of employment with the university.

**7.30 Social Security (FICA)** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] (See also Policy 2.65 Social Security Numbers and 2.90, University Records)*

University employees, except those with federal appointments or non-resident aliens with tax treaty exceptions, are covered by social security. Student and graduate student employees who maintain part-time enrollment are generally exempt from Social Security and Medicare tax under the IRS Student Exemption Regulation. Payment is made by monthly payroll deduction at a rate set by law, with a matching contribution by the university. (Current rates may be obtained from the Office of Human Resource Services.) Each applicant must possess a social security card in order to be employed. If an applicant does not have a social security card or requests the use of a name that is different in any way from the name on the card, it is the responsibility of the applicant to have the matter corrected at the nearest Social Security Administration Office.

**7.34 Tax Sheltered Annuities** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

The university provides voluntary tax sheltered annuities. This program allows all employees to exclude a portion of their salary, within certain limits, from their current taxable income by electing to have their employer invest an amount in retirement annuities. No employer contributions are made to the plan. The program is in addition to the New Mexico Educational Retirement Account, the New Mexico Alternative Retirement Program and 457 contributions. Employees may choose from a list of approved companies that offer Tax Sheltered Annuity programs for the university. Employees may also choose within the approved company which accounts they would like their contributions to be distributed to. Employees may elect participation in the tax sheltered annuity plans at any time during the year. Contributions end when an employee terminates employment, retires, completes a Salary Reduction Agreement canceling contributions or when contributions have exceeded annual maximums established by the Internal Revenue Service.

**7.35 Tickets (Athletic) for Faculty/Staff** *[Amendment recommended by Administrative Council 10.09.12; approved by Board of Regents 10.15.12] [Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13] (See [2.05 Athletics](#))*

The Athletics Department provides season tickets at reduced rates in reserved sections for football and basketball to university regular faculty and staff and non-regular employees in a term appointment. Each employee is eligible to purchase a maximum of six football and four basketball season tickets at reduced rates. The same privileges afforded the university employee shall be extended to official university retirees and their surviving spouses. All employee and retiree tickets are for the use of the member and family and are not transferrable. The cost of tickets for retirees and their surviving spouse is 1/3 the highest cost ticket. Tickets are only issued on a season basis. Both employee and retiree tickets are subject to taxation.

**7.40 Unemployment Compensation** *[Amendment recommended by Administrative Council 06.11.13; approved by Board of Regents 06.20.13]*

- A. Unemployment compensation is paid for by the university on a self-insured basis.
- B. Former employees may file for unemployment benefits at a local employment office in any state.
  1. Student employees are not covered under unemployment compensation.
  2. Nine-month employees are not eligible during the off-employment period.
- C. When an employee has filed for benefits, the university is notified. This notification should be sent to the Office of Human Resource Services, but may be sent directly to the department. In this case, it should be sent immediately to the Office of Human Resource Services as the notification of filing must be answered within 5 days. The supervisor may be contacted to verify reasons for the employee no longer being employed.
- D. All claims will be reviewed and contested by the university on a selective basis if the stated reason for no longer being employed is other than a layoff or temporary status (discharged through no fault of the employee) and no penalty has been assessed.
- E. Payment of benefits is determined by the Department of Labor.

**7.41 United Fund Contribution**

Annually, in the fall, the university participates in the United Fund campaign drive. The purpose of this program is to afford the university's employees (regular employees only) an opportunity to participate, either by cash contribution or payroll deduction, at one time and not be subjected to multiple solicitations throughout the year.



## 7.42 United States Savings Bonds

A regular employee may participate in the savings bond payroll deduction program. Enrollment is optional and forms must be completed and returned to the Office of Human Resource Services. (See the Office of Human Resource Services for more information.)

## 7.45 Workers' Compensation Benefits and Other Assistance *[Amendments approved by Board of Regents 10.22.07][Amendment recommended by Administrative Council 12.13.11; approved by Board of Regents 01.30.12]*

- A. Purpose: To provide eligible employees with assistance claiming benefits afforded to them pursuant to the state Workers' Compensation Act, NMSA 1978, 52-1-1 *et seq*; to assist the employee to transition back to work; and to ensure sound claims management of workers compensation insurance claims. This policy and procedures serve a distinct purpose than the ADA reasonable accommodation process administered by the Office of Institutional Equity (See Office of Institutional Equity)
- B. Scope: This policy applies to university employees throughout the NMSU system who have a compensable injury or illness, as defined in this policy.
- C. Policy Administrator: The Office of Workers' Compensation Specialist, in coordination with the unit and/or division supervisors, administers this policy.
- D. Definitions:
  1. "Compensable Injury or Illness" means an injury or illness compensable under the N.M. Workers' Compensation Act.
  2. "MMI" means the maximum medical improvement reasonably medically expected to occur after a compensable injury or illness.
  3. "Modified Duty Assignment" is an assignment to modified job duties for a temporary period, to accommodate temporary medical restrictions caused by a compensable injury or illness.
  4. "Qualified Employee" is any NMSU employee temporarily unable to perform the duties of the employee's current job classification as a result of a compensable injury or illness, and typically who has not yet reached MMI.
- E. Workers' Compensation Benefits Payable: The benefits payable to an employee with a compensable injury or illness include: payment for medical, surgical, and drug expenses, as well as weekly compensation after the first seven (7) days of disability. If the period of injury or illness lasts for more than four (4) weeks from the date of injury, compensation benefits will be allowed from that initial accident date. Employees may offset their weekly workers' compensation benefit with their sick/annual leave. Total compensation, to include annual/sick leave and workers' compensation benefits, may not exceed the employee's regular rate of pay. The university will place the employee on paid leave or leave without pay, as appropriate, during the period the employee is receiving payment from the Workers' Compensation carrier up to a maximum of one (1) year.
- F. Reporting Procedures for Work Related Accident or Illness:
  1. All on-the-job accidents or injuries must be reported immediately to the injured employee's supervisor by completing and submitting the Notice of Accident Form, whether or not medical care is needed.
  2. An Employer's First Report of Accident Form and a Supervisor's Accident Investigation Report Form will be completed by the supervisor whether or not medical care is needed.
  3. An Authorization to Release Medical Information and a Claims Explanation Form will be

completed by the employee for injuries requiring medical care.

4. All forms are to be sent to the Office of the Workers' Compensation Benefits within 24 hours of the injury or illness, or as soon as practicable under the circumstances.
- G. Return to Work/Modified Work Duty Program: In accordance with this policy, the university may assist qualified employees in transitioning back into the workforce by providing a modified duty assignment for a temporary period. Modified duty assignments may require job duties outside the employee's usual job description or work unit. The modified work duty assignment will be determined by the home department head and/or division director, in coordination with the Workers Compensation Specialist; if no opportunity for modified work duty exists in the home department, then it may be made within the division. If there is no modified duty opportunity within the division, the Workers Compensation Specialist may coordinate with the appropriate personnel to ascertain whether or not modified work duty is available outside the division, within the university system. (See subsections H. 2. a. and H. 3.a.) This policy authorizing modified duty assignments does not authorize the creation of a distinct job classification, nor impose an obligation on NMSU to create work. The home department and/or division is responsible for continuing to fund the position while the employee is assigned to temporary modified work duty. Modified duty assignments shall generally last less than ninety (90) days, but may be extended by the supervisor, with the approval of the university's workers' compensation specialist, with concurrence of the appropriate vice president, dean or equivalent director. An employee who fails to cooperate with reasonable requests and directives relating to the employee's medical condition and the university's efforts to identify and provide modified duty assignments may be disqualified from participation in this modified duty program.
- H. Procedures for Modified Duty Program:
1. Employees subject to this policy shall:
    - a. Follow all procedures in the event an injury or illness is caused by NMSU working conditions, including but not limited to cooperation with all reasonable requests and directives from NMSU officials.
    - b. Follow all medical advice received by the employee's medical providers.
    - c. Return to full time employment at the expiration of the period for the modified duty assignment period, provided that the medical documentation supports a finding that the employee's condition will permit the employee to perform the essential functions of the job, with or without reasonable accommodation.
    - d. If the employee is not medically expected to be able to perform the essential functions of the job held prior to the compensable injury or illness, the employee may at any time seek assistance from the Office of Institutional Equity with regard to reasonable accommodation.
  2. The employer NMSU entity of the injured or ill employee shall:
    - a. Coordinate with the employee, the university's workers' compensation specialist, the employee's health care provider and/or assigned Workers Compensation adjuster, in consultation with the Office of Human Resource Services, as necessary, to identify a suitable modified duty assignment.
    - b. Maintain the confidentiality of all medical information received.
    - c. Monitor the work performance of the employee assigned to modified duty, and keep discussions open with the workers' compensation specialist regarding the continuing need for modified duty.
    - d. With the approval of the university's workers' compensation specialist and concurrence from the appropriate vice president, dean or equivalent director, the supervisor may extend the modified work duty assignment by thirty (30) calendar days, or until next medical follow-up appointment, provided modified duty remains available.
  3. The Office of Workers' Compensation Specialist shall:
    - a. Serve as a coordinator between the NMSU entities, the injured or ill employee, and the

state workers' compensation insurance pool with regard to compensation, medical care, available modified duty assignments and return to work issues.

- b. Assist the qualified employee with issues arising during the transition back to the work force.
- c. If at the end of the modified duty assignment and/or at upon the employee reaching MMI, if the employee cannot perform all functions of the regular job, the workers' compensation benefits specialist will refer the employee to the Office of Institutional Equity for assistance with regard to reasonable accommodation.

## **Chapter 8**

### **Human Resources-Staff Policies**

- 8.05 Area/Shift Differentials
- 8.10 Career Development/Apprenticeship Training
- 8.15 Compensation
  - 8.15.05 Multi-lingual Pay
  - 8.15.10 Employee Recognition Program
  - 8.15.15 Hardship Differential Pay
- 8.20 Compensatory Time, Overtime, Holiday Pay
  - 8.20.05 On-call Pay
  - 8.20.10 Call-back Pay
- 8.25 Consulting (Exempt Staff)
- 8.30 Disciplinary Action/Involuntary Termination
- 8.40 Hiring
- 8.45 Layoffs and Recall
- 8.50 Performance Evaluation/Probationary Period
- 8.55 Promotion and Reclassification (Exempt and Nonexempt Staff)
- 8.60 Resignations
- 8.70 Transfers
- 8.75 Workweek

## CHAPTER 8- HUMAN RESOURCES-STAFF POLICIES

### 8.05 Area/Shift Differentials

- A. Shift Differential Pay (Nonexempt): Work schedules are divided into three, 8-hour shifts in any 24-hour work day. Normally, the daytime shift receives the base rate of pay; the second shift (swing) receives a \$.10 per hour pay differential; the third shift (graveyard) receives a \$.40 per hour pay differential. Any granting of differentials other than those specified must have specific approval of the Office of Human Resource Services. Payment is reported on Form 302 for employees rotating shifts. A Personnel Action Form is used for non-rotating shift employees. The comment section of the Personnel Action Form should note the base salary and shift differential separately. In order to be eligible for a shift differential, an employee's normal work schedule must extend more than 3 hours into the swing or graveyard shift. An employee is eligible for shift differential pay only for those hours extending into the swing or graveyard shift.
- B. Area Differential Pay: Occasionally, employees are sent on temporary duty to locations outside their normal work area. When the cost of temporary lodging and food exceeds the normal per diem rate, the supervisor may request a temporary adjustment to the employee's base pay during the absence to compensate for this loss. Such requests should be submitted to the Office of Human Resource Services. Adjustments in the in-hire rate for nonexempt employees to a rate above the entry rate to compensate for areas or positions in which the university's entry level salary is not competitive may be considered by the Office of Human Resource Services.

### 8.10 Career Development/Apprenticeship Training

- A. Creation of Trainee Position: When qualified applicants are not available to fill a position, or the employing department desires to establish a trainee position, the director/department head, (in cooperation with the Office of Human Resource Services) may develop a job development program that will provide an opportunity for the individual to become qualified for a position. Normally, the salary schedule for the trainee will not be less than 80 percent of the minimum non-probationary salary for the position and will provide for periodic incremental increases.
- B. Apprenticeship Training (Applicable to recognized apprenticeship programs only): Apprenticeship programs may be submitted for approval by the Office of Human Resource Services.
- C. Preference in Hiring: Apprentices who have satisfactorily completed the training may be promoted to the first available position for which they are qualified without competitive advertising with prior approval by the Office of Human Resource Services. All apprentices assigned to the university through federal, state, or local programs may be placed on temporary employment status. Prior to the end of the employment period, the employee will receive a performance evaluation report and either be terminated or granted a regular appointment.

### 8.15 Compensation Policies *[Amendment ratified by Board of Regents 10.22.07][Amendment recommended by Administrative Council 12.13.11; approved by Board of Regents 01.30.12]*

- A. Salary Schedule:
  - 1. Exempt Employees: Entry salary for exempt employees is determined in accordance with the exempt salary schedule by direct negotiation between the employee and the supervisor with prior approval of the appropriate dean, director, vice president, or

executive vice president and provost and the Office of Human Resource Services.

2. **Nonexempt Employees:** New employees are normally hired at entry level of the appropriate grade. With justification and prior approval appropriate dean, director, vice president, or executive vice president and provost and the Office of Human Resource Services, certain applicants may be hired at 5 percent or 10 percent above the entry level dependent upon experience. Employees hired above entry level are not eligible for an end of probation increase. Adjustments may be made to the in-hire rate for positions or in areas that require a higher rate to be set competitive with the local market. (*See 8.05 (B) Area Differential.*) The salaries of all employees occupying nonexempt positions are based on the grade as set by the current salary schedule and the university job classification specification. No employee shall be paid less than the minimum for his or her grade in the salary schedule. Classification specifications are standardized descriptions of the characteristics, duties, and minimum qualifications for a group of positions. The qualifications statement in each classification specification establishes minimum requirements that are to be met by an individual before being considered for appointment or promotion. Combinations of education and experience are specified in the classification specification. Other combinations, if deemed equivalent by the Office of Human Resource Services, may qualify an individual for appointment or promotion. Employees may be required by their supervisor to perform duties outside the general skill level of their classification specification on a temporary basis. A supervisor who determines that the standard classification specification does not accurately describe a position should initiate reclassification action (*See 8.55 Promotion and Reclassification*).
  3. **Temporary Nonexempt Employees:** A temporary employee is normally hired at the entry level of the appropriate grade and remains at the in-hire rate unless the salary schedule changes. If the salary-scale changes, the salary is adjusted in accordance with the new scale. If the salary scale does not change, the employee may be awarded the appropriate base adjustment. Temporary employees are paid on an hourly basis. The E-Hire Form must specify a termination date that does not exceed 12 months. Temporary employees are not eligible for insurance coverage, benefits or holiday pay. The Notice of Employee Separation Form, employment application/resume, and I-9 Form accompany the appointing E-Hire Form, attached to the transmittal form.
  4. **Temporary Exempt Employees:** Compensation is in accordance with the exempt salary schedule and may be negotiated between supervisor and employee with prior approval of the Office of Human Resource Services and/or the executive vice president and provost. The supervisor makes salary recommendations at the time the position is requested. (*See 8.20 Comp Time/Overtime*) Exempt temporary employees are not eligible for insurance coverages, benefits or holiday pay. The appointing E-Hire Form must specify a termination date not to exceed 12 months and should contain a brief explanation of the work to be performed and salary calculation. The Notice of Employee Separation Form, resume and I-9 Form should accompany the E-Hire Form, attached to the transmittal form.
- B. **Wage Increases For Nonexempt Employees:** Nonexempt employees shall receive a 5% wage increase effective on July 1, 2007; an additional 5% wage increase effective on July 1, 2008; and an additional 5% wage increase effective July 1, 2009. Except as otherwise provided by legislative appropriation, wage increases shall be administered each year as follows:
1. All eligible employees whose base salary is less than \$30,000 prior to the increase shall receive a full 5% wage increase.
  2. For eligible employees whose base salary is \$30,000 or more prior to the increase, a percentage of the wage increase – 90% in 2007, 70% in 2008, and 70% in 2009 – shall

be added to each eligible employee's salary as a cost of living base adjustment. Organizational units shall be allocated a block of funds for the remaining percentage of the wage increase – 10% in 2007, 30% in 2008, and 30% in 2009 – for performance adjustments to such eligible employees, to be distributed at the unit's discretion as justified by performance evaluation ratings.

3. The following employees shall not be eligible for any wage increase:
    - a. employees hired after the preceding March 31.
  4. The following employees shall not be eligible for a performance adjustment:
    - a. employees hired after the preceding January 1;
    - b. employees on Long Term Disability (LTD) or Leave Without Pay (LWOP) status for six (6) months or more during the preceding review period;
    - c. employees with a "needs improvement" or "unsatisfactory" overall performance rating on the preceding performance evaluation.
  5. All wage increases are contingent upon the specific appropriation of funds by the Legislature for such increases, which shall be implemented if the specific appropriations are granted.
- C. Salary Adjustments for Exempt Employees: Salary adjustments and period of assignment will be approved on an individual basis by the Office of Human Resource Services and the executive vice president and provost. Adjustments will be in accordance with the promotion policy outlined below.
- D. Temporary Assignment to a Position of Another Level:
1. Higher classification: An employee who is temporarily assigned to a higher position for a period in excess of 1 calendar month may be assigned a salary in the higher grade in accordance with the rules for promotion (*See 8.55 Rate of Pay for Promotion*) from the first day of the assignment. To be assigned to the grade, the employee must meet minimum qualifications for the position. If there are no qualified employees, the duties will be reassigned to other employees.
  2. Lower or lateral classification: The employee will not receive any adjustment in pay.
  3. Temporary assignments: Temporary assignments will not normally exceed 1 calendar year.
- E. Rate of Pay on Demotion (Voluntary or Involuntary):
1. Nonexempt Employees: When a nonexempt employee is demoted or accepts a position at a lower grade level, a salary rate will be received in the lower salary range that is 5 percent above the entrance level; or the following percentage decrease, whichever is less of a reduction:
    - a. 5 percent if the demotion is one grade.
    - b. 8 percent if two or three grades.
    - c. 15 percent if four grades.
    - d. 5 percent per grade thereafter.
  2. Exempt Employees: Recommendations for exempt salary rates should be submitted to the Office of Human Resource Services for approval by the executive vice president and provost.

- F. Rate of Pay on Voluntary Lateral Transfer to the Same Grade: Whenever an employee makes a lateral transfer, there is normally no change in salary.
- G. Rate of Pay for Promotion, Equity or Base Adjustment:
1. Nonexempt Employees (Non-probationary): The new base salary for nonexempt employees on a promotion will be:
    - a. 5 percent if promotion is one grade.
    - b. 8 percent if two or three grades.
    - c. 15 percent if four or more grades.
    - d. 5 percent above entry level of new grade, whichever is greater.
  2. Exempt Employees: Exempt employees may receive an internal promotion, equity or base adjustment salary increase of from 0 to 15 percent or to entry of the new salary level with prior approval of the executive vice president and provost. Internal promotions should not normally exceed a two-level increase. Equity adjustments may be considered dependent upon availability of funding for exempt employees. Internal and external market comparisons are reviewed when considering equity adjustment requests.
  3. Nonexempt to Exempt: A nonexempt employee being internally promoted to an exempt position may receive a salary increase of from 0 to 15 percent or to entry of the new salary level with prior approval of the Office of Human Resource Services and the executive vice president and provost.
- H. Rate of Pay on Reclassification (Non-probationary):
1. Nonexempt Employees:
    - a. The new base salary on reclassification to a higher grade will be:
      - i. 5 percent, if one to three grades;
      - ii. 10 percent, if four or more grades;
      - iii. up to 15 percent, if from nonexempt to exempt; or
      - iv. 5 percent above entry level of new grade, whichever is greater.
    - b. A nonexempt employee reclassified to an exempt position may receive a salary increase of from 0 to 15 percent or entry of the exempt level with approval of the Office of Human Resource Services and the executive vice president and provost. Reclassification to the same grade level will not affect the salary. An adjustment in classification by the Office of Human Resource Services which results in change of grade or elimination of title may or may not result in a salary change. Decisions regarding such changes will be made on a case-by-case basis.
  2. Exempt Employees: Exempt employees may receive a salary increase of 0 to 15 percent or to entry of the new salary level with prior approval of the executive vice president and provost. Reclassifications will not normally exceed two levels.
- I. End of Probation Salary Adjustment (Nonexempt Regular Employees Only): Upon satisfactory completion of the initial probationary period, a new nonexempt employee may receive a 5 percent salary increase. Employees hired above the entry level will not receive an increase. Supervisors complete a Personnel Action Form and performance evaluation to implement the change from probationary to regular status. The salary increase will be effective 6 months following the employee's employment date or upon completion of the probationary period.



- J. Retroactive Pay Adjustment: Retroactive payment may be made back to the day of the calendar month in which the general pay adjustment was approved. Example: an employee was granted a pay adjustment effective April 26 but, due to an error, the proper amount was not paid. The error was discovered on June 15. The retroactive adjustment may be made back to April 26, the date the adjustment was approved. Salary adjustments may not pass beyond fiscal year dates without specific approval of the assistant vice president for human resource services. If an employee is overpaid due to an administrative error, the employee will be responsible for reimbursing the university for the total overpayment.
- K. Meal Periods - Rest Breaks: A normal work day shall consist of 8 hours of work with a minimum of one-half hour and a maximum of 1 hour of non work time granted for a meal period. Periods of less than 1 hour meal time and specific eating on the job arrangements must be approved by the department head or director. A 15-minute break period is allowed during each 4-hour work period. Non usage of break periods may not be used to make up time spent away from work. Break times cannot be accumulated.
- L. Three-Year Longevity Increase: Nonexempt employees who satisfactorily complete their initial 3 consecutive years of service will be awarded a 5 percent increase effective on the employee's anniversary date. Temporary or occasional employees are not eligible for the 3-year service award. Prior service with a break in employment in excess of 5 working days is not credited toward the 3 years of service. Leave without pay will not be included as service time.
- M. Service Increase: Regular nonexempt employees may be awarded a service increase upon satisfactory completion of 10, 15, 20, 25 and 30 years of regular consecutive service. The increase will be effective on the first day of the month after the anniversary date (i.e.; if the anniversary date is January 13, the award will be effective February 1). The increase will be \$750 after 10 years; \$850 after 15 years; \$1,000 after 20 years; \$1,300 after 25 years; and \$1,500 after 30 years to be prorated for less than full time employees). The increase may not be retroactive and will be subject to satisfactory performance as documented on the performance evaluation form.
- N. Daily Maximum Hours of Employment: No employees, other than fire fighters, law enforcement officers, dispatchers, or farm or ranch hands, whose duties require them to work longer hours, or employees primarily in a standby position shall normally be required to work more than 16 hours in any 24-hour period, except in emergency or special situations.
- O. Deductions from Pay: Improper deductions from an employee's pay are prohibited. Full day suspensions without pay are allowed for exempt employees. Suspensions must be related to conduct. Supervisors must obtain prior approval from the appropriate dean or vice president/vice provost and the assistant vice president for human resource services. An exempt employee's pay can be docked for a voluntary day off if leave is unavailable to cover the time. Refer to FMLA Policy 7.20.45 Leaves - Family and Medical for allowable partial day docking. (See Policy 8.30 Disciplinary Action/Involuntary Termination and Policy 4.05.11 Appeals/Grievances)

#### **8.15.05 Multi-lingual Pay** [Amendment approved by Board of Regents 10.22.07]

In facilities or offices where the employer deems it necessary to have on staff multi-lingual employees to facilitate communications with members of the public, and employees on staff assigned to the facility are available and capable of fulfilling such need, the university may designate a sufficient number of employees in the assigned work force to perform such duties and such employees shall be entitled to a differential in the amount of \$.10 per hour

### 8.15.10 **Employee Recognition Program** *[Amendment adopted by Administrative Council 07.08.08; ratified by Board of Regents 07.15.08]*

- A. **Policy Statement:** New Mexico State University recognizes the most important and valuable asset any organization has is its employees. In appreciation for the dedication and accomplishments of staff members, the Employee Recognition Program (ERP) is established to reward and recognize those who demonstrate the professionalism and behaviors consistent with the mission of NMSU and to celebrate achievements that have an exceptional impact on the organization. Departments, colleges and divisions are encourage to develop their own programs to complement established university -level\* programs.

This program is exclusive of merit/performance adjustments provided during the annual salary process.

\* Established University - Level Employee Recognition Programs:

- Patricia Christmore Faculty Teaching Award
- Fort Bliss Federal Credit Union Award
- Ralph B. Crouch Award
- Donald Roush Award
- Robert L. Westhafer Award
- Frank Bromilow Staff and Teaching Awards
- University Research Council Award
- Stephen W. and Robert E. Roberts Memorial Staff Award
- Dr. Dennis Darnall Award
- El Paso Energy Award

Additional university-level Employee Recognition Programs may be developed by the Office of Human Resource Services with approval by executive administration. Programs will be designed to recognize exceptional accomplishments for faculty and staff subject to specific achievement within specified criteria directly attributable to faculty and staff members.

To ensure fairness and equity, all ERP's must include an application and/or nomination/recommendation process, defined selection criteria and a process which includes the review and recommendation of a group or a committee. If a donor serves on the committee for which his/her donation is under consideration, the donor must be in the minority of the representation on the committee in order to avoid tax consequences.

All employees must have an equal opportunity to compete for bonuses and awards based on the eligibility criteria of an approved program. The Office of Human Resources will review and approve all departmental ERP's, with the exception of awards provided from donated funds. Because of the university's status as a public employer, tax issues and state regulations, rewards are defined as either a **bonus** or an **award**.

Exceptions to the following guidelines must be approved by the Office of the Executive Vice President and Provost.

- B. **Bonus:** A bonus is defined as recognition for exceptional performance of duties and responsibilities above and beyond the normal scope of an employee's assigned duties and responsibilities. A bonus is a one-time payment that is paid from instruction and general (I&G) finds, state appropriations and/or any appropriate restricted or unrestricted funding source. The following guidelines apply to departmental bonus programs:

1. A minimum of \$100.00 (net) up to a maximum of \$500.00 (net) may be provided for any individual payment.
  2. More than one recipient per department and/or division may receive a bonus depending upon the availability of funding and eligibility.
  3. Bonuses paid from restricted/unrestricted funds must comply with the granting agency guidelines.
  4. Applicable taxes will be deducted from the gross amount.
  5. Bonuses will be processed using a One Time Payment Request.
- C. Award: An award is recognition of an exceptional achievement, work ethic and/or service which significantly contributes to an organizational unit. Awards may be paid from any appropriate restricted or unrestricted funding source and/or donated funds. The following guidelines apply to departmental bonus programs:
1. There are no dollar restrictions for awards provided from donated funds.
  2. A minimum of \$100.00 (net) up to a maximum of \$500.00 (net) may be provided for any individual recipient of an award paid from restricted/unrestricted funds.
  3. More than one recipient per department and/or division may receive an award depending upon the availability of funding and eligibility.
  4. Awards paid from restricted/unrestricted funds must comply with the granting agency guidelines.
  5. To avoid the appearance of a conflict of interest, services or merchandise (or certificates for such) from vendors or other non-university businesses shall not be solicited or accepted as donations by departments for use as awards. As state employees are not entitled to receive gifts, certificates for such awards shall be called "award certificates".
  6. If donated funds are the source of an award, the Office of University Advancement must be consulted prior to the presentation of the award.
  7. Awards paid from restricted/unrestricted funds and donated funds are taxable and are processed through a One Time Payment Request.

NMSU encourages nomination of faculty and staff for external (non-NMSU) awards. These awards are subject to the granting agency's criteria and guidelines and will not require a central office review.

**8.15.15 Hardship Differential Pay** *[Policy adopted by Administrative Council 07.11.06; ratified by Board of Regents 09.08.06]*

- A. Policy Statement: Hardship differential pay is extra compensation occasionally paid to employees assigned to work for a fixed period of time on a specific project to meet an objective, and under extraordinary working conditions.
- B. Procedural Guidance:
  1. Management should attempt to schedule staff and faculty such that excessive overtime and hardship to the employee is avoided; the hardship differential pay

addresses those situations where this cannot be avoided.

2. Extraordinary working conditions include situations when the employee is required to work an inordinate number of hours beyond the normal forty (40) hour work week, or to work under unusually risky and/or hazardous conditions, or to work away from home through a holiday. Such working conditions should not be the norm, and payment of extra compensation is justified due to the significant hardship placed on the employee during the period of time necessary to meet the work objective.
3. In order to receive hardship differential pay, the appropriate dean, vice president or designee and the Office of Human Resource Services must approve it in writing.
4. The amount of the hardship differential pay will be a differential over and above the employee's regular salary, to be paid for the duration of the project.
  - a. Hardship differential pay will be included in the calculation of overtime compensation for nonexempt employees.
  - b. The differential for exempt and faculty employees shall not exceed their regular base rate of pay.

## **8.20 Compensatory Time, Overtime, and Holiday Pay** *(See also Chapter 4-Hiring-Definitions-Employees Exempt) [Amendment ratified by Board of Regents 10.22.07]*

- A. Employees Exempt from Overtime: Any individual employed in a bona fide executive, administrative, or exempt capacity, as defined by the Fair Labor Standards Act, may be exempted from compensatory time or payment of overtime. Employees so exempted shall be termed exempt. All other categories will be termed nonexempt. Exempt/nonexempt status will be determined by a review of the specific description of duties for the position in question. Positions having like classifications may receive different exempt/nonexempt classifications based on the specific duties and responsibilities required. The Office of Human Resource Services may be contacted for information regarding exempt/nonexempt status on any position.
- B. Overtime Administration: A director/department head may prescribe reasonable periods of overtime work to meet the needs of an operation. A nonexempt employee may only work more than 40 hours a week after having obtained prior approval or instructions from the appropriate supervisor. Complete records of overtime for employees will be maintained in each department or office.
- C. Overtime Payment: Nonexempt employees as defined by the Fair Labor Standards Act (*See Chapter 4 Human Resources - General - Hiring Definitions*) are eligible to be compensated or given compensatory time for overtime. Upon election by the employee, overtime work may be compensated in the form of overtime pay or compensatory time off. Normally, employees who are eligible for payment of overtime will not work in excess of a 40-hour week. To prevent a backlog, workloads should be adjusted by determining needs sufficiently in advance so that temporary help may be hired. The university has no contractual obligation to pay overtime or approve compensatory time. If it becomes necessary for nonexempt employees to work more than 40 hours in a week, the following will apply:
  1. All regular, non-exempt, employees shall be paid for all hours worked in excess of forty (40) hours during a work week at the employee's regular rate of pay and at an additional 0.5 times for the overtime hours worked or be paid for all hours worked in excess of forty (40) hours during a work week at the employee's rate of pay and earn comp time at an additional 0.5 times the overtime hours worked.

2. When regular, part-time, employees are required to work more than their normal scheduled hours, but less than 40 hours per week, they will be paid for additional hours (at straight time rates) up to a total of 40 hours in a work week. All time worked in excess of 40 hours is subject to the provisions in #1 above.
  3. When temporary employees are required to work more than their normal scheduled hours, but less than 40 hours per week, they will be paid for additional hours (at straight time rates) up to a total of 40 hours in a work week. All time worked in excess of 40 hours shall be paid at the employee's rate of pay and at an additional 0.5 times the overtime hours worked.
- C. Holiday Pay: Any nonexempt employee required to work on one of the official holidays and who does not receive a day off in lieu of the holiday, may be compensated at one and a half times the regular hourly rate in addition to the holiday pay regardless of the number of hours actually worked during the normal work week. If compensatory time, in lieu of payment, is granted for work performed on a holiday, it shall be granted at the rate of one and one half times the number of hours worked regardless of the number of hours actually worked during the normal work week. An employee whose normal work schedule does not include a day designated as an official university holiday may receive a day off in lieu of the holiday during the same work week in which the holiday falls. Payment for a holiday, annual leave, sick leave, administrative leave, compensatory time, or compassionate leave will be considered as hours worked only during a work week in which an official university holiday occurs. Otherwise, in order to be paid at the overtime rate, actual hours worked must be in excess of 40 hours for an employee's work week. If holiday hours and actual hours worked exceed 40 hours in a workweek, calculation of overtime hours will exclude holiday premium hours already compensated.
- D. Overtime Reporting: Nonexempt employees eligible for payment of overtime who are required to work in excess of 40 hours per week will report overtime hours worked on the university Compensation Overtime Report at the end of the pay period. The method for computing overtime is stated on the form.
- E. Compensatory Time (Comp Time): The purpose of compensatory time is to provide an alternative to cash payment of overtime. A nonexempt employee may only work more than 40 hours a week after having obtained prior approval or instructions from the appropriate supervisor.
1. Upon election by the employee, overtime work may be compensated in the form of compensatory time off. When such form of compensation is elected, the employee shall be paid for all hours worked in excess of forty (40) hours during the work week (hereinafter "overtime hours") at the employee's regular hourly rate of pay and earn comp time at an additional .5 times the overtime hours worked. The university shall designate two (2) opportunities each year for employees' to elect to receive comp time for overtime hours worked, to be effective on January 1 and July 1.
  2. The date to be taken as comp time off shall be scheduled by agreement between the supervisor and the employee. Supervisory approval for the use of comp time shall not be unreasonably withheld. A supervisor may direct that an employee use accrued comp time.
  3. A maximum of one hundred and twenty (120) hours of comp time may be accrued in a fiscal year. Comp time earned for overtime and reported by the payroll deadline shall be accrued at the next regularly scheduled pay day. An employee may request payment of accrued comp time at any time, which shall then be paid at the next regularly scheduled pay day. All comp time must be used or paid by the end of each

fiscal year or prior to transfer or termination.

#### **8.20.05 On-call Pay** *[Policy approved by Board of Regents 10.22.07]*

The university may assign and employee to on-call status in accordance with the following:

- A. On-call Status: An employee is assigned to on-call status in circumstances where the time expended will not constitute compensable hours worked under the Fair Labor Standards Act shall be paid "on call" pay in the amount equal to \$1.00 per hour for each hour of assigned on-call status.
- B. Unrestricted Call-back Status: On-call pay shall not be paid to employees who are placed on stand-by status and who are provided with a pager, cell phone or other electronic device and required to return to work site as soon as practical from the time contact is made, so long as the employee is not required to remain in any specific geographical area or required to return to work within a specific time period. Employees on such status may decline to return to work if contacted, without penalty, discipline or other reprisal if they acknowledge they are not fit to report to duty.

#### **8.20.10 Call-back Pay** *[Policy approved by Board of Regents 10.22.07]*

On-call employees who are required to return to work, or those other employees who are called back to work on a regularly scheduled on-duty day after going off-duty or who are called to work on a regularly scheduled off-duty day, shall be guaranteed a minimum of two (2) hours of pay for the actual time worked at the applicable straight time or overtime rate. For employees called back to work, paid time shall commence at the time the employee begins travel to report for work and ends at the completion of the call-back assignment.

#### **8.25 Consulting (Exempt Staff)**

- A. Exempt employees whose full-time duties and responsibilities are similar to those of faculty may be granted consulting privileges subject to prior approval of the appropriate supervisors through the executive vice president and provost. The terms and conditions of these privileges are contained in Chapter 5 - Faculty - Consulting.
- B. Other exempt employees who engage in any form of paid consulting, contracting, retail, or wholesale activity not directly related to their university responsibilities normally will do so only on their own time.
- C. Outside activities during a normal duty day should have prior approval by a supervisor and be accomplished on an annual leave or compensatory time basis.
- D. No paid outside activity may be pursued which would create the appearance of a conflict of interest with university responsibilities or which would reflect unfavorably on the university. Outside activities will not be allowed when they prevent an employee from accomplishing regularly assigned duties.
- E. With prior approval from the appropriate supervisor and cognizant dean/director/vice president, exempt employees may engage in job-related service or professional activities outside the university without taking annual leave (such as serving on an accrediting team or holding a professional office). The activity must be of benefit to the university and support the goals of higher education. University employees working on government contracts that require accounting for all direct and indirect time, and all sick leave, holiday, and annual leave time, will be required to comply with record keeping systems that meet government audit requirements. Full accountability of all paid time is

the general norm for this type of organization. University facilities, equipment, personnel or supplies which are not freely available to the general public will not be used in consulting without proper arrangements for reimbursement. (*See also Policy 5.14.40 at "Exempt Staff Hired as Part-time Faculty"*)

**8.30 Disciplinary Action/Involuntary Termination** (*See also Policy 4.05.11 for Disciplinary Appeal Process*) [*Amendment adopted by Administrative Council 09.09.08; ratified by Board of Regents 07.29.09*]

- A. Inability to Perform Essential Job Functions: A supervisor may, after having obtained the approval of the appropriate dean/vice president and the Office of Human Resource Services, require an employee to be examined by a medical doctor (or other health provider) for the purpose of determining the employee's ability to perform essential job functions. The cost of the examination will be borne by the university. An employee may be terminated if unable to perform the essential job functions of a position.
- B. Absence Without Authorization: A staff employee who is absent from work without proper authorization or notification for a period of 1 working day or if less than 1 working day for more than one occurrence, may be terminated. Such action will be considered as just cause for termination and processed as an involuntary termination. If subsequent investigation and information reveals extenuating circumstances, the employee may use annual leave, sick leave, or leave without pay for the days absent and may be subject to other disciplinary action.
- C. Disciplinary Action (Nonprobationary Regular Employees): The supervisor may request action appropriate to the nature and severity of the offense or unacceptable performance and has the following options available. Items #2, #3, and #4 require prior approval from the Office of Human Resource Services.
  1. Oral Reprimand or Warning: Supervisor prepares a memorandum of record for departmental file.
  2. Written Reprimand, Warning, or Notification of Unacceptable Performance: Supervisor prepares a memorandum to the employee, obtains approval from the Office of Human Resource Services, and forwards a copy to the Office of Human Resource Services for inclusion in the employee's file.
  3. Suspension or Demotion: (*See Policy 8.30 (G) Termination and Just Cause*) Suspension of exempt employees will be for a minimum of 1 working day within a work week.
  4. Involuntary Termination: (*See Policy 8.30 (G) Termination and Just Cause*).
- D. Immediate (Temporary) Removal: The appointing authority may, with approval of the appropriate dean or vice president, and Office of Human Resource Services, immediately remove and place an employee on administrative leave with pay. This action may be taken when it is in the best interest of the university or it is necessary to remove an employee from the work site. Requests to place an employee on involuntary leave without pay must be submitted to the Office of Human Resource Services.
- E. Termination of Involuntary (Probationary, Temporary and Emergency Hires): Probationary, temporary, occasional and emergency hire employees may be terminated without cause by providing at least 24 hours notice. The termination of any such employee requires the prior approval of the appropriate dean or vice president and assistant vice president for human resource services. Probationary, temporary, occasional, or emergency hire employees have no entitlement or expectation to

continued employment during or beyond the probationary or appointment period.

- F. Termination - Demotion and Suspension (Involuntary) of (Nonprobationary Regular Employees): A supervisor may, after obtaining prior approval of the appropriate dean or vice president and the assistant vice president for human resource services, terminate, demote, or suspend an employee for just cause. All such actions will be submitted to the Office of Human Resource Services for review and prior approval. Normally, exempt employees will be given at least 10 working day's notification of the proposed action. Nonexempt employees will receive at least 5 working days. However, the supervisor, with prior approval of the cognizant dean or vice president, and Office of Human Resource Services, may immediately remove and place an employee on administrative leave with pay during the notification period. (See Policy 8.30 (D) Immediate (Temporary) Removal) After obtaining the necessary approvals, the supervisor may issue a notice of proposed disciplinary action. The notification will contain the following:
1. The type of action being proposed.
  2. The specific acts resulting in the proposed action.
  3. The effective date of the proposed action.
  4. A summary of the information used in support of the proposed action.
  5. A statement that the employee may respond to the action and allegations in writing or request a review hearing within 2 working days of receipt of the notice of proposed action.
  6. A statement that if the employee does not respond to the proposed notice or request a review hearing, the proposed action will become final and effective on the proposed date.
  7. A statement that a post-action grievance may be filed with the Office of Institutional Equity/OIE and Employee Management Services Office within 15 working days of receipt of the proposed notice (if the employee does not chose to respond to the notice or request a review hearing) or within 15 working days of receipt of the notice of final determination.

Should an employee respond in writing to the proposed notice and not request a review hearing, the supervisor will consider the employee's response and issue a final determination, after consultation with the Office of Human Resource Services. Should an employee request a review hearing, the immediate supervisor (or designee) of the individual issuing the proposed notice, and a representative of the Office of Human Resource Services, will meet with the employee within 2 working days of the employee's request. The employee may bring a representative to the hearing. If the representative is an attorney, the employee must so inform the human resources representative to allow the university time to arrange for its general counsel to be present at the hearing. The university reserves the right to have the general counsel present at any and all hearings. A final determination will be issued by the immediate supervisor (or designee) of the individual issuing the proposed notice, after consultation with the Office of Human Resource Services. Time limits specified may be changed should requests be made and/or circumstances warrant a revision.

- G. Just Cause (Nonprobationary Regular Employees): Employees may be terminated, demoted, or suspended for just cause which may be generally described as any conduct, action, or inaction, arising from, connected with, or impacting on the employee's work,



whether on or off duty, that is inconsistent with the employee's obligations to the employer; or conduct reflecting a disregard of the employer's interests, policies or procedures. Just cause includes, but is not limited to, inefficiency, unacceptable performance, incompetence, misconduct, negligence, insubordination, or conviction of a felony or misdemeanor under the provisions of the Criminal Offender Employment Act (Section 28-2-1, *et seq.*, NMSA 1978).

Although impossible to cite an all inclusive list of actions which constitute just cause, examples include but are not limited to:

1. Falsification of documents.
2. Threatening, assaulting, or abusive behavior towards a supervisor, student, employee, guest or customer of the university.
3. Sexual harassment of an employee, student, guest or customer of the university on or off campus which may explicitly or implicitly affect an employee's performance or unreasonably interferes with a person's employment or academic endeavors.
4. Jeopardizing the safety or health of an employee (including one's self), student, guest or customer of the university.
5. Dishonesty or intentional fabrication of events.
6. Negligent, incompetent, inefficient or unacceptable performance of duties.
7. Willful disregard of reasonable directives or policies or a defiant attitude of noncompliance toward regulations, directives or policies applicable to an employee.
8. Conduct that interferes with the efficient operation of the university.
9. Inability or unwillingness to perform the duties required of a position.
10. Possession or use of alcohol or illicit drugs, reporting to work under their influence, or being under their influence while on the job.
11. Possession of drug paraphernalia or stolen property.
12. Conviction or admission of a felony or certain misdemeanors.
13. Careless, negligent, improper, unauthorized, or malicious use of, or theft of, property, equipment, or funds.
14. Abuse of privileges.
15. Failure to report for work or to timely report justifiable reason for absence to the department head or immediate supervisor.
16. Repeated tardiness or poor attendance.
17. Misconduct which adversely affects the interest or reputation of the university or its employees.
18. Any repetition of offenses which resulted in a reprimand, warning, demotion, notification of unacceptable performance or suspension.

19. Job abandonment.

**8.40 Hiring** (*See Policies [4.30, Hiring](#); [5.15, Faculty Appointments](#)*)

**8.45 Layoffs and Recall** (*See also Policy [4.40 Layoff/Financial Exigency](#)*)

- A. Layoff, transfer and recall, due to a university wide financial exigency of positions funded from state appropriations as a line item, will be made in accordance with the Financial Exigency Policy contained in [4.40 Layoffs/Financial Exigency](#).
- B. Transfer, recall, and termination policy for employees (below the rank of director) who are facing termination for reasons other than a university wide financial exigency shall be as follows:
1. It is the policy of the university to attempt to transfer any non-probationary, satisfactorily performing employee who will be laid off as a result of a reduction in force, reorganization, or job elimination.
  2. Employees may be transferred to like positions for which they are qualified on the basis of seniority (i.e., service within both the university and the department, along with past work performance) as vacancies occur.
  3. Those individuals not transferred by their termination date will be placed on leave without pay in accordance with the policy stated under [7.20.85 Leaves - Without Pay](#).
  4. The university may recall non-probationary employees on a seniority basis whenever possible, with those having the most seniority and good work records recalled first. Recall rights are limited to the first 90 calendar days after layoff.
  5. The transfer or recall of employees to other positions may result in a different rate of pay, level, and job title.
  6. Specific plans for any area which is terminating employees will be prepared at the time of the layoff, reviewed by the assistant vice president for human resource services and approved by the executive vice president and provost.
  7. Salary and wage rate will be in accordance with Policy [5.25-Compensation \(Faculty\)](#) or Policy [8.15-Compensation \(Staff\)](#).
- C. This policy is not applicable to positions when wages are derived from external funds or other non-instructional type funding. Departmental layoff plans may be developed and submitted to the executive vice president and provost through the assistant vice president for human resource services for these positions, if necessary. All terminations due to a layoff must have the prior approval of the assistant vice president for human resource services and executive vice president and provost. Any employee whose position is federally funded, and who is facing involuntary leave due to a temporary federal financial shortfall, may choose to use annual leave or leave without pay during the required absence. Leave without pay requests should be processed in accordance with [7.20.85 Leaves - Without Pay](#).

**8.50 Performance Evaluation/Probationary Period** (*See also Policies [5.86 Performance Evaluations](#), [5.90.5.1, Performance Evaluation](#); and Policy [5.06, Administrative Reviews](#)*)[*Ratified by Board of Regents 10.22.07*] [*Amendment approved by Administrative Council 09.09.08; ratified by Board of Regents 07.29.09*]

- A. Initial Probationary Period (New Regular Employees): The probationary period is an essential part of the employment process and shall be used as an adjustment period for new employees and supervisors. Probationary employees have no entitlement or expectation to continued employment during the probationary period. During the probationary period, a new employee may be terminated with or without cause and without recourse to the pre- or post-action grievance procedures except in cases alleging discrimination. Probationary employees may be terminated by providing at least 24 hours notice after having obtained approvals from the assistant vice president for human resource services and the appropriate dean or vice president in accordance with Disciplinary Action in this chapter. A probationary employee may also resign without notice at any time during the probationary period. The initial probationary period is applicable to a new employee in any position to which appointed. The probationary period shall be the first 6 months of service for nonexempt employees and the first 12 months of service for exempt employees. Time served in a temporary, occasional or emergency hire status does not apply towards completion of the initial probationary period.
- B. Probationary Period (Promotion or Transfer) – Exempt Employees Only: Any employee promoted, transferred or reclassified (voluntarily or involuntarily) will serve an additional probationary period. The length of the probationary period shall be the same as defined in the section immediately above. Any employee promoted, transferred or reclassified (voluntarily or involuntarily) may be demoted and or transferred by a supervisor with or without cause and without recourse to the pre- or post-action grievance procedures by providing at least 24 hours notice after having obtained approval of the assistant vice president for human resource services.
- C. Probationary Period (Adjustment): The director/department head may request an exception to any probationary period. There may be cases in which employees demonstrate exceptional qualities that would permit reduction of the probationary period. Conversely, the type of work and an employee's performance may demonstrate a need for lengthening the period. Variations are normally limited to 3 months for nonexempt and 6 months for exempt employees. Any adjustment should be requested in writing 2 weeks prior to completion of the probationary period, supported by a performance evaluation, and forwarded to the Office of Human Resource Services for consideration.
- D. Probationary Period Evaluation Report (Applicable Only to Regular, Nonexempt Employees): Prior to completion of the probationary period, the supervisor completes the Performance Evaluation Form (*See Policy 5.86 Performance Evaluation*), and forwards it through channels to the Office of Human Resource Services for inclusion in the employee's personnel file. A Personnel Action Form should accompany the evaluation report if the employee is a new hire and was hired at the entry level. Normally evaluations with outstanding marks are reserved for employees who have consistently, over a period of time demonstrated outstanding performance.
- E. Probationary Period Salary Adjustment (Applicable Only to Newly Appointed Regular Nonexempt Employees): (*Policy 8.15 Compensation*)
- F. Performance Evaluation Completion Schedule: An evaluation should be completed:
1. After completion of a probationary period for nonexempt employees (may also be used for the annual evaluation if completed in December, January or February).
  2. Annually for purposes of allocating merit increases.
  3. Any time a supervisor considers an evaluation necessary.

4. Upon transfer of an employee to a new organizational unit.

G. Performance Evaluation (Nonexempt Staff):

1. Evaluations will be made on the approved Nonexempt Performance Evaluation Form.
2. The form will be completed by the immediate supervisor and then reviewed and signed by the appropriate second level supervisor prior to discussion with the employee. The employee will be provided with a copy of the completed form within 10 working days of the supervisor's signature.
3. The evaluator should discuss the evaluation with the employee to avoid the possibility of misinterpretation. (This discussion should occur after the reviewer has signed the form.)
4. The employee may discuss the rating with the reviewer prior to the evaluation being forwarded to the Office of Human Resource Services or being filed.
5. If the employee does not agree with the evaluation and does not want to go through a formal appeal procedure, the employee may prepare an addendum to the evaluation to be placed in the employee's personnel file within 15 working days after receipt of the evaluation form containing all necessary signatures.
6. In the event that a supervisor is not able to evaluate due to lack of longevity in the position or lack of knowledge about the employee, the supervisor may designate a responsible official to complete the Performance Evaluation Form. If this is done, the supervisor must co-sign the evaluation form with the designated official.
7. The employee's current supervisor is responsible for completing the evaluation process and may consult with previous supervisors of the employee in assigning evaluation scores.

H. Performance Evaluation (Exempt Staff):

1. Each major administrative unit should utilize a form approved by the assistant vice president for human resource services or the university approved form.
  2. All exempt employees will be evaluated at least annually. If performance becomes a concern, interim evaluations may be administered.
- I. Performance Evaluation Appeals: (Non-probationary Employees) An employee appeal may be forwarded in writing to the assistant vice president for human resource services within 15 working days of receipt of the evaluation form containing all necessary signatures. The appeal should state specifically what area(s) of the evaluation are being appealed and why. The Office of Human Resource Services will review the appeal and attempt conciliation. (See Chapter 4 Human Resources - General - Appeals). Performance evaluations with overall ratings of unsatisfactory, needs improvement or does not meet expectations may be appealed using the grievance procedure.)

**8.55 Promotion and Reclassification** (See also Policies 8.15 Compensation above, and 8.10 Career Development/Apprenticeship Training)

A. Internal promotion criteria for regular employees includes:

1. The promotion should be within a major organizational unit, such as a college or

vice president's area. Employing departments are encouraged to notify all employees in the organizational unit of the promotional opportunity.

2. The salary increase on promotion will be in accordance with the policy 8.15 Compensation. Nonexempt promotions of four or more grades and exempt promotions of three or more levels may require advertisement.
  3. New employees will not normally be considered for a promotion outside their current department until they have completed their initial probationary period. Requests for exception must have the written release of the current supervisor and approval of the Office of Human Resource Services.
  4. The employee must meet the minimum qualifications for the higher level position.
  5. In E-Hire Form should be submitted after the Office of Human Resource Services has determined that the employee meets all qualifications for the new position. The employee should be notified only after approval is received from the Office of Human Resource Services.
  6. The department that the employee is leaving initiates and forwards an E-Hire Form and leave records to the hiring department.
  7. Equal Employment Opportunity/Affirmative Action commitments will be considered during promotions.
- B. Reclassification of Positions: The level and/or grade of positions are determined by the Office of Human Resource Services as authorized by the executive vice president and provost. The Office of Human Resource Services may direct, through the executive vice president and provost, that duties be added, taken away or reassigned from existing positions in order to correspond with currently authorized levels and/or grades.
- A. Nonexempt Staff Positions:
1. A supervisor requesting to make significant changes in the duties and responsibilities of a position may prepare a Position Description Questionnaire detailing the characteristics, duties, responsibilities and minimum qualifications of the position in question. After obtaining the comments and signatures of the employee when appropriate, the department head/director, and the dean/vice president, the supervisor should forward the completed Position Description Questionnaire to the Office of Human Resource Services for a reclassification review.
  2. A regular non-probationary employee who has reason to believe a position is misclassified may request a classification review. The Position Description Questionnaire will be sent through channels to the Office of Human Resource Services. Supervisors should comment on the Position Description Questionnaire and forward through channels.
  3. Reclassification requests will be considered three times per year. Requests submitted in June, July, August, and September will be reviewed in October and effective in November. Requests submitted in October, November, December, and January will be reviewed in February and effective in March. Requests submitted in February, March, April, and May will be reviewed in June and effective in July.
  4. Reclassification requests of new or vacant positions are considered upon submission.

5. The director/department head and/or the employee may appeal the reclassification review decision to the assistant vice president for human resource services within 15 working days of receiving notification of the decision.
6. The decision of the assistant vice president for human resource services may be appealed within 15 working days to the executive vice president and provost, whose decision is final.
7. A nonexempt reclassification action which results in an upgrade of more than 3 grades is normally advertised except when there is no interim career grade or is specifically exempted by the Office of Human Resource Services. Reclassification of a position does not, however, guarantee promotion of an incumbent employee. If the incumbent does not have the experience, knowledge, skills or ability to perform the responsibilities of the reclassified position, the incumbent will be considered for transfer.
8. When a position is changed to a classification with a lower grade, the incumbent may be considered for transfer to an appropriate vacant position.
9. The employee's probationary status will not change.
10. Reclassification requests to change a position from nonexempt to exempt status may be submitted in accordance with the procedure outlined below for exempt positions.

**B. Exempt Staff Positions:**

1. A supervisor requesting to make major changes in level, title, responsibilities, or salary range of an exempt position may submit an exempt Position Description Questionnaire and a request in memorandum form through the Office of Human Resource Services to the executive vice president and provost for review and consideration.
2. A regular exempt non-probationary employee who has reason to believe a position is misclassified may request a classification review.
3. The director/department head and/or the employee may appeal the reclassification review decision to the assistant vice president for human resource services within 15 working days of receiving notification of the decision.
4. The decision of the assistant vice president for human resource services may be appealed within 15 working days to the executive vice president and provost, whose decision is final.

**8.60 Resignations** *[Amendment recommended by Administrative Council 03.09.11; approved by Board of Regents 03.14.11]*

- A. Notice Required for Resignation from the University: A nonexempt employee who desires to separate from university employment should submit a signed resignation statement to the appointing authority two (2) weeks prior to the intended resignation date.

Exempt employees should give thirty (30) days written notice prior to termination.

If the employee resigns by phone or is otherwise not available to submit a letter/notice of resignation, the supervisor should document all relevant information and forward to

the Office of Human Resource Services in accordance with applicable procedures.

- B. Notice Required for Intra-NMSU Career Moves: Employees who have accepted another position within NMSU should provide the notice referenced above to the department the employee is leaving, unless an alternative arrangement can be reached between the former supervisor and the new supervisor.
- C. Impact of Resignation to Benefits: All benefit coverages cease at midnight of the last day of the pay period in which the employee's separation from service date falls. Employees will be responsible for payment of the benefit premiums, if the employee's final paycheck is not large enough to cover the benefit deductions to maintain coverage through the last day of the pay period.
- D. Withdrawal of Resignation/Reinstatement of Benefits: At the discretion of the Office of Human Resource Services, in consultation with the appropriate supervisor and/or administrative staff, a resignation from an employee otherwise in good standing may be permitted to be withdrawn.

In the event a resignation is permitted to be withdrawn, employment benefits, including but not limited to seniority and accrued leave, may be reinstated, provided no more than five (5) business days have passed from the date of official cessation of benefits.

The decisions by the Office of Human Resource Services relating to requests to withdraw a resignation or for reinstatement of benefits may not be appealed.

## **8.70 Transfers**

- A. The university reserves the right to transfer or assign employees throughout the university as workloads and administrative judgment deem necessary.
- B. Two appointing authorities may laterally transfer, voluntarily or involuntarily, a nonexempt employee from a position in a classification and grade to another position in the same grade within a major organizational unit, such as a college or division with approval of the assistant vice president for human resource services.
- C. To cross college or division lines, a request must be made in writing to the assistant vice president for human resource services.
- D. Exempt employees may be laterally transferred voluntarily or involuntarily throughout the university with prior approval from the assistant vice president for human resource services and executive vice president and provost.
- E. The employee's education and experience should correspond with those required by the position being transferred to.
- F. A salary adjustment will not normally be awarded if the position to which employee is transferred is similar in overall duties and responsibilities.
- G. An E-Hire Form, leave records, and performance evaluation form will be submitted after approval for transfer has been obtained.
- H. Requests for transfer, initiated by nonexempt employees, will be made on a Transfer Request Form obtained in the Office of Human Resource Services. Each request will be evaluated by the merits of the situation.

- I. Employees with overall needs improvement or unsatisfactory ratings are ineligible for transfer consideration.
- J. Employees serving any type of probationary period may not transfer outside of their organizational unit without obtaining a written release from their current supervisor.

**8.75** **Workweek** (*See also* Policy [8.20 Compensatory Time/Overtime](#))

All nonexempt full-time personnel who are paid an annual salary on a monthly or bi-monthly basis shall be required to work 40 hours per week.



## **Chapter 9**

### **Facilities and Services**

- 9.04 Facilities and Services
- 9.05 Campus Planning
- 9.10 Capital Projects
- 9.15 Funding and Costs
- 9.20 NMSU Real Estate
- 9.25 Maintenance and Repair of Community Colleges and Off-Campus Sites
- 9.30 Miscellaneous
- 9.33 Vehicle Assignment Policy
- 9.34 Fleet Asset Management Program
- 9.35 Transportation Services-Rental
- 9.50 Use of Facilities & Space Management
  - 9.50.10 Use of Facilities - Pan American Center/Corbett Center - Special Events/University Activities
- 9.55 Utilities
- 9.60 Wayfinding and Signage

## CHAPTER 9- FACILITIES AND SERVICES

### 9.04 **Facilities and Services** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

Facilities and Services is funded by the state and by NMSU for the operation and maintenance of Instruction and General Space (“I & G”). It exists to provide courteous, responsive, cost-effective campus service by providing a broad range of campus support services. Its core mission is the management, operation, repair, renovation, and construction of the fixed physical assets of the university. All construction activity on university-owned facilities is mandated by state law to be done in accordance with applicable building codes. Should Facilities and Services become aware of any activity or work which does not meet building codes, that activity or work will be removed and the responsible department will bear the cost of all required remedial actions. In order to coordinate these construction activities and to protect the interests of the university, all contractors performing construction (as defined by the Construction Industries Division) on facilities owned by the University shall obtain the express permission from Facilities and Services. Only those entities licensed and acceptable to the Construction Industries Division and to the NMSU Facilities and Services shall be allowed to perform construction-related activities. Some construction projects may also require approval of the Higher Education Department and the State Board of Finance.

### 9.05 **Campus Planning (Master Plan)** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

Facilities and Services is charged with the responsibility for the development and maintenance of facility master plans for the main campus. In addition, Facilities and Services coordinates and assists the community campuses in the development of their master plans. All Master Plans must be submitted to and adopted by the Board of Regents.

### 9.10 **Capital Projects** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

- A. Authority of Facilities and Services: Facilities and Services is charged by the Board of Regents with the responsibility to plan, manage, and oversee all capital outlay construction projects for all locations within the university system. In addition, Facilities and Services will be responsible for any work which is competitively bid for a construction activity (as defined by the Construction Industries division).
- B. Authority Reserved to Board of Regents: All capital projects that fall under the following categories must be submitted to the Board of Regents for approval: (1) purchases of real property unless otherwise delegated pursuant to Policy 9.20; (2) any project which results in the addition of square footage, whether from the construction of a new facility or of building addition or of purchase or portable buildings; (3) any proposal to issue bonds; (4) any alteration or site improvement over \$300,000 for an institution with an FTE enrollment of over 1,500; and (5) any demolition of an existing building.
- C. Capital Projects Construction Contract Award: The Board of Regents authorizes the senior vice president for administration and finance (or designee) to act on its behalf to award construction contracts to the lowest responsible bidder consistent with applicable New Mexico or federal law. Any increase that causes the total project budget to exceed 10% of the amount originally budgeted shall be resubmitted to the Board of Regents for approval prior to authorizing the additional expenditure.
- D. Selection of Architects, engineers, landscape architects and surveyors: In order to assist the senior vice president for administration and finance in the selection of an architect and/or engineer for a capital outlay project, a Selection Committee established by Facilities and Services will solicit inquiries and screen potential firms through a Request for Proposal (RFP). This process shall be in accordance with New Mexico Procurement Code (13-1-28 through 13-1-199 NMSA 1978). The members of the Selection Committee will send individual evaluation sheets to the assistant vice

president for facilities and services for the three most qualified firms. The assistant vice president for facilities and services will review the assessments of the Review Committee members and develop a final tabulation sheet, which will be available for public review. The assistant vice president for facilities and services will then select a firm to design the capital outlay project with approval from the senior vice president for administration and finance.

The Board of Regents authorizes the university administration to select professional design firms to design small public works projects on campus. A small public works project shall be defined as one with fees between \$50,000 and \$100,000. The selection of these firms shall be through the same procedure as above and the number of firms selected shall be in accordance with NMSA 13-1-153 and NMSA 13-1-154. Utilization of services under these awards shall be administered through a University Professional Service Contract for each project and approved by the director of procurement services & risk management and the assistance vice president for facilities and services or their designee(s). These firms will be selected through the same procedure as detailed above and in accordance with New Mexico Procurement Code (13-1-28 through 13-1-199 NMSA 1978).

Architects and engineers may also be employed for small maintenance remodel projects via Professional Service Contracts as specified in the New Mexico Procurement Code (13-1-28 through 13-1-199 NMSA 1978) when approved by the director of purchasing and the assistant vice president for facilities and services.

The Board of Regents authorizes the university administration to negotiate architect's and/or engineer's fees in all cases. The senior vice president for administration and finance, in coordination with the assistant vice president for facilities and services, reserves the right to terminate any capital project contract for nonperformance of duties.

### **9.15 Funding and Costs** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

Facilities and Services is funded by the state and by NMSU for the operation and maintenance of Instruction and General (I&G) Space. Most routine maintenance services to I&G space are provided without charge by Facilities and Services, while as a general rule, non-routine maintenance activities are charged back to the customer. Services paid for by the NMSU entity that occupies the space are called billable services. Upon request, Facilities and Services will provide estimates for billable work. All services rendered in support of non-I & G buildings are billable. Services rendered in support of I & G buildings may or may not be billable, depending on the type of service. Facilities and Services publishes a detailed schedule of those services that are provided as well as a [schedule of billable services](#). Each year the State of New Mexico allocates funds to be used for the renovation, repair, and remodeling of I & G buildings and infrastructures at the university (BRR funds).

### **9.20 NMSU Real Estate** *[Amendment superseding former 9.20 (Lands) adopted by Administrative Council 06.13.06; ratified by Board of Regents 09.08.06] [Amendment to 9.20 A. (3) adopted by Administrative Council 05.09.08; ratified by Board of Regents 07.15.08] [Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11][Amendment recommended by Regents' Real Estate Committee 11.02.11; approved by Board of Regents 12.09.11][Amendment recommended by Administrative Council 02.14.11; approved by Board of Regents 03.12.12][Amendment recommended by Administrative Council 04.09.13; approved by Board of Regents 05.10.13]*

For the purposes of this policy, "NMSU real estate" is defined as all land owned or leased by NMSU. For purposes of this policy, a real estate "transaction", means any easement, lease, right-of-way, memorandum of understanding, letter agreement, use agreement, license agreement or other agreement that may increase NMSU's risk of liability or affect the use of, or interest in, NMSU real estate.

#### **A. Board of Regents' Authority:**

1. Titleholder: Legal title to all NMSU real estate (land, buildings, air rights, water rights and mineral rights) is vested in the Board of Regents, without regard to the academic or

administrative entity that occupies or otherwise uses the real estate.

2. **Authority to Convey Property:** The title to all property belonging to the university is vested in the Board of Regents as a corporate body. NMSA 1978, § 21-3-4. Pursuant to NMSA 1978, § 21-1- 20, the Board of Regents is authorized to buy, sell, lease, or mortgage realty and take such other action, in the best interests of the university.
3. **Retention of Authority:** The Board of Regents specifically reserves the authority to review and take action with regard to all transactions permanently affecting NMSU real estate, including all sales and acquisitions and encumbrances. The board delegate's authority and responsibility to the university president or designee to review, approve and execute the following types of real estate transactions:
  - a. Real estate transactions involving a term of less than ten (10) years, including any options to extend; and
  - b. Real estate transactions not to exceed a total university cost liability (excluding operating expenses) of \$100,000 per year; and
  - c. Real estate easements which grant a specific, limited use of real property for a term not to exceed ten (10) years. Such uses shall include agreements relating to access, utilities installations, data/telecommunications facilities, rights of way, ingress, egress, sanitary sewers, pipelines and drainage.

**B. General Policy Regarding NMSU Real Estate:**

1. **Collaboration between NMSU Offices:** The Office of Real Estate shall serve as coordinator for the academic and administrative units for all real estate transactions. Contacts from non-university entities regarding real estate shall be directed to the Office of Real Estate.
  - a. Each proposed real estate transaction of any type or nature shall be initiated by consultation with the director of the Office of Real Estate. Such consultation shall occur as early as possible in the planning process, in order to maximize the university's bargaining position, and in order for the Office of Real Estate to better provide the academic or administrative unit with guidance regarding the nature of the transaction and estimated time and cost needed for completion.
  - b. After the initial consultation with the Office of Real Estate, the academic and administrative units may make general inquiries and conduct general discussions with third parties; however, all official negotiations with property owners, developers, landlords, realtors, brokers and other third parties shall be conducted on behalf of the university by the Office of Real Estate.
2. **Philosophy:** NMSU is expected to preserve, enhance and maximize the productivity of its real estate assets. It is the policy of the university to preserve adequate land area for all foreseeable academic and support needs and to utilize to the best possible advantage to the university all land areas surplus to the academic and support needs.
3. **Purpose:** NMSU real estate, consisting of land, buildings, air rights, water rights and mineral rights, shall be acquired, used or disposed of consistent with the university's mission, strategic master planning efforts, and within approved budgets.
  - a. NMSU property shall not be made available for individual use or gain.
  - b. Acquisitions and gifts of interests in real estate shall not create excess risk of liability or financial exposure, shall support the university's mission, and are subject to acceptance by the Board of Regents.
  - c. NMSU real estate may only be sold or otherwise disposed of after determination by the affected department, the cognizant dean or vice president that it is in the best interest of the university, recommendation from the Regents' Real Estate Committee, if any, and approval from the Board of Regents, as well as compliance with other state requirements.
4. **Oversight of Physical Property:** Academic and administrative units are responsible for

ensuring that the real estate and/or space occupied by, or assigned to, them is being used in accordance with this policy.

5. **Minimization of Risk of Liability:** The risk of loss to the university shall be minimized with each real estate transaction. Each real estate transaction shall therefore be conducted in accordance with procedures established by the Office of Real Estate, and consistent with finance, purchasing, and other state law requirements.
6. **Deposit and Use of Proceeds:** Proceeds derived from the sale, lease or consideration for NMSU real estate interests are restricted and will be used for nonrecurring capital outlay items which are typically not funded from traditional sources. Specific proposals will be presented to the Board of Regents for approval before any commitments are made against these funds.
7. **Effect on Title:** Easements, leases, rights-of-way and other real estate transactions that may encumber NMSU's real estate shall:
  - a. Be limited to the specific purpose requested; and
  - b. Be limited to the minimum amount of land necessary for the proposed operation; and
  - c. Be limited to the shortest term that will accommodate the proposed operation; and
  - d. Be based upon fair market value or appraisal comparables to ensure that the university receives adequate consideration, if applicable.
8. **Periodic Needs Assessments:** Facilities and Services, the Office of Space Management, and the Office of Real Estate shall coordinate to conduct periodic reviews of real estate with the college and library deans, vice presidents, vice and associate provosts and directors to ensure their real estate needs are being met, and to identify any changes that may need to be made.

C. Responsibilities of NMSU Office of Real Estate:

1. **The University's Representative for Real Estate Transactions:** NMSU entities shall collaborate-rate regarding, and the Office of Real Estate shall oversee real estate transactions on behalf of the university. Such transactions include, but are not limited to:
  - a. Leases of real estate (regardless of ownership),
  - b. Acquisition and disposal of real estate or interests therein,
  - c. Enhancement and development of NMSU real estate,
  - d. Easements (regardless of ownership),
  - e. Rights-of-Way (regardless of ownership),
  - f. Memorandums of Understanding (relating to real estate),
  - g. Temporary Use Agreements, and
  - h. Access Agreements.
2. **Coordination with Other University Departments:** The Office of Real Estate shall ensure that each real estate transaction is reviewed by the affected department or administrative unit, and the cognizant dean or vice president; the Office of Administration and Finance, including the Office of Purchasing and Materials Management and Facilities and Services; and the Office of the University General Counsel prior to presenting for review to the university president or designee and approval by the Board of Regents. The Office of Real Estate may develop and require routing forms and checklists for this purpose.
3. **Lead Negotiator and Preparer of Documents:** Consistent with the legal opinion of the Office of the University General Counsel, and in coordination with the head of the affected academic or administrative unit, the director of the Office of Real Estate shall negotiate and prepare all real estate transactions for approval and signature by the Board of Regents.
4. **Repository of Original Documents:** The Office of Real Estate shall be responsible for the proper retention and safe storage of original real estate documents.

## 9.25 Maintenance and Repair of Community Colleges and Off-Campus Sites

Facilities and Services provides maintenance and minor modification support, on a reimbursable basis, to any community college or off-campus site. Due to distances involved, most of that support is limited to the Las Cruces area.

## 9.30 Miscellaneous

- A. Energy Conservation: Every building, both new construction and remodeled facilities will be designed to be energy efficient, using a minimum of electric power, steam, chilled water, and natural gas, and still provide the necessary interior environment to function successfully.
- B. Landscaping: In the planning of new campus construction, consideration will be given to preserving trees and shrubs growing on the construction site.
- C. Performance Bond Requirements for Contracts on Jobs Under \$20,000: For all building projects where the total expenditure will be less than \$20,000, no surety bonds shall be required of the contractor. In lieu thereof, should the contractor not desire to provide a performance bond, the contractor shall provide the Office of Purchasing and Materials Management Administration with the following:
  - 1. A guaranty of the performance of work executed by all principals, partners, owners, and shareholders of the contractor. The guaranty shall be on a form approved from time to time by the Office of Purchasing and Materials Management.
  - 2. At least one of the following in an amount not less than half of the total contract price:
    - a. A certified check from a bank or savings and loan doing business in New Mexico payable to the Board of Regents. This check shall either be held by or cashed by the university without interest due the contractor.
    - b. An irrevocable letter of credit from a bank or savings and loan doing business in New Mexico in favor of the Board of Regents.

In all such contracts where bonds are provided as set forth in this policy, at least 50 percent of the monies due the contractor shall not be paid by the university until after completion satisfactory to the university.

- D. Plaque Information: The names of regents and governors for inclusion on plaques are those serving at the time of the construction contract signing. In order to affix any plaque, particularly one of historical significance, to a university building, the approval of the central administration is required.

## 9.33 Vehicle Assignment Policy *[Policy adopted by Administrative Council 7.14.09; ratified by Board of Regents 07.29.09][Amendment recommended by Administrative Council 06.08.10; approved by Board of Regents 07.20.10]*

It is the intent of NMSU to own and operate the fewest number of motor vehicles as possible to achieve the mission of the university without creating a hardship for any college, NMSU entity, or process. Accordingly, this Vehicle Assignment Policy focuses on the most effective and efficient utilization of university-owned vehicles.

- A. Definitions and Terms:
  - 1. Daily Vehicle Assignment: A university vehicle under the exclusive control of an employee for the purpose of performing assigned work duties and responsibilities during the workday but generally not authorized for take-home use.
  - 2. NMSU Entity Vehicle: A university vehicle not assigned to an employee or part of the

## Transportation Services' Vehicle Fleet.

3. **Limited Vehicle Assignment:** A university vehicle under the exclusive control of an employee for the purpose of performing assigned work duties and responsibilities and authorized for take-home use limited to commuting.
4. **Police/fire Mission-Critical Vehicle:** Consists of emergency vehicles which include fully-equipped and clearly marked police and fire vehicles. When used for undercover work, this will include unmarked law enforcement vehicles. These vehicles will remain on campus during non-working hours unless prior authorization has been obtained.
5. **Vehicle Commuting:** The use of a university vehicle for traveling between the employee's home and the designated place(s) of work.

**B. Vehicle Assignment Requirements:**

1. The NMSU entities and their respective employees are responsible for ensuring the operation and maintenance of university vehicles is in compliance with the University's Fleet Asset Management Program, including the Vehicle Use Procedures.
2. Assignment of a university vehicle must be for the convenience of the university and not for the convenience of an employee. Personal use of a university vehicle, including vehicle commuting, is not allowed unless otherwise allowed per this Vehicle Assignment Policy.
3. Individual vehicle assignments shall be limited to the following: Daily Vehicle Assignment, Limited Vehicle Assignment or Police/Fire Mission-Critical Vehicle Assignment.
4. Eligibility for Daily Vehicle Assignment is restricted to employees meeting at least one of the following criteria:
  - a. Drive more than 6,000 business miles per year.
  - b. Position duties require daily travel to multiple destinations more than 10 miles from the employee's primary place of business.
  - c. Position duties require the routine transport of at least two (2) or more employees.
  - d. Position duties require the routine transport of specific equipment, materials, and tools necessary for the completion of assigned tasks.
5. Eligibility for Limited Vehicle Assignment is restricted to employees meeting the requirements of Daily Vehicle Assignment AND whose position duties routinely require travel directly to a remote site from his/her home at least two (2) times per week.
6. Police/Fire Mission-Critical Vehicles will only be operated during working hours by authorized operators. With prior approval, police and fire vehicles may be used for commuting and/or personal purposes when the assigned employee is required to respond to emergencies at the time of the vehicle is in use. Such anticipated commuting and/or personal use must be clearly outlined and approved on the Vehicle Assignment Authorization Form.
7. All University-owned vehicles must be returned to campus or the designated place of work when the assigned employee will be on leave for more than five (5) days. Any requested exception to this requirement must be clearly outlined and fully approved on the Vehicle Assignment Authorization Form.
8. When employees need to travel on university business and an NMSU entity vehicle is not available or appropriate, vehicle rental arrangements can be coordinated through the Office of Transportation and Parking Services or from a commercial rental agency. In addition, BPM Section 5C.05.55 addresses reimbursement of mileage for use of personal vehicles for conducting university business.
9. NMSU entity vehicles will be kept to a minimum.

C. Compliance and Approval Responsibility:

1. Employee vehicle assignments must be approved by the employee's dean/vice president and the senior vice president for administration and finance. Such approval shall be initiated by completing and submitting a Vehicle Assignment Authorization form available at: Vehicle Assignment Form.
2. The executive vice president and provost and the senior vice president for administration and finance will establish a maximum number of vehicles authorized for each NMSU entity. Purchase Requisitions which will increase the NMSU entity's assigned vehicles in excess of the authorized number will be denied.
3. Contract employees are exempt from this policy as contractual arrangements for these employees are handled on an individual basis.
4. When a university-owned vehicle is operated away from campus in a commuting or other personal capacity, the assigned vehicle operator will be required to submit the appropriate paperwork for determination of the taxability of the personal use. Refer to BPM Section 7.05 regarding personal use of university vehicles.
5. The Office of Treasury Services will be responsible for determining the appropriate valuation method to be used for tax reporting purposes. Such determination will be made at the time the vehicle assignment is approved and noted on the Vehicle Assignment Authorization Form.
6. No less than once a year, the Office of Transportation and Parking Services will provide the senior vice president for administration and finance with a vehicle listing including assignment type, annual mileage and eligibility status for continued assignment. Employees no longer eligible for a previously approved vehicle assignment will receive written notification.

**9.34**

**Fleet Asset Management Program** *[Policy Adopted by Administrative Council 09.13.05; Ratified by Board of Regents 09.08.06][Amendment Adopted by Administrative Council 06.08.10; Approved by Board of Regents 07.20.10] [Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

- A. Scope: The NMSU Fleet Asset Management Program is applicable to all NMSU entities within the NMSU system, with regard to vehicles registered to NMSU and licensed by the State of New Mexico.
- B. Responsible Administrator: The director of transportation and parking services administers this Program throughout the NMSU System, as outlined below.
- C. Definitions:
  1. "Vehicle" refers to any vehicle or device that is propelled by an internal combustion engine, electric or other power that is used or may be used on the roadway for the purpose of transporting persons or property, including connected trailers.
  2. "NMSU Entity" refers to a department or other administrative unit within an NMSU college or campus, including but not limited to the library, extension service, and experiment stations. Private not-for-profit corporations affiliated with NMSU for fundraising, research, public service, or student activity purposes, while possibly subject to follow applicable NMSU policy to maintain their recognized status, are not "NMSU entities".
- D. Related Policies and Procedures:
  1. Vehicle Assignment Policy 9.33;
  2. New Mexico State University Business Procedures Manual, "Office of Purchasing and



## Materials Management Chapter 4, Section 45. Vehicles

3. NMSU Vehicle Use ProceduresE. Fleet Management Policy:

1. **Authority and Responsibilities:** The director of transportation and parking services is responsible for planning, coordinating, implementing, and enforcing the Fleet Asset Management Program. Responsibilities include, but are not limited to:
  - a. Serving as the central point of contact for NMSU fleet management, reporting vehicle data, responding to inquiries about vehicles, processing addition/replacement requests, and ensuring compliance with federal, state and university policies and procedures, as they relate to the vehicles operated by the university;
  - b. Coordinating fleet management decisions regarding acquisition and replacement, maintenance and repair, utilization, and vehicle disposal;
  - c. Reviewing reported inappropriate use of university vehicles;
  - d. Reviewing departmental vehicles surrendered for either, interdepartmental transfer or disposal by the NMSU property office;
  - e. Maintaining current information relating to manufacturer recall notices, safety issues, industry “best practices” and responding in order to maintain safety.
2. **Acquisition and Use:** The purchase or acquisition of vehicles shall be consistent with the purchasing or other applicable law or regulations of the State of New Mexico. In order to facilitate the university’s mission, the following methods are offered to obtain vehicles:
  - a. **Vehicle Purchases.** All new or used vehicle acquisitions will be made by the Office of Purchasing and Materials Management after approval by the director of transportation and parking services. An NMSU entity interested in the purchase or acquisition of a new vehicle will prepare and submit a completed Vehicle Acquisition Request form to the director of transportation and parking services that includes the following:
    - i. Signature approval by the vice president or dean responsible for the unit or department where the vehicle will be assigned;
    - ii. Explanation of the purpose(s) and proposed use of the vehicle;
    - iii. Type of vehicle required;
    - iv. Identification of the vehicle to be traded in or replaced, if applicable;
    - v. Location where the vehicle will be placed into service.

The director of transportation and parking services will review the request and ensure the overall authorized number of university fleet vehicles is not exceeded by the acquisition.

- b. **Surplus/Excess Vehicles:** The director of transportation and parking services will review and approve requests to acquire surplus vehicles through the State Surplus Office or directly from other state agencies prior to acquisition. An NMSU entity interested in acquisition of a surplus/excess vehicle will prepare and submit a completed Vehicle Acquisition Request form to the director of transportation and parking services.

The director of transportation and parking services will review the request and ensure the overall authorized number of university fleet vehicles is not exceeded by the acquisition.

Acquisition of vehicles through Federal Excess Property programs must follow the same process as surplus/excess vehicle acquisition. Vehicles acquired through Federal Excess Property Programs remain the property of the federal government and are on loan to the college or unit authorized to acquire federal excess property. This property is governed by federal regulation and the sole responsibility of the college or unit to which it is assigned.

The director of transportation and parking services is responsible for ensuring the evaluation of all newly acquired vehicles to assess their condition, road worthiness, and

safety. The director will forward appropriate recommendations, as may be necessary, for repairs and/or to ensure the vehicle complies with university standards prior to possession by the NMSU entity.

All costs for the vehicle acquisitions, to include screening, transportation costs, and associated maintenance costs, will be borne by the department or unit where the vehicle is assigned.

- c. **Vehicle Rental:** To satisfy the university's short-term vehicle requirements, the Office of Transportation and Parking Services operates a rental fleet of vehicles which originate on the Las Cruces campus.
  - d. **Interdepartmental Transfers:** All interdepartmental vehicle transfers shall be approved in advance by the director of transportation and parking services. NMSU Entities interested in an intra-university transfer or acquisition shall submit a completed Vehicle Acquisition Request form to the director of transportation and parking services.
  - e. If the acquisition is approved by the director of transportation and parking services, the acquiring department will then complete an Inventory Change Form and forward it to the Office of Administration and Finance. The Office of Administration and Finance will forward the form to the director of transportation and parking services, who will arrange for the inspection of the vehicle, and for any additional action needed.
3. **Vehicle Replacement Criteria:** The director of transportation and parking services will review, modify or establish, as appropriate, vehicle replacement criteria using industry best practices, including life-cycle cost analysis, in order to develop cost effective replacement of vehicles.
  4. **Alternative Fuel Program:** The State of New Mexico mandates that seventy-five percent (75%) of all vehicles purchased or leased by state agencies or institutions of higher education be capable of using an alternative fuel or are a hybrid (gas/electric) type of vehicle. *See* NMSA 1978, § 13-1B-3(A). It is the responsibility of the director of transportation and parking services to report on compliance with these state requirements, as well as with any applicable federal requirements.
  5. **Maintenance:** A preventative maintenance program is paramount to protecting the university's fleet investment and ensuring the university's vehicles are managed in a safe, cost-effective manner. The director of transportation and parking services will establish maintenance schedules defined by the manufacturer or in accordance with industry accepted practices. Each department is responsible for following the prescribed preventative maintenance schedule for each vehicle assigned to that department

### **9.35 Transportation Services-Rentals** *[Amendment ratified by Board of Regents 9.08.06] [Amendment adopted by Administrative Council 06.08.10; approved by Board of Regents 07.20.10]*

Rental vehicles are available through the Office of Transportation and Parking Services. These vehicles are provided for university-related business, and are to be driven only by university employees, students, agents of the university, or volunteers, in the performance of their duties. All operators shall have in their possession an appropriate, current class license to operate a motor vehicle in the State of New Mexico, and an NMSU Driving Permit as issued by the Office of Environmental Health and Safety.

Authorized drivers are those who have met the requirements as set forth in Section III of the University's Vehicle Use Procedures. Passengers are limited to university employees, students participating in authorized trips, and invited guests engaged in university related activities. Students who are not university employees, that drive a university vehicle, must be affiliated with a university chartered organization and involved in a university-related event.

Responsibility for the safe and appropriate use of state vehicles is delegated by the Office of Transportation and Parking Services to the driver who signs for the vehicle on the rental agreement. This includes ensuring that any additional drivers are in compliance with Section III of the Vehicle Use Procedures and familiar with the rental policies.

- A. Insurance: State employees are covered by workers compensation as drivers or passengers. It is important to note that all non-employee drivers or passengers, to include “volunteers” have no insurance coverage to include medical payments while in a state owned vehicle. Persons desiring such coverage need to make appropriate arrangements if their personal insurance policies do not provide it. All authorized drivers are protected by state liability coverage.
- B. Mexico Trips: Any trip into Mexico MUST be fully insured by a Mexican Insurance Company prior to ANY travel across the border, including Juarez. Mexican insurance must be obtained and a copy presented to Office of Transportation and Parking Services.

## 9.50 Use of Facilities & Space Management

- A. Academic Purpose: Classrooms and other academic space at the university will be used primarily for academic purposes for the benefit of an academic program.
- B. Limited Non-Academic Use: Under limited circumstances, academic areas may be used for non-academic purposes. The goals of the organization wishing to use the facilities must be consistent with the mission and goals of the university. Large-scale events or those with liability concerns might require the presence of an organizational advisor and/or liability insurance. Building use fees may be charged as follows: (1) recognized university organizations will not be charged a fee; (2) not-for-profit organizations may be charged a minimal fee; and (3) for-profit ventures will be charged a fee.
- C. Personal Gain and Competition with NMSU Prohibited: University facilities may not be used to teach students for private gain or in programs which compete directly with university-supported programs.
- D. Keys and Locks: Employees of Facilities and Services are instructed not to open locked doors for any individual. The locksmith shop will respond and open doors upon confirming the identification of the requestor and securing permission from the department head. Any new keys will be delivered to the department head for issuance.
- E. Use of Community College Facilities: The community college campus executive officers are responsible for assigning space in the following priorities: academic instruction, continuing community education sponsored by the community college, student organizations, and community organizations. The campus executive officers are authorized to refuse use of the facilities on a case-by-case basis and charge a user fee as deemed necessary.
- F. Space Management: It shall be the policy of the Office of Space Management to provide the data and analysis to ensure that all space owned by the Board of Regents of NMSU is being used to its full potential and allocated fairly. Any proposed or requested change in how space is allocated between colleges and/or any other major administrative unit must be forwarded to the Office of Space Management and to Facilities and Services for analysis and recommendation as part of the approval process.

### 9.50.10 Use of Facilities - Pan American Center/Corbett Center

- A. The director of special events is responsible for management, operation and supervision of events conducted in the Pan American Center and also serves as the advisor to, and manager of, the ASNMSU concert and cultural programs.
- B. The Pan American Center is designed to accommodate athletic events, concert and theatrical presentations, public assemblies, commercial events, conventions and other special events. Use of the facility may involve rental or service fees, and requests for space should be directed to the Office of Special Events.
- C. As a matter of policy, Pan American Center does not lend or provide its furnishings and equipment to others for outside use except in those cases where specific equipment is intended for use on a rental basis.

- D. All entertainment held on campus by the ASNMSU, other student organizations, or the university itself, with contractual agreements in excess of \$2,000, shall be negotiated and coordinated through the director of special events or the advisors of ASNMSU, in cooperation with the organization advisor and officers. Such agreements of \$2,000 or less may be coordinated and negotiated by the organization advisor in cooperation with the director of campus activities. In all cases, contractual agreements for live entertainment shall be processed through the appropriate staff member noted above to the assistant vice president for auxiliary services, who is the only designated authority to sign such contracts on behalf of the university. Legal review necessary to any contract shall be initiated by the assistant vice president for auxiliary services.
- E. The university police department shall evaluate and approve/disapprove requests for special activities to be held on property under the control of the Board of Regents.
- F. All requests, exceptions, and interpretations of this policy will be managed by the chief of police (or designee), including determinations of staffing, traffic patterns, and special precautions.
- G. All costs incurred because of the event shall be charged back to the sponsor of the event.
- H. The decision of the chief of police may be appealed to the assistant vice president for human resource services. The decision of the assistant vice president for human resource services in these matters will be final.

**9.55 Utilities** *[Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

Facilities and Services oversees the acquisition, production, distribution, and management of most campus utility systems. These include domestic water, sanitary sewer, electric power, chilled water, steam, geothermal water, natural gas, and emergency power. The utility costs for Instructional and General purpose space are funded by the State of New Mexico and by NMSU via I & G appropriations. All other facilities and utility consumers are expected to reimburse the university for the cost of providing the utilities used.

- A. Utility Connections: Utility systems are integral to the well being of the campus. No modification or connection to a utility distribution system is authorized unless approved by the executive director for operations in Facilities and Services and either accomplished by or directly supervised by Facilities and Services.
- B. Utility Locates: In accordance with the New Mexico legislation (SFL/SB 415), anyone excavating or preparing plans for excavation on NMSU property shall request a utility locate a minimum of 2 working days prior to commencing excavation, in order to ensure all locators are informed of the locate request with sufficient time allowed to make their locates. Therefore, the time limit does not commence until both parties listed above are notified. Anyone excavating or preparing plans for excavation are required to provide information regarding the commencement, extent, and duration of the excavation work.

The utility locate performed and communicated shall be considered valid for 5 days. If excavation has not commenced within that time, a request for a relocate shall be made in accordance with the above. A minimum of 18 inches must be maintained between any marked utilities and the cutting edge or point of any mechanical excavating equipment. Existing utilities must be protected during the excavation. The owners of any utilities damaged or dislocated during the excavation work must be notified prior to backfilling. The owners must also be notified of any tracing tape or tracing wire damaged or dislocated during the excavation work, prior to backfilling.

- C. Utility Outages: Facilities and Services will normally provide 2 weeks' notice for all planned utility outages that impact campus facilities. Any activity that will require an outage must be requested in accordance with Facilities and Services procedures. On some occasions, emergency situations may require an unplanned utility outage and Facilities and Services will repair the situation and restore utility service as soon as is possible.

- D. Utility Tunnels: The university owns an extensive network of utility tunnels that exist for the sole purpose of providing a conveying utility systems to and from campus facilities. Access to those tunnels must be specifically approved by the executive director of operations (or designee) at (575) 646-2101. The tunnels are potentially dangerous spaces and safety regulations shall be followed by any person that enters these areas. Any installation of additional equipment or devices in the university utility tunnel system shall receive prior written approval from the executive director of operations in Facilities and Services.

**9.60 Wayfinding and Signage Policy** *[New policy adopted by Administrative Council 11.14.06; ratified by Board of Regents 07.20.10] [Amendment recommended by Administrative Council 07.27.11; approved by Board of Regents 08.22.11]*

- A. Purpose: To establish parameters for a unified graphic design to be used on all signage at NMSU's Las Cruces campus, in order to provide a sense of welcome, security and comfort to students and visitors as they navigate the campus.
- B. Policy Administrator: This policy is administered by Facilities and Services.
- C. Rationale and Objectives:
1. The goals of the NMSU Wayfinding and Signage Program are to implement a cohesive graphic identity throughout the entire Las Cruces campus by Facilities and Services. The look and style of the signs applied uniformly and accurately will create a positive first impression by displaying graphics that will assist students and first-time visitors with navigating the campus and by providing them with a sense of welcome, security and comfort.
  2. This document establishes parameters and provides guidelines that will maintain a unified look for all signage on campus. Collaboration and participation by interested parties (administrative staff, architects, sign designers, interior designers, campus project managers, etc) will ensure that the system remains uniform and cohesive. The design of the signage will incorporate the guidelines from the branding initiative.
  3. The Wayfinding and Signage Program is all encompassing. It includes directional signs from roadways, to parking, to pedestrian activities, to buildings and ultimately to final destinations. The guidelines serve the entire Las Cruces campus and will be applied to new construction as well as modifications to existing buildings.
  4. Roadway signage will emphasize the main campus entrances and clearly identify visitor information destinations. Parking lots will be clearly marked, and campus maps and directories will be strategically placed at pedestrian entry paths adjacent to parking lots.
- D. Required Architectural Signage: Campus buildings will have architectural signage as follows:
1. Building Identification/dimensional letters - with the official name of the building as approved by the Board of Regents placed near the main entrance(s). Address numerals may also be utilized (numerals only). All letters on buildings will be a standard size as noted in the signage guidelines.
  2. Building Identification/freestanding sign - with name of building, one name per building, as defined by the Naming Committee, placed near the main entrance or near the primary walkway to the main entrance in instances when the front door is obscured or when there is no appropriate location on the architecture for dimensional letters. One line of descriptive text may also be applied to the sign when needed or feasible, as defined by the Naming Committee. Address, with numerals and street name only, may also be applied to the sign panel. Signs may be single sided when parallel to the building or double faced when perpendicular to approaching traffic.
  3. Building Directories/wall mounted - Tenants and sub-tenants of buildings will be listed on building directories as shown in the signage guidelines. Facilities and Services will provide

information and assist building managers with implementing the directory signage through the NMSU Sign Shop. Directories are recommended in lobbies of buildings at primary entrances on the first floor or ground level. Secondary directories, such as floor directories and/or elevator lobby directories, can provide further opportunity to guide visitors and provide tenant information.

4. All appeals pursuant to this policy should be directed through the university architect to the Campus Planning Committee.

## Appendices

- 1-A Highlights from New Mexico Law Authorizing and Defining NMSU and NMDA
- 1-B Link to President's Signature Authority Table *[Note: Former Appendix 1-B was superseded by the President's Signature Authority Table, reflecting delegations of transactional approval and signature authority, now linked directly from within revised Policy 1.05.30.]*
- 1-C Link to Institutional Organizational Chart
- 1-D Constitution of the Faculty Senate
- 1-E Constitution and By-Laws of the NMSU Employee Council (fka ACAP)
- 1-F Official List of University Boards *[Note: Former Appendix 1-F was superseded by new Policy 1.05.90 recommended by Administrative Council 12.14.10; approved by the Board of Regents 01.31.11; See NMSU Official List of University Boards, maintained by the Office of the Chief of Staff.]*
- 1-G Audit and Budget Committee Charter
- 4-A Faculty Grievance Review Board Flow Chart
- 5-A Flow Chart - Academic Program/Unit Change
- 5-B Flow Chart - Nonacademic Program/Unit Change
- 5-C Faculty Discipline Appeal Flow Chart Policy 5.47

**1-A Highlights from New Mexico Law Authorizing and Defining NMSU and NMDA:**

*[Note: there are many other state, as well as federal, laws and regulations that apply or otherwise relate to the specific areas governed by New Mexico State University and by the New Mexico Department of Agriculture; this is only a partial listing, relative to the general grant of authority to the Board of Regents.]*

**N. M. Constitution, Article XII, Section 3. Control of Constitutional Educational Institutions; Use of State Land Proceeds and Other Educational Funds.**

This section provides that the universities provided for in the constitution shall forever remain under the exclusive control of the state, and that proceeds from the sale of lands or from any other funds appropriated, levied or collected for educational purposes, shall not be used for the support of any sectarian, denominational or private school, college or university.

**N.M. Constitution Article XII, Section 11. State Educational Institutions.**

This section identifies the state's many and various educational institutions, including New Mexico State University, and clarifies that property and funds held in trust for them, or hereafter to be granted or conveyed to them, shall be paid to them.

**N.M. Constitution, Article XII, Section 13. Board of Regents for Educational Institutions.**

This section provides that with the exception of UNM's seven member board of regents, the legislature controls and manages the state's educational institutions through five member boards of regents. Four members shall be qualified electors of the state of New Mexico and one shall be a member of the student body, and no more than three shall be members of the same political party. The governor nominates, and with the consent of the senate, appoints each member. Non-student members serve six years and student members serve two years. The student body nominee is selected from a list submitted by the president of the institution, after consideration of the recommendation of the student body president.

Members of the board shall not be removed except for incompetence, neglect of duty or malfeasance in office, after notice of hearing and an opportunity to be heard having first been given such member. The supreme court of the state of New Mexico is hereby given exclusive original jurisdiction over proceedings to remove members of the board under such rules as it may promulgate, and its decision in connection with such matters shall be final.

**N.M. Constitution Article XV, Section 1. Department of Agriculture.**

This section establishes the Department of Agriculture and provides that it shall be under the control of the Board of Regents of NMSU. It further states that the legislature shall provide the department with lands and funds necessary for experimental farming and demonstrating.

**NMSA 1978 § 21-8-1, Objects, Admission, Rules and Regulations.**

This section provides that NMSU shall be open to the children of all the residents of this state, and such other persons as the Board of Regents may determine, under such terms, rules and regulations as may be prescribed by said Board of Regents; shall be nonsectarian in character and devoted to practical instruction in agriculture, mechanic arts, natural sciences connected therewith, as well as a thorough course of instruction in all branches of learning bearing upon agriculture, and other industrial pursuits.

**NMSA 1978, §21-8-2, Construction of other names for college used in statutes.**

This section clarifies that references to "agricultural college of New Mexico," "agricultural and mechanical college," "college of agriculture and mechanic arts," "agricultural college," or "state college," or "New Mexico agricultural college," or any other similar designation shall be construed to refer to New Mexico State University.

**NMSA 1978, § 21-8-3. Curriculum; management vested in board of regents; number and qualifications; corporate style and powers; quorum.**

This section sets forth certain courses of instruction for NMSU and authorizes the Board of Regents to prescribe others. Charges the Board of Regents with the fiscal care and management of all aspects of NMSU, and grants the authority to the Board to cause all things to be done necessary to carry out the provisions of law. Board can sue and be sued. Provides that qualifications to serve as member of the NMSU Board of Regents are the same as to serve as member of the UNM Board of Regents. The board shall take action as a body corporate. A majority of the board's members constitute a quorum for the transaction of business.



**NMSA 1978, §21-8-4, Officers.** The officers of NMSU shall be the same, be elected in the same manner, at the same time, perform like duties, and possess the same qualifications, as is provided for the officers of the university of New Mexico:

**NMSA 1978, § 21-7-5.**

This section for UNM, applicable to NMSU through the above cited statute, provides that election of officers occurs on the second Monday in March each year; Officers to be elected include a president and a secretary and treasurer. The person elected secretary and treasurer shall execute a sufficient bond to the state of New Mexico, to be approved by the governor and filed with the secretary of state, prior to taking office. Officers elected hold their offices until their successors are duly elected and qualified.

**NMSA 1978, § 21-7-6.**

This section for UNM, applicable to NMSU through the above cited statute, provides that the president of the Board of Regents presides at all meetings and signs all instruments required to be executed by the board. The president appoints committees of the board. When the president is absent, the board appoints a president pro tem. The secretary/treasurer attests all instruments required to be signed by the president and keeps an accurate record of all proceedings.

**NMSA 1978, § 21-8-5. Powers and Duties of Board of Regents.**

The Board of Regents has broad authority to control all monies belonging to NMSU and the New Mexico Department of Agriculture, and to make all rules and regulations necessary for the government and management of same.

**NMSA 1978, § 21-8-6. Rules; Calling Meetings of Board of Regents**

It is the power and duty of the Board of Regents to adopt rules to govern the university. The regents prescribe the manner in which meetings are called.

**NMSA 1978, § 21-8-7. Course of Instruction; Books; Diplomas And Degrees; Removal of Officers.**

The faculty of the several departments are entrusted with the immediate government of their respective departments, with the Board of Regents regulating the course of instruction, and prescribing, under the advice of the faculty, the teaching materials to be used, and conferring the degrees and diplomas. The regents have the authority to remove any NMSU officer when in their judgment, the best interests of the university requires it.

**NMSA 1978, § 21-8-8. Agricultural and Horticultural Laws; Administration and Enforcement Vested in Board of Regents; Inspectors and Agents.**

NMSU Board of Regents supervises, administers and enforces all laws relating to agriculture, agricultural projects, horticulture, feeds and feed stuffs, insect pests, plant diseases and such subjects pertaining to agriculture and horticulture as the legislature shall hereafter provide, and shall have power to delegate inspectors and agents to assist in the enforcement of such laws.

**NMSA 1978, § 21-8-9. Agricultural Experiment Station; Direction; Federal Benefits.**

Confirms the Board of Regents' authority to supervise and to receive funding for the agricultural experiment station in accordance with the terms of Section 1 of an act of congress approved March 2, 1887 [7 USCS § 361a ], which confirmed provisions of an earlier act approved July 2, 1862 and amendments thereto.

**NMSA 1978, § 21-8-10. Contracts for Acceptance and Administration of Funds.**

This is one of many statutes granting certain authority for the conduct of business to the Board of Regents, as the New Mexico Department of Agriculture, to contract with the United States, the state of New Mexico; or their agencies, corporations, foundations and private persons to receive, accept and administer funds or other assets upon such terms and conditions and for such purposes, as it shall find appropriate.

Many additional statutes granting specific types of authority over various agricultural subject matters may be found in the New Mexico Statutes Annotated, primarily, but not exclusively, in Chapter 76.

**NMSA 1978, § 76-1-1, Creation of the New Mexico Department of Agriculture under the Control of the Board of Regents of New Mexico State University.**

This section establishes the creation of the New Mexico Department of Agriculture under the control of the Board of Regents of New Mexico State University.

**NMSA 1978, §76-1-2, Powers and Authority of Board of Regents.**

This section grants the following powers and authority to the Board of Regents of New Mexico State University, relative to the New Mexico Department of Agriculture:

- A. Administer and enforce all laws of this state over which the board of regents or its agents have been granted jurisdiction and authority;
- B. Adopt rules of procedure for the adoption of regulations;
- C. Adopt, and file in accordance with the State Rules Act [14-4-1 NMSA 1978], regulations as may be necessary to carry out its duties;
- D. Administer or enforce, through the department of agriculture, all regulations adopted by the board of regents;
- E. Cooperate and enter into contracts or agreements with local, state and federal government agencies or with any other person to assist the carrying out of the duties of the New Mexico Department of Agriculture;
- F. Employ and fix the salaries of employees of the New Mexico Department of Agriculture;
- G. Institute legal proceedings in any court of this state, of any other state or of the United States;
- H. Certify to the appropriate district attorney or to the attorney general of New Mexico any violation of the provisions of law or any rules and regulations administered and enforced by it, when necessary to carry out its duties;
- I. Accept and administer on behalf of the New Mexico Department of Agriculture such grants, subsidies, donations, allotments or bequests as may be offered to the state, by the federal government or any department thereof or by any public or private foundation or individuals;
- J. Accept and administer funds or other assets for the New Mexico Department of Agriculture;
- K. Make and perform or direct the performance of such inspections and analyses as are necessary to carry out its duties;
- L. Issue or direct the issuance of such licenses, permits and other documents as are necessary to carry out its duties;
- M. Authorize the New Mexico Department of Agriculture to establish and publish a schedule of fees and collect those fees to recover the cost of services performed at the request of a person or firm. Fees imposed shall be just and equitable and shall not exceed the department's cost for performing the service; and
- N. Do all other things necessary as permitted by statute to carry out its duties.

**NMSA 1978, § 76-1-3, Director of NMDA; Salary; Duties.**

This section provides that in order to execute its functions relative to the NMDA, the Board of Regents shall appoint and fix the salary of a full-time director of the New Mexico Department of Agriculture. The director shall administer, execute and implement the directives and policy decisions of the Board of Regents and its agents, and shall serve as a representative of agriculture on the Governor's Executive Cabinet, as provided in the Executive Reorganization Act [9-1-1 to 9-1-10 NMSA 1978]. The director shall serve at the pleasure of the said Board of Regents.

**1-B Signature Authority Table** *[Note: Former Appendix 1-B was superseded by the President's Signature Authority Table, reflecting delegations of transactional approval and signature authority, now linked directly from within revised Policy 1.05.30.]*

## **1-C Organizational Chart**

For an overview of the university's organizational hierarchy, please *see* [Organizational Chart](#) maintained by the Office of Administration and Finance. Organizational charts for each college, department or other NMSU entity may be available at that entity's website.

## **1-D Constitution of the Faculty Senate**

### **CONSTITUTION OF THE FACULTY SENATE OF NEW MEXICO STATE UNIVERSITY**

(As ratified by the general faculty and reported to the Faculty Senate on July 18, 1961; amended by the general faculty and reported to the Faculty Senate on November 16, 1984 and January 14, 1988; amended by the general faculty and reported to the Faculty Senate on January 14, 1993 [bylaws] and April 4, 1993 [constitution]; amended by votes of the general faculty October 1995, October 2004, December 2004, December 2005, October 30, 2008, and May 5, 2011; amended by the general faculty and reported to the Faculty Senate on September 6, 2012.)

#### **ARTICLE I – NAME**

The name of this organization shall be the Faculty Senate of the New Mexico State University. For the purpose of this constitution, the term “faculty” shall refer to any individual who is tenured or holds a tenure-track or regular nontenure-track position and is not retired.

#### **ARTICLE II – FUNCTIONS AND POWERS**

Section A: The Faculty Senate shall have legislative jurisdiction over policies affecting the university’s academic mission in regard to teaching, research, service, outreach and extension.

Section B: Legislation which is passed by the Faculty Senate that affects the University Policy Manual or other policy documents shall be sent to the University President who must act on it in accordance with Section 1.05.70 of the Policy Manual. Legislation which is passed by the Faculty Senate that does not affect the Policy Manual or other policy documents shall be sent by the Faculty Senate Chair to the appropriate party(ies) at the discretion of the Faculty Senate Chair.

Section C: The Faculty Senate shall have authority to determine its procedures and the procedures of its committees.

#### **ARTICLE III – COMPOSITION AND PERSONNEL**

Section A: The Senate shall be composed of three categories of members: (1) the elected Chair of the Faculty Senate; (2) 60 elected senators; and (3) ex officio nonvoting members as specified in a bylaw of the Faculty Senate. Of the 60 elected senators, 54 shall be tenured or tenure-track faculty: 4 shall be from the NMSU community colleges (1 from each community college existing in 1982); 3 shall be from the Cooperative Extension Service; 1 from the university Library; and the remaining 46 tenure-track members shall be divided into 2 categories, 23 elected from the colleges in proportion to the number of majors enrolled (both graduate and undergraduate) and attending the main campus academic departments, and 23 elected from the colleges in proportion to the number of tenured or tenure-track faculty in the main campus academic departments in each college. The remaining 6 members shall be regular nontenure-track faculty members: 1 representing all 4 NMSU community colleges; 1 from the Cooperative Extension Service; and 4 nominated and elected at large from the main campus, with the following stipulations: a) no more than 1 nontenure-track representative from any department may serve at the same time, and b) no more than 2 nontenure-track representatives from any of the senate electing groups as defined in Article VI, Section A may serve at the same time.

Section B: For colleges in which the number of departments exceeds or equals the number of elected senators, no more than one elected senator shall serve from a single department. For colleges in which the number of departments is less than the number of elected senators, there shall be at least one elected senator from each department.

#### **ARTICLE IV – ELECTION OF SENATORS**

Section A: The Faculty Senate consists of 10 representative groups. Six representative groups consist of tenured and tenure-track faculty from the Las Cruces Campus’s six colleges. Three representative groups consist of tenured and tenure-track faculty from the Community Colleges, the Cooperative Extension Service, and the University Library. One representative group consists of non-tenure track faculty. For the purposes of defining the representative groups, faculty with appointments in the Agricultural Experiment Station are considered members of the College of Agriculture, Consumer, and Environmental Sciences. Faculty, as defined in Article I, may only vote for senators

from their representative group. For faculty who hold appointments in more than one representative group, they may only vote for senators from the group which is the largest fraction of their appointment.

Section B: Elections of senators for each representative group except Cooperative Extension Service will occur in March. Cooperative Extension Service senators shall be elected during the annual conference of the Cooperative Extension Service.

Section C: The Faculty Senate Vice chair, or their designee with approval of the Faculty Senate as a whole, will oversee the election of Senators. The election of senators for each representative group will be conducted by the senior senator\* of that representative group who will be designated as the Chair of the representative group. Faculty may be nominated by the Group Chair and by faculty members from that representative group; the Group Chair will solicit nominations from the group. Elections shall be by a secure electronic method or, at the discretion of the Faculty Senate Chair and with the concurrence of the Faculty Senate as a whole, by secret written ballot. In the event of a tie vote, the result shall be determined by lot. Within ten (10) business days after the election, the Faculty Senate Vice Chair shall inform the Faculty Senate Chair, the recording secretary, and the Group Chairs of the results. The Group Chair will inform the nominees of the results.

\*In case of a tie in consecutive service, cumulative service in the Faculty Senate will determine the senior senator. Should a tie still exist, the senior senator will be determined by lot.

## **ARTICLE V – TERM OF OFFICE OF ELECTED SENATORS**

Section A: The Faculty Senate year shall begin immediately following the last day of the second semester of an academic year and end the last day of the second semester of the next academic year.

Section B: The usual term of office for elected senators shall be 3 years. However, when reapportionment makes it necessary, the terms of some newly-elected senators shall be for 1, 2, or 3 years so that the terms of an approximately equal number of senators from each faculty electing group expire each subsequent year. No faculty member shall be elected to a Faculty Senate term which will result in more than seven consecutive years of service. The Chair of the Faculty Senate shall be responsible for implementing this section.

Section C: Vacancies in the Faculty Senate created by the expiration of members' terms of office shall be filled at the regular annual elections.

Section D: In the case of the death, resignation, or retirement of a member of the Faculty Senate, a successor shall be elected to fill out the unexpired term at a special election called for that purpose. The provisions of Article IV, Section C, shall apply to such election.

Section E: In the case of a leave of absence of a member of the Faculty Senate, a special election shall be called to elect a temporary replacement who shall serve until the absent member returns from leave or until the member's term of office has expired, whichever occurs first. The provisions of Article IV, Section C, shall apply to such election.

## **ARTICLE VI – OFFICERS**

Section A: The seven senate electing groups are: (1) the senators representing the four community colleges; (2) the senator representing the university Library and the senators representing the College of Arts and Sciences; (3) the three senators representing the Cooperative Extension Service and the senators representing the College of Agricultural, Consumer and Environmental Sciences. The senators representing each of the four remaining colleges shall each constitute a separate senate electing group.

Section B: The officers of the Faculty Senate shall be a Chair, Vice Chair, a parliamentarian, and a recording secretary. The terms of the Senate Chair and Vice Chair shall begin on the first day following the end of the spring semester and end on the last day of the following spring semester. The Faculty Senate Chair shall not serve more than two consecutive terms, but may serve as Faculty Senate Chair again following at least one term as a non-chairing senator. The parliamentarian and the recording secretary shall be appointed by the Senate Chair with the approval of the Faculty Senate. The Senate Chair and Vice Chair shall be elected members of the Faculty Senate, representing different senate electing groups.

Section C: The Faculty Senate Chair, or their designee with approval of the Faculty Senate as a whole, will oversee

the election of the Faculty Senate Chair. The Faculty Senate shall elect two nominees for the position of Chair at the December meeting, one of whom may be the current Faculty Senate Chair. The nominees must be current, elected members of the senate at the time of nomination and election and must intend to continue as active (nonretired) faculty during the following academic year. The current Faculty Senate Chair shall be considered to be a current, elected member of the senate even if their original senate term has expired. Within ten (90) calendar days of these nominations, the person overseeing the election shall create a secure electronic ballot and notify all faculty as defined in Article I of its availability or, with approval of the Faculty Senate as a whole, prepare and mail a ballot to all faculty. The person overseeing the election along with the Faculty Senate recording secretary will be responsible for tabulating the results and announcing the winner. The winner of the election, until assuming the office of the chair, will be designated the chair-elect. The chair-elect shall not be from the same senate electing group as the Chair (except when the current Chair is re-elected). If the chair-elect would otherwise still have been serving in the senate during the ensuing term of office, a replacement shall be elected by the appropriate representative group to serve during the Chair's term. Should the Chair become unable to perform their duties, the Vice Chair shall fulfill the remainder of the Chair's term of office.

Section D: At the end of the last meeting of the senate year, the elected senators for the next year from each senate electing group shall caucus and elect their members to the Committee on Committees. This Committee on Committees shall then caucus and elect its Chair, who will also be Vice Chair of the senate. These actions shall be reported in the minutes of the last Faculty Senate meeting. Should the office of Vice Chair become vacant, the Chair of the Faculty Senate shall call a special meeting of the Committee on Committees to elect a new Chair of the Committee on Committees.

## **ARTICLE VII – COMMITTEES**

Section A: The standing committees of the Faculty Senate shall be the Senate Leadership Committee, Scholastic Affairs, University Affairs, Faculty Affairs, Government Affairs, and Long-Range Planning.

Section B: The functions and membership of the standing committees shall be as follows:

1. **Senate Leadership Committee:** The duties of the Senate Leadership Committee shall be: (a) to elect the Vice Chair of the Faculty Senate; (b) to initiate, carry out, or lead senate discussions of such topics as it deems appropriate, including the formation of ad hoc or special committees; (c) review the implementation of any legislation adopted by the senate and to reporting of the status of that legislation to the full senate; (d) review the balance of the Faculty Senate Operating Budget and activity in that account once each semester; (e) oversee the scheduling of the time and place of each regular meeting of the Faculty Senate; (f) oversee the scheduling of the time and place of each regular meeting of the Faculty Senate; (g) expedite and monitor electronic communications with and voting on emergency issues by Faculty Senators during those intervals outside of the regular academic year. The Senate Leadership Committee shall consist of one member from each senate electing group for each five elected senators or major fraction thereof. Each electing group shall have at least one member regardless of its senate representation. Vacancies shall be filled by the elected senators from the senate electing groups. The four standing committee Chairs will serve as members.
2. **Committees on Scholastic Affairs, University Affairs, Faculty Affairs, and Long-Range Planning:** The other standing committees shall consider propositions referred to them as described in Article IX, as well as actively develop and prepare for Faculty Senate consideration such policies and propositions as may seem beneficial to the university, particularly in areas suggested by their names. In doing so, they may, through hearings and requests for information, draw on the resources of the university and its administration. Each committee shall have the right to create and constitute subcommittees consisting of individuals whom it designates; such subcommittees shall be chaired by a member of the constituting committee. Each committee shall consist of at least 13 voting members as assigned from the elected senators by the Senate Leadership Committee. Senators not employed on the main campus need not be counted in the determination of a quorum. Each elected senator shall serve on one, and no more than one, of these four committees, with the exception of the Chair of the Senate Leadership Committee, who need only serve on that committee. Each committee shall elect a Chair at its first meeting.
3. **Committee on Government Affairs:** The duties of the Committee on Government Affairs shall be to identify New Mexico government issues of concern to faculty, monitor developments at the state and local levels that affect higher education, and inform the Senate of these developments along with any recommended appropriate responses. This committee shall also keep the NMSU Administration informed

through the NMSU Office of Government Relations on any pending faculty senate propositions addressing government affairs external to NMSU.

Membership: Seven faculty senate voting members, representing at least three senate electing groups, nominated by the Faculty Senate. The Chair is elected by the Committee at the last meeting of the academic year. The Faculty Senate Chair and Senior Director of the NMSU Office of Government Relations shall be ex-officio members.

4. Committee of the Whole: The Faculty Senate by majority vote may convene as a Committee of the Whole to discuss and shape possible legislation pertaining to a particular issue. While sitting as a Committee of the Whole, the Faculty Senate may not pass new resolutions.

Section C: A term of committee membership shall be 1 year. Members may serve more than one term.

## **ARTICLE VIII – MEETINGS**

Section A: Meetings of the Faculty Senate shall take place no less frequently than once a month during the academic year, but only on a special meeting basis during the summer sessions.

Section B: The time and place of each regular meeting shall be determined by the Senate Leadership Committee.

Section C: The Chair of the senate or, in the absence of the Senate Chair, the Vice Chair, may call special meetings at any time. A special meeting shall be limited to the consideration of the specific items of business designated in the call of the meeting.

Section D: The University President and the Executive Vice President and Provost shall have the right to attend and participate in all meetings of the Faculty Senate and its committees. Any member of the university community may attend regular meetings of the Faculty Senate and its committees, and by invitation may participate in the discussions and deliberations.

Section E: A majority of the voting members of the Faculty Senate shall constitute a quorum.

Section F: The rules contained in the current edition of *Robert's Rules of Order* shall govern the parliamentary procedures of the Faculty Senate in all cases to which they are applicable and in which they are not inconsistent with the Constitution and any bylaws the Faculty Senate may adopt.

Section G: The officers of the senate shall make arrangements for its meetings. The Senate Chair will send a notice of the meeting and an agenda to each member of the faculty senate and will also send copies of committee reports to each senator.

Section H: Faculty electing groups represented by a senator not located on the main campus may send an elected alternate to substitute for that representative at meetings of the Faculty Senate and its committees. The Faculty Senate may seat the substitute with the right to participate and vote in the Faculty Senate and/or its committees.

## **ARTICLE IX – PROPOSITIONS FOR CONSIDERATION**

Section A: Propositions to be considered by the Faculty Senate shall be presented initially to the Senate Leadership Committee by one or more voting or nonvoting senators. First-time propositions will not be sponsored or presented in the name of standing or ad hoc committees.

Section B: Each proposition shall be prepared in writing and signed by the presenting senator(s). Propositions shall be keyed to affected portions of the *New Mexico State University Policy Manual* or other policy document(s), so as to indicate the intended changes. At least one day prior to the time of presentation, copies of the proposition shall be distributed to members of the Senate Leadership Committee by the recording secretary of the Faculty Senate. The distribution may be electronically as attachments to email.

Section C: Normally, a proposition shall be given first reading and explanation by the presenting senator(s), and then referred to the appropriate committee(s) by the Vice Chair of the senate during the Senate Leadership Committee meeting in which the proposition is first presented. A challenge to the referral to committee may be made by any senator present at the meeting. The decision on the Committee or Committees to which referral shall be



made will then be by majority vote of the senators present. In exceptional cases, a proposition may be considered by the Faculty Senate as emergency legislation without referral to its committees, provided either:

- (a) previous notice and an outline of the nature of the proposition was given in the agenda of the meeting and the senate accepts consideration of the proposition by a two-thirds vote, or
- (b) lacking previous notice, the senate accepts consideration of the proposition by a three-fourths vote.

**Section D:** Committees shall hold hearings on all propositions referred to them. These hearings shall be open to the public so that all individuals interested in propositions may make presentations to the committee. The decision as to the nature of a committee's report on each proposition shall be by majority vote of the committee. Commentary for and against the proposition may be submitted with the report. Propositions shall be reported out with one of four recommendations to the senate: RECOMMEND FOR PASSAGE; RECOMMEND AGAINST PASSAGE; RECOMMEND REPLACEMENT BY A COMMITTEE-DRAWN SUBSTITUTE; or RECOMMEND SENATE DISCUSSION.

**Section E:** Propositions shall be reported out by the committees and forwarded to the recording secretary of the Faculty Senate and the Faculty Senate Chair prior to the Faculty Senate meeting next following first reading. A committee shall be given additional time when its Chair, prior to that next meeting, notifies the recording secretary of the Faculty Senate and the Faculty Senate Chair that additional time is needed. In no case, however, shall committee deliberation of a proposition extend beyond the second regular Faculty Senate meeting following first reading of the proposition. The recording secretary shall be responsible for informing the Faculty Senate Chair of violation of this provision.

**Section F:** Legislation reported out of committee shall be placed on the Faculty Senate agenda for full consideration in any of four possible circumstances:

- If the committee recommends for passage.
- If the committee recommends against passage but the Faculty Senate, after debate, votes for full consideration.
- If the committee recommends a substitute motion and the Faculty Senate votes for full consideration.
- If the committee recommends Faculty Senate discussion: in this case, after Faculty Senate debate, the proposition may be referred to a committee for further consideration.

The legislation shall be considered defeated if it does not receive full Faculty Senate consideration. When the unfinished business portion of the agenda is reached, each of the items that have been voted full Faculty Senate consideration shall be moved for adoption and will thus be subject to debate, amendment, and normal parliamentary procedures. However, when a committee recommends senate discussion, referral back to a committee must precede final passage.

## **ARTICLE X – AMENDMENTS**

**Section A:** Amendments to this constitution shall be initiated as propositions and shall initially follow the procedures of Article IX. Upon passage by the Faculty Senate and under the oversight of the Faculty Senate Vice Chair, amendments shall be posted electronically to the Faculty Senate website and notification of the posting sent to all faculty who are qualified to vote or, at the discretion of the Faculty Senate Chair and with the concurrence of the Faculty Senate as a whole, duplicated and distributed to all members of the faculty who are qualified to vote.

**Section B:** Such proposed amendments shall be considered as adopted when approved by an affirmative vote of two-thirds of the qualified members of the faculty who vote. Such voting shall be by a secure electronic method or, at the discretion of the Faculty Senate Chair and with the concurrence of the Faculty Senate as a whole, secret written ballot.

**Section C:** This constitution may also be amended by an initiative and referendum election. Such an initiative shall specify the amendment(s) to be made and shall require the signatures of 10 percent of the faculty as defined in Article I. Verification of the signatures upon the initiative shall be by the officers of the Faculty Senate. Upon verification, such amendments shall be submitted directly to the faculty without prior approval of the Faculty Senate. The amendment(s) shall be considered as adopted when approved by an affirmative vote of two-thirds of the qualified members of the faculty who vote.

**Article XI – BYLAWS**

Section A: All procedural decisions and guidelines adopted by the Faculty Senate to implement its constitution shall be appended to that document in an addendum to be labeled “Bylaws”.

Section B: Adoption and amendment of bylaws shall be by a simple majority vote of the Faculty Senate. Presentation of proposed bylaws or amendments thereof shall follow the procedure for presentation of proposals detailed in Article IX of this constitution.

**1-E CONSTITUTION AND BYLAWS OF THE NMSU EMPLOYEE COUNCIL****NMSU EMPLOYEE COUNCIL CONSTITUTION**

*[Revised by Employee Council 01.10.13]*

**ARTICLE I – NAME**

The name of this organization shall be the NMSU Employee Council

**ARTICLE II - FUNCTIONS**

Section A: NMSU Employee Council's function is to perform the following:

1. Investigate matters involving the policies and procedures of the administration of the university.
2. Make recommendations based on such investigations to the University President.
3. Establish and maintain an organization of the university staff for the following purposes:
  - a. To provide communication between the staff and the administration of the university.
  - b. To provide communication among the several parts of the university staff.

Section B:

1. A copy of the minutes of each meeting of the NMSU Employee Council shall be transmitted to the University President and posted on NMSU Employee Council web site after approval. (ACAP).
2. All documentation produced by NMSU Employee Council will be preserved by:
  - a. Including NMSU Archivist on the NMSU Employee Council's listservs;
  - b. Collecting and forwarding a copy of all NMSU Employee Council documentation to the NMSU Archivist.

Section C: NMSU Employee Council shall have complete authority to determine its own procedure.

**ARTICLE III – MEMBERSHIP**

Section A: The staff of the university, for the purposes of the constitution, shall consist of those people who are regular part-time and regular full-time employees who are not eligible to be members of a collective bargaining unit. Further elaboration of this definition shall be done as needed by NMSU Employee Council.

Section B: Membership of the NMSU Employee Council shall be elected from the following areas which they shall represent. However, individual representatives shall not be restricted to considering matters pertaining only to the area from which they were elected. For purposes of voting and election, employee areas (as recorded in the Office of Human Resource Services) are

broken down as follows:

1. “Las Cruces Area” (includes Las Cruces campus, Doña Ana Cooperative Extension and Doña Ana Community College) will be divided into faculty; exempt staff; and non-exempt staff not represented by a bargaining unit. Through the election process, NMSU Employee Council will put forth its best efforts to assure:
  - a. Membership represents the demographic distribution of classifications (i.e. faculty, exempt and non-exempt staff not represented by a bargaining unit); and
  - b. Membership includes no more than one representative per classification from a NMSU summary organization as defined in the Banner hierarchy. (*See attached example of Banner Summary Organization*)
2. “Community Colleges Outside Las Cruces Area” (includes all Community Colleges outside Dona Ana County) will be considered as a separate area.
3. “Others Outside of Las Cruces Area” (includes Research Centers, Cooperative Extension and other remote facilities) will be considered as a separate area.

Non-exempt employees represented by a collective bargaining unit are not included in NMSU Employee Council membership. The non-exempt employees not represented by a collective bargaining unit (non-probationary, non-exempt employees who are supervisors, managers, and confidential employees, sworn police officers, and employees employed outside the State of New Mexico) will be included in NMSU Employee Council membership.

NMSU Employee Council membership should reflect actual demographic distribution of regular employees at NMSU and total voting membership shall be 20. To maintain a representative membership, demographic distribution data will be reviewed prior to election in odd years and membership adjusted according to the distribution at that time. (*See attached example of Demographic Distribution Data*). NMSU Employee Council Chair-Elect will prepare demographic distribution data and recommend distribution of membership for the following: Las Cruces Area distributed into faculty, exempt, non-exempt not represented by a bargaining unit; Community Colleges Outside Las Cruces Area; and Others Outside of Las Cruces Area. The recommended distribution will be presented to NMSU Employee Council members in October for review and approval.

The number of alternates for each classification will be fixed. Las Cruces Area will have four alternates each. Community Colleges Outside Las Cruces and Others Outside of Las Cruces Areas will have one alternate each. NMSU Employee Council will put forth its best efforts to assure that alternates have no more than one representative per classification from a NMSU summary organization as defined in the Banner hierarchy.

#### **ARTICLE IV - NOMINATIONS, ELECTIONS, AND TERM OF OFFICE**

Section A: The NMSU Employee Council Chair shall appoint at least three members to an Election Committee. Election board members may not be running for re-election. This Election Committee shall send nomination forms to all personnel of each respective area indicating the number of classifications to be filled. Whenever possible, these shall be sent by November 1 of each year.

Section B: Whenever possible, the Election Committee shall send ballots for each classification to be filled to all personnel of each respective area by December 1 of each year. All personnel of an area may vote once for each classification being filled from their area. Whenever possible, the completed ballots should be received by the Election Committee no later than the working day nearest the 15th of December. The ballots shall be counted by the Election Committee.

Section C: The Election Committee shall notify the Chair of NMSU Employee Council of the number of votes received by each candidate. The chair-elect shall keep this record for the 3-year term in the event that an alternate might need to be selected to fill an unexpired term.

Section D: In cases of tie votes, NMSU Employee Council membership shall vote by secret ballot to determine the winner.

Section E: The Election Committee shall notify each person who was nominated concerning the results of the election. Those elected begin serving their 3-year terms at the February meeting.

Section F: If a member is unable to complete the term of office, NMSU Employee Council shall select, by secret ballot, an elected alternate representing the same area and classification as the departing member to fill out the term.

## **ARTICLE V - ELIGIBILITY FOR VOTING AND HOLDING OFFICE**

Every full-time employee of the areas listed in Section B of Article III shall be eligible to vote and to hold office. No person is eligible to vote in more than one of these areas.

## **ARTICLE VI - OFFICERS**

Section A: At the regular February meeting, members of the NMSU Employee Council shall elect from the primary representatives a chair, chair-elect, and secretary/treasurer. The secretary/treasurer shall hold office for 1 year. The chair-elect shall serve as a member of the Executive Committee for 3 years: 1 year as chair-elect, 1 year as chair, and 1 year as past-chair. The chair shall serve for 2 years: 1 year as chair and 1 year as past-chair. In the event that the past-chair no longer serves as a primary NMSU Employee Council member, past-chair will act as an ex-officio member of both the NMSU Employee Council and its Executive Committee during the 1-year past-chair term.

## **ARTICLE VII -- MEETINGS**

Section A: Regular meetings will be held the second Thursday of each month. Time and place of each meeting shall be determined by NMSU Employee Council at its previous meeting, or at the discretion of Chair of the NMSU Employee Council.

Section B: The Chair of NMSU Employee Council may call special meetings at any time. Such meetings shall be limited to the consideration of the specific items of business designated in the call of the meeting.

Section C: Any employee of the university may attend any of the regular council meetings. Visitors may participate in the discussions and deliberations at the invitation of the NMSU Employee Council.

Section D: A simple majority of NMSU Employee Council shall constitute a quorum.

Section E: The Chair shall notify NMSU Employee Council members of meetings in advance and provide members with a copy of the agenda for such meetings.

Section F: Primary representatives are requested to attend the monthly meetings on a continuous basis or send an alternate in their place. If a primary representative does not attend two consecutive meetings or fails to have an alternate attend, NMSU Employee Council may replace the primary representative with an appropriate alternate.

## **ARTICLE VIII - PROPOSITIONS AND CONSIDERATION**

Section A: NMSU Employee Council may consider matters on its own initiative, matters submitted by the University President, or matters submitted by an individual employee of the university.

Section B: All propositions except those made by the University President or by members of NMSU Employee Council shall be communicated in writing to NMSU Employee Council through the NMSU Employee Council Chair, NMSU Employee Council representative or the NMSU Employee Council website.

Section C: All NMSU Employee Council recommendations will be sent to the University President in writing from the NMSU Employee Council Chair

## **ARTICLE IX - AMENDMENTS**

Amendments to this constitution may be proposed in writing by resolution of NMSU Employee Council. Such proposed amendments shall be considered adopted if approved by a two-thirds majority of NMSU Employee Council and by the University President.

## **ARTICLE X**

If any article, section, subsection, sentence, clause, or phrase of this constitution is, for any reason, held to be invalid, such decision shall not affect the validity of the remaining portion of this constitution.

## **NMSU EMPLOYEE COUNCIL BYLAWS**

*[Revised by Employee Council 01.10.13]*

- A. The NMSU Employee Council shall establish from time to time bylaws to describe and define the manner by which its activities and functions shall be performed.
- B. NMSU Employee Council may make any motion into a bylaw by the agreement of two-thirds of the membership of the council. Bylaw changes will be presented and voted on at the next regular meeting.
- C. Officers' and representatives' duties shall be as follows:
  1. Chair:
    - a. Preside at meetings
    - b. Review and edit minutes with the secretary/treasurer
    - c. Ex-officio member of all NMSU Employee Council committees
    - d. Appoint ad hoc committees as needed
    - e. Ex-officio member of Faculty Senate or Faculty Representative of NMSU Employee Council may be appointed to act as ex-officio member
    - f. Member of the Retrenchment Emergency Action Committee
    - g. Member of Administrative Council
    - h. Reports NMSU Employee Council Activities at regular Board of Regents meetings
  2. Chair Elect:
    - a. Substitute for Chair when Chair is unable to serve
    - b. Chair the Election Committee
    - c. Chair the Roberts Memorial Staff Award Committee
    - d. Serve as NMSU Employee Council chair the following year
    - e. Chair of First Light Federal Credit Union Award Committee
    - f. Keep a current record of primary and alternate members with dates of term expiration
  3. Past-Chair:
    - a. Serve as a non-voting member of Executive Committee
    - b. Serve in advisory capacity to NMSU Employee Council
    - c. Update Employee Council Web Page
  4. Secretary/Treasurer:
    - a. Serve as member of Executive Committee
    - b. Serve as Council Parliamentarian
    - c. Maintain a current constitution and bylaws of the council and have it available for use at all times
    - d. Arrange for distribution of constitution and bylaws to council members and others as directed by the Chair
    - e. Maintain a file of minutes for 3 years
    - f. Transfer approved minutes with all presented attachments within 30 days after approval by NMSU Employee Council to the University Archivist.

- g. Oversee the management, recording and reporting of the Employee Council finances.
5. Recording Secretary:
  - a. Prepare accurate records of all business meetings and will transmit those records on a timely basis to NMSU Employee Council membership
  - b. Take roll at meetings (specify members, alternates, visitors)
  - c. Determine if a quorum is present
  - d. Keep an accurate record of business conducted
  - e. Arrange for distribution of minutes to the University President and to all NMSU Employee Council members (primary and alternate), and post on NMSU Employee Council web page
6. Primary Representative:
  - a. Attend all regular and special meetings
  - b. If unable to attend, arrange for an alternate to attend
7. Alternate Representative:
  - a. Attend meetings as a nonvoting member (or stay informed about NMSU Employee Council's business)
  - b. Substitute for voting members as requested by a member or the chair
  - c. Fill the unexpired term of a member from the same area and classification in the case of the member's resignation
8. President Representative:
  - a. Appointed by the University President
  - b. Attend all NMSU Employee Council and Executive Committee meetings as non-voting member
  - c. Act as liaison between NMSU Employee Council and the University President

## COMMITTEES

- A. NMSU Employee Council shall have the power to create such committees as may be necessary.
- B. Any regular employee shall be eligible to serve on any of the committees created by the Employee Council, except those requiring membership in the Employee Council.
- C. NMSU Employee Council shall have an Executive Committee that consists of the chair, chair-elect, past-chair (*ex-officio*), secretary/treasurer and Presidents Representative (*ex-officio*). This Executive Committee shall maintain an agenda to conduct the business of NMSU Employee Council and make other decisions that may appear necessary or business that NMSU Employee Council may be asked to do.
- D. NMSU Employee Council shall have a standing committee on fringe benefits, excluding insurance. The Fringe Benefits Committee will be comprised of seven members plus two *ex-officio* members. The Fringe Benefits Committee members shall serve staggered 3-year



terms, subject to reappointment by NMSU Employee Council. The *ex-officio* members shall be the Human Resources Services Director or a designated representative and the associate vice president budget/controller or a designated representative. The *ex-officio* members shall be non-voting. One member shall be an NMSU retiree and an alternate for the retiree will be appointed. Appointments to the committee shall be made by NMSU Employee Council. The Fringe Benefits Committee shall elect its Chair and other such officers as it deems necessary. The Chair shall serve as an *ex-officio*, nonvoting member of NMSU Employee Council if they are not a duly elected voting member.

- E. NMSU Employee Council shall have a standing committee on insurance. The Insurance Committee will be comprised of six members plus four *ex-officio* members. The Insurance Committee members shall serve staggered 3-year terms. The *ex-officio* members shall be the Human Resources Services Director or a designated representative, the Pioneer Representative from NMSU Employee Council, the Director of University Health Center or their designee and the associate vice president budget/controller or a designated representative. The *ex-officio* members shall be non-voting. Appointments to the Insurance Committee shall be made by NMSU Employee Council and shall have 3 members that are current retirees and 3 members that are currently active employees. NMSU Employee Council will also appoint one alternate that is a retiree and one alternate that is a current employee. The Insurance Committee shall elect its Chair and other such officers as it deems necessary. The Chair shall serve as an *ex-officio*, non-voting member of NMSU Employee Council, if they are not a duly elected voting member.
- F. NMSU Employee Council shall establish committees to do various assignments as they develop. The following steps shall prevail in setting up the membership and organization of such committees: (1) NMSU Employee Council will select the membership of each committee; (2) the Chair of the committee shall be selected by NMSU Employee Council or the Executive Committee; (3) the Executive Committee shall instruct the Chair and the members of the committee on (a) the objectives proposed for the accomplishment of the committee; and (b) a proposed time schedule for the accomplishment of the objectives, with the right of the committee to make adjustments in both (a) and (b) with the consent of the Executive Committee. The committee will be considered as discharged when it completes the assignment.
- G. **ROBERTS AWARD** - A committee shall be appointed annually to select the recipient for the Stephen W. and Robert E. Roberts Memorial Staff Award. Human Resources will request nominations, compile the results, and provide the committee with the original nominations. The selection will be made according to criteria established by Human Resources. Members (primary & alternate) of NMSU Employee Council cannot be considered for this award during their term as a voting or alternate member.
- H. NMSU Employee Council makes appointments to other campus committees as listed below. Any regular part-time and regular full-time employees who are not eligible to be members of a collective bargaining unit shall be eligible to serve on any of the committees supported by the Employee Council, except those requiring membership in the Employee Council. The NMSU Employee Council representative to these committees is responsible for reporting committee activities to NMSU Employee Council. Council shall not be considered for the award.

**STANDING COMMITTEE APPOINTMENTS**

- A. Administrative Council (Employee Council Chair)
- B. Alcohol Use Committee (one member)  
(Term 3 yrs. Mar/Feb)
- C. Athletics Council (one member, staff only)  
(Term 2 yrs. Sept/Aug)
- D. Bookstore Innovation Group (one member)  
(Term 2 yrs. Sept/Aug)
- E. Building Naming Committee (Employee Council Chair)  
(Term 1 yr. Mar/Feb)
- F. Building the Vision Committee (Two Employee Council members appointed by the Provost)  
(No term established)
- G. Campus Planning Committee (one member)  
(Term 3yrs. Sept/Aug)
- H. Corbett Center Student Union (one Employee Council member or alternate)  
(Term 1 yr. May/Apr)
- I. Emergency Action Committee (Employee Council Chair or designate)  
(No term established, formed when necessary)
- J. Faculty Senate Liaison (one Employee Council member)  
(No term established)
- K. Food Service Advisory Committee (one member)  
(No term established)
- L. Human Resources Board (Two exempt Employee Council members and two non-exempt Employee Council members)  
(Term 3yrs. Jan/Dec)
- M. Staff Advisory Group on Diversity (one Employee Council member)  
(No term established)
- N. Sustainability Council (one Employee Council member)  
(Term 3 yrs. Mar/Feb)
- O. Transportation and Parking Services Steering Committee (one member)  
(No term established)
- P. University Budget Committee – (one member)  
(Term 2yrs. Mar/Feb)

**1-F** **Official List of University Boards** *[Superseded by new Policy 1.05.90 recommended by Administrative Council 12.14.10; approved by the Board of Regents 01.31.11; See NMSU Official List of University Boards, maintained by the Office of the Chief of Staff.]*

**1-G. Regents' Audit Committee Charter** *[Approved by Board of Regents 09.08.06]  
[Amendment to membership approved by the Board of Regents 04.13.07][Recommended by  
Administrative Council on 04.09.13; approved by Board of Regents 05.10.13]*

**Purpose**

The purpose of the Regents' Audit Committee is to assist the Board of Regents in fulfilling its oversight responsibilities related to: the integrity of the university's financial statements, the systems of internal control, the independence and performance of the external and internal audit functions, and the university's compliance with legal and regulatory requirements.

**Membership**

In recognition of the need for independence, financial expertise and continuity of membership from year-to-year, the Regents' Audit Committee will consist of the NMSU president, and two members of the Board of Regents, and/or other individual appointed by the Board of Regents. University staff liaisons to the Regents' Audit Committee are the senior vice president for administration and finance, and the chief audit executive.

**Meetings**

The Regents' Audit Committee will meet at least four times a year, with additional meetings scheduled as circumstances require. Members of management, auditors or others may be invited to attend meetings and provide information as necessary. The NMSU president, the executive vice president and provost, and university general counsel are generally expected to attend committee meetings, in addition to the staff liaisons named in the paragraph above.

**Duties and Responsibilities**

- **Oversight of the Independent (External) Auditor.** The Regents' Audit Committee will approve the selection and compensation of the independent public accounting firm employed by the organization to perform the annual financial statement and federal compliance audits. The committee will evaluate the performance of the independent auditor and resolve any disagreements between management and the independent auditor regarding financial reporting. All audit and non-audit services provided by the independent auditor that may impair the audit firm's independence with regard to the university will be pre-approved by the committee. The committee will routinely provide time for private discussion with the independent auditor.
- **Oversight of the Internal Audit Function.** The Regents' Audit Committee will approve the selection of the chief audit executive (CAE) and, jointly with the NMSU president, evaluate the performance of the internal audit function. The committee will annually review, with the Chief Audit Executive, the committee's charter, activities, staffing, budget and organizational structure of the internal audit function. The committee will review and approve the annual audit plan, and routinely provide time for private discussion between committee members and the chief audit executive.
- **Review of Financial Statements.** The Regents' Audit Committee will review the university's annual financial report, including independent auditor reports, management's discussion and analysis, financial statements, notes to the financial statements, supplemental schedules and findings and questioned costs.
- **Review of Audit Results.** The Regents' Audit Committee shall review internal and external audit results and discuss significant issues of internal control and compliance with management, university general counsel, the external auditor(s), and the chief audit executive. The committee shall monitor management's progress in addressing audit recommendations.
- **Investigations Related to Financial Matters.** The Regents' Audit Committee will be kept apprised of investigations related to financial matters by management, university general counsel

and/or the chief audit executive.

- **Request for Audits.** The Regents' Audit Committee is authorized to request supplemental reviews or other procedures by the internal auditor, the independent auditor, or other advisors.

**Regents' Budget Committee-Charter** *[Approved by the Board of Regents 04.13.07]  
[Recommended by Administrative Council on 04.09.13; approved by Board of Regents 05.10.13]*

**Purpose**

The purpose of the Regents' Budget Committee is to assist the Board of Regents in fulfilling its oversight responsibilities related to: the preparation of the annual budget, the overall administration of the university's financial resources, and the conduct of significant financial transactions as defined by the board from time to time.

**Membership**

Recognizing the need for independence, financial expertise and continuity of membership from year-to-year, the Regents' Budget Committee will consist of the NMSU president, two members of the Board of Regents, and/or any other member who may be appointed by the board. University staff liaisons to the Regents' Budget Committee are the senior vice president for administration and finance, and the chief budget officer.

**Meetings**

The Regents' Budget Committee will meet at least four times a year with additional meetings scheduled, as circumstances require. Members of management or others may be invited to attend meetings and provide information as necessary.

**Duties and Responsibilities**

- **Oversight of the Preparation of the Annual Budget and Related Certifications.** The Regents' Budget Committee will ensure, via staff liaisons, that budgetary reports are prepared and submitted in a timely and accurate manner, in full compliance with all external and policy requirements, and with appropriate communication back to the full Board of Regents.
- **Oversight of the Overall Administration of the university's Financial Resources.** The Regents' Budget Committee will review periodic budgetary, financial and operating performance reports presented by the staff liaisons and others as required, to maintain a familiarity with the university's financial operations and to monitor financial performance against both policy and board-defined goals.
- **Oversight of the Conduct of Significant Financial Transactions.** The Regents' Budget Committee will review proposed significant financial transactions as defined or as requested by the full Board of Regents and university executive management, and will provide guidance to university executive management as appropriate.

**Regents' Real Estate Committee Charter** *[Recommended by Administrative Council on 04.09.13; approved by Board of Regents 05.10.13]*

**Purpose**

The purpose of the Regents' Real Estate Committee is to assist the Board of Regents in fulfilling its fiduciary and statutory responsibilities relating to the management of university real estate, in the best interest of the institution, and in accordance with applicable policy and law.

**Membership**

The Regent's Real Estate Committee will consist of the NMSU president and two members of the Board of Regents, and/or other individual appointed by the Board. University staff liaisons to the committee will be

the director of real estate, the senior vice president of administration and finance, the assistant vice president for facilities and services and the university general counsel, or their respective designees.

**Meetings**

The Regents' Real Estate Committee will meet at least four times a year, with additional meetings to be scheduled on an as-needed basis. Members of management or others may be invited to attend meetings and to provide information as necessary.

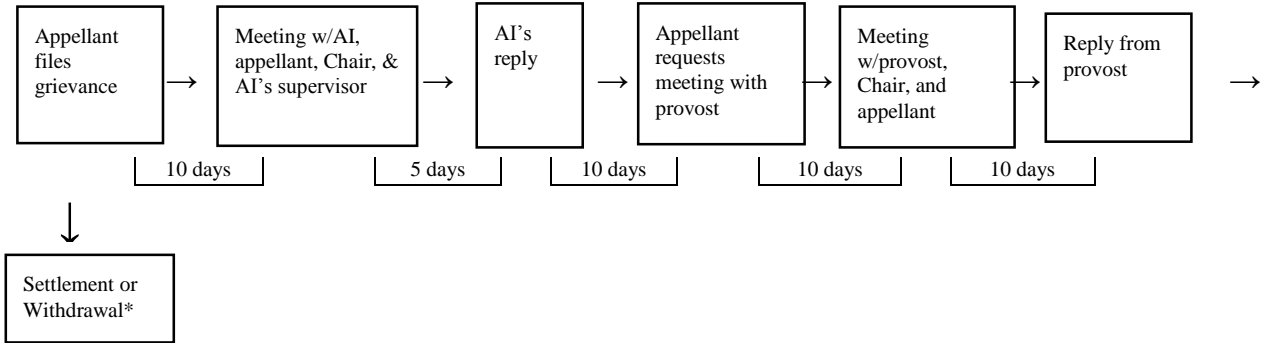
**Duties and Responsibilities**

- The Regents' Real Estate Committee will review and may make a recommendation regarding proposals to purchase, sell, lease or use university real estate, including but not limited to the university's master plan and specific proposed transactions.
- The Regents' Real Estate Committee may recommend, and will review, revisions to policy and procedures relating to university real estate.
- The Regents' Real Estate Committee may confer with appropriate university staff or others about matters relating to real estate.
- The Regents' Real Estate Committee may make recommendations to the Board of Regents.
- The Regents' Real Estate Committee will assist the institution in upholding the principles set forth in NMSU Policy 9.20, including but not limited to those relating to the preservation, enhancement and maximization of the productivity of the university's real estate assets; minimization of risk, and compliance with applicable legal requirements.

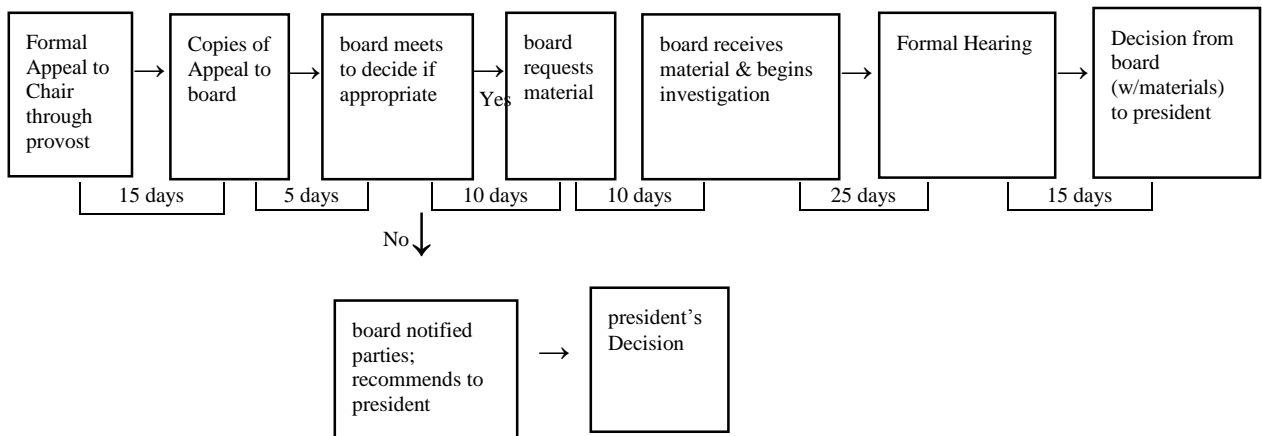
**CHAPTER 4 HUMAN RESOURCES - GENERAL**

**4-A Appeals – Faculty – Faculty Grievance Review board Flow Chart**

**Grievance Process**



**Appeal Process**



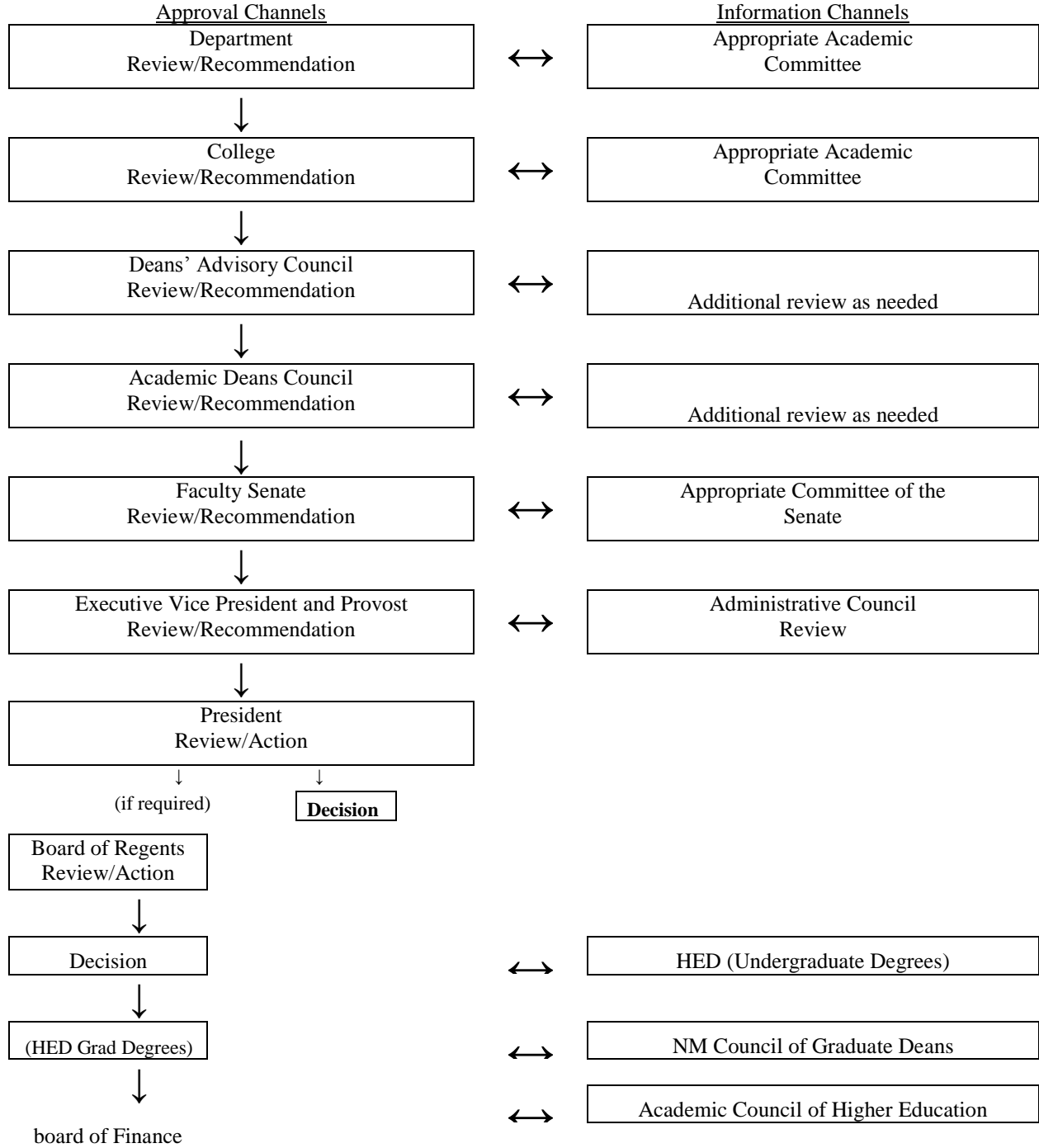
AI : Administrator Involved  
 Board : Faculty Grievance Review board  
 Chair : Faculty Grievance Review board Chair

\* : The process may be terminated at any time if a settlement acceptable to all parties is reached or if the appellant withdraws the grievance/appeal.

**CHAPTER 5 – HUMAN RESOURCES-FACULTY POLICIES**

**5-A Academic Units (Procedures for Changes)**

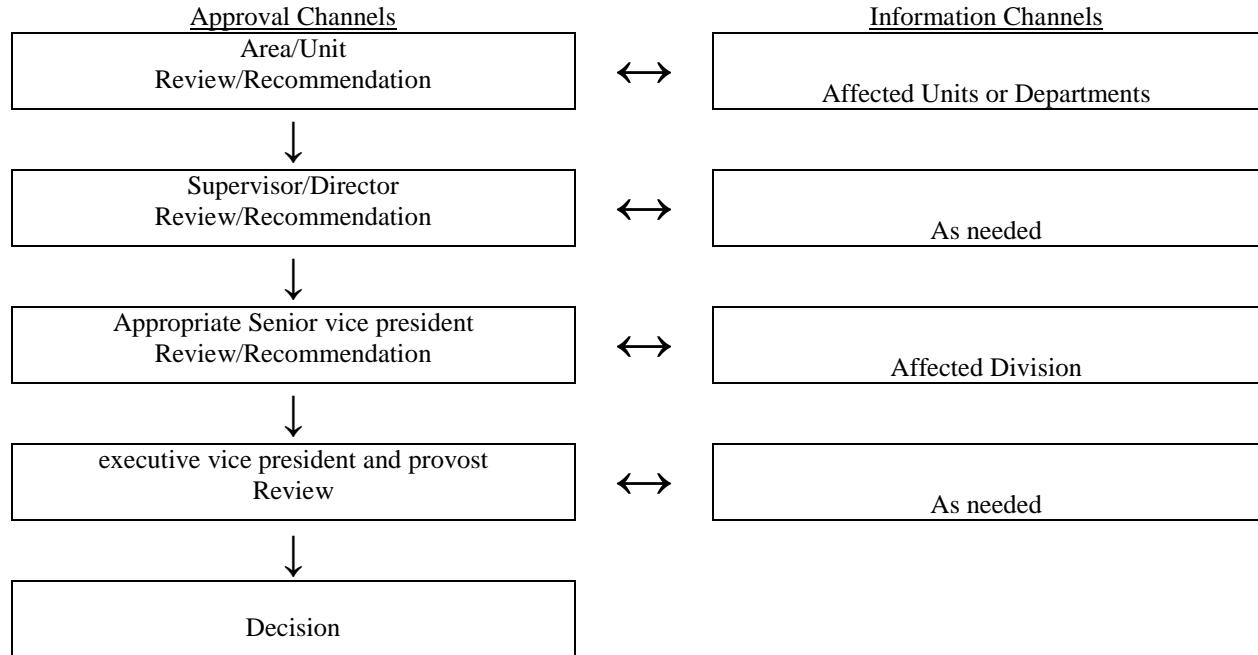
**APPROVAL PROCESS FOR ACADEMIC PROGRAM CHANGES**





### 5-B Approval Process for Nonacademic Program Changes

(NMDA excepted from this chart in legislative-authorized responsibilities)



### 5.47 Faculty Discipline Appeal Flowchart (last updated 04.07.11)

