



# **Policy Action Tool Kit: How to Submit a Proposal to Modify NMSU System Operational Policy**

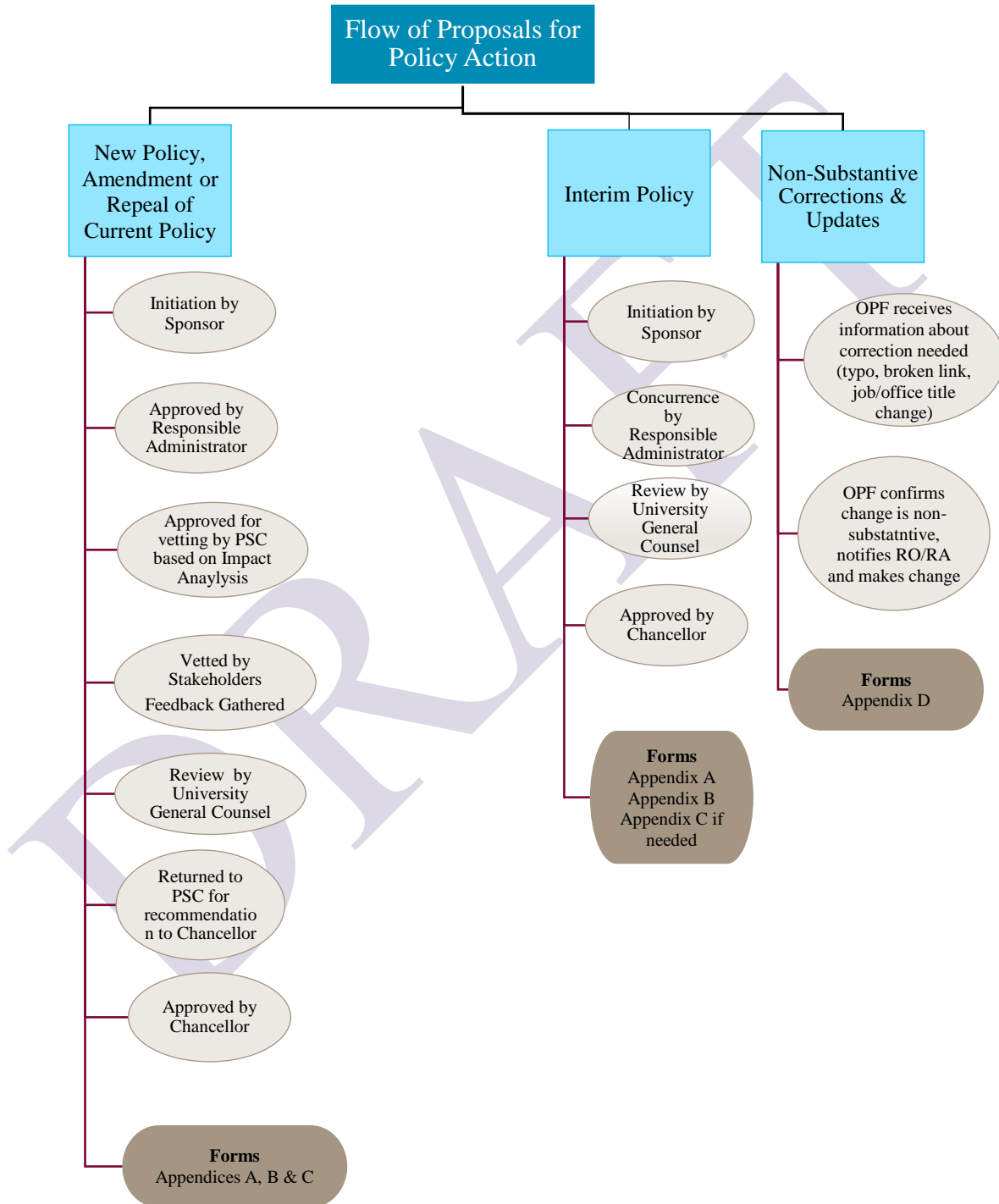


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## Welcome & Orientation re: Policy Action

This Policy Action Tool Kit is designed to provide information and instruction on the process to initiate a proposal for Policy Action and to subsequently route for vetting and approval as indicated by the Policy Steering Committee.



## Reasonably Anticipated Policy Impact

The Policy Steering Committee will determine the proposal route for formal vetting, in part based on the proposal's reasonably anticipated impact. If routed for vetting, there are a number of steps where the impact of a proposed Policy Action will be thoroughly and thoughtfully considered. Those steps include:

- A. Identification of potential impact by the Proposal Sponsor on the Proposed Policy Action Form. (See Policy Action Tool Kit, Appendix A)
- B. The Policy Steering Committee carefully reviews both the impact questions as well as the proposed Policy Action and accompanying Standard Operating Procedures. The Policy Steering Committee may return the proposal for refinement if the potential impact of the proposal is not clear.
- C. During Stakeholder vetting, various parts of the NMSU Community have the opportunity to consider the proposal and provide feedback including how the proposal uniquely impacts operations in their area of work.
- D. Proposals will be posted for open campus comments for a period determined by the PSC.
- E. After vetting, the proposal returns to the Policy Steering Committee for a final review. During this period, the Policy Steering Committee considers and addresses the collective feedback, as appropriate.
- F. At the last stage of the process, the Chancellor reviews the proposal for approval as the delegate of the Board of Regents on behalf of NMSU.

## Policy Action Proposal Checklist

1. Read ARP 1.10 governing proposals for Policy Action
2. Determine the type of Policy Action that applies to this proposal. Review ARP 1.10, Part 4.3 if you need additional information
3. Work with the Responsible Administrator/Office for the area that is aligned with the proposed action. Obtain Responsible Administrator signature on the *Proposed Policy Action Form*.
4. Review the Policy Format Details, Appendix E.
5. Consider completing the Comparison Table in Appendix F.
6. Completely and thoroughly complete the forms that correspond with the action you are proposing:

	Proposed Policy Action Form <i>(Appendix A)</i>	Format for NMSU Operational Policy <i>(Appendix B)</i>	Standard Operating Procedures <i>(Appendix C)</i>	Non-Substantive Changes Form <i>(Appendix D)</i>
<b>New</b>	✔	✔	✔	
<b>Amended</b>	*Complete what is relevant.	✔	✔	
<b>Repealed</b>	*Complete what is relevant.			
<b>Interim Policy</b>	*Complete what is relevant.	✔	If needed	
<b>Non-Substantive Changes</b>				✔

\*When in doubt, consult with the Operational Policy Facilitator to determine what is needed. The Policy Steering Committee may request follow-up information as it deems appropriate.

## Overview for New, Amended or Repealed Policy Proposals

### Propose & Sponsor

Proposals for Policy Action may be initiated by any member of the NMSU System when submitted in accordance with the standards and procedures set by the Policy Steering Committee's Policy Action Tool Kit. The Proposal Sponsor is responsible for following the proposal through the vetting and implementation phases.

### Drafting

Proposals may be drafted to request new, amended or repealed policies. Before submission to the Policy Steering Committee, the Responsible Administrator(s) must acknowledge their receipt and approval for the Proposal Sponsor to proceed with the proposal review process.

### Policy Steering Committee Review

Policy Sponsors first submit their proposals to the Policy Steering Committee for an analysis relating to reasonably anticipated impact of the proposal for Policy Action. As needed, the Policy Steering Committee will request additional information to decide the vetting requirements and vetting timeframes to be applied to the proposal.

### Vetting

The policy proposal is vetted by the Stakeholders designated by the Policy Steering Committee, and posted publicly for comment by the NMSU Community. The policy is improved and refined based on feedback. The final draft is posted for a final vetting opportunity.

### Approval

Final Proposal is submitted to the Policy Steering Committee for routing to Chancellor.

### Implementation

New, amended or repealed Policy Actions will be published by the Office of Policy Facilitator in the Administrative Rules and Procedures of NMSU published as part of the NMSU Policy Library. The Responsible Office as designated by the Responsible Administrator will proceed with training, implementation and other duties associated with administration of the policy.

## Appendix A Proposed Policy Action Form

**Proposal Sponsor:** Click or tap to enter name.

**Date Submitted:** Click or tap to enter a date.

**Proposal Title:** Click or tap to enter name

**Sponsor's Department/Unit:** *Name*

**Direct Line:** Click or tap to enter number

**Email:** Click or tap to enter email

*Completely fill out for new policies, complete relevant sections for policies revisions, including repeals:*

**1. Rationale For Policy Proposal, including if required for regulatory, accreditation or legal compliance**

Click or tap here to enter text.

**2. Policy Number(s) and Title(s) affected by Proposal:**

Click or tap here to enter text.

**3. Broad Policy Category:** Choose an item.

**4. Proposed Effective Date:** Click or tap to enter a date.

**5. Proposed Frequency of Review:** Choose an item.

**6. Impact A: Does this proposal relate to other NMSU System policies (ARP or RPM) that would require change, consolidation or elimination of other policies as a result of this proposal? Please Be Specific.**

Click or tap here to enter text.

**7. Internal Control Considerations**

**8. Impact B: Does this proposal relate to other policies, laws, or requirements, (Federal, State, Other) outside of the NMSU System? Please Be Specific.**

Click or tap here to enter text.

**9. Impact C: Briefly describe how this proposal relates to The NMSU Strategic Plan.**

Click or tap here to enter text.

**10. Impact D: Will the implementation of this proposal impact other resources? Be as specific as possible.**

- ✓ ICT (e.g. programming, data warehouse, Banner, etc.)
- ✓ Updates to the Academic Catalog
- ✓ Updates to NMSU websites, other than the Policy Library?
- ✓ Budget?
- ✓ Other? Click or tap here to enter text.
- ✓

**11. Impact E: Stakeholder Checklist (check all that apply in both sections):**

Administrative	Academic
<input type="checkbox"/> HR	<input type="checkbox"/> Department Heads
<input type="checkbox"/> ICT	<input type="checkbox"/> Associate Deans
<input type="checkbox"/> Police	<input type="checkbox"/> Academic Deans Council
<input type="checkbox"/> Facilities And Services	<input type="checkbox"/> University Curriculum Committee
<input type="checkbox"/> President’s Advisory Council	<input type="checkbox"/> Advising
<input type="checkbox"/> Real Estate	<input type="checkbox"/> Registrar
<input type="checkbox"/> Administration & Finance	<input type="checkbox"/> VPR/University Research Council
<input type="checkbox"/> Arrowhead Center	<input type="checkbox"/> VP Student Success
<input type="checkbox"/> Environmental Health And Safety	<input type="checkbox"/> Associated Students Of NMSU
<input type="checkbox"/> Employee Council	<input type="checkbox"/> Community College Presidents
<input type="checkbox"/> University Advancement	<input type="checkbox"/> Assoc. Prov for Faculty Development
<input type="checkbox"/> Human Resource Services	<input type="checkbox"/> Assoc. Prov for Accreditation
<input type="checkbox"/> Information And Communication Technology	<input type="checkbox"/> Assoc. Prov for Academic Administration
<input type="checkbox"/> NMDA	<input type="checkbox"/> Assoc. Prov for Online Learning
<input type="checkbox"/> Others?	<input type="checkbox"/> Assoc. Prov for Student Success
	<input type="checkbox"/> Assoc. Prov for Curriculum & Assessment
	<input type="checkbox"/> Assoc. Prov for Digital Learning
	<input type="checkbox"/> Dean of Students
	<input type="checkbox"/> Faculty Senate
	<input type="checkbox"/> Students
	<input type="checkbox"/> Others?



**12. Other information you want considered:**

Click or tap here to enter text.

**Approval to Submit Policy Proposal from Responsible Administrator/Office:**

*Note: The Responsible Administrator/Office is not approving the content of the Proposal, but approving its submission to the Policy Steering Committee as the first step in review process.*

_____	_____	_____
Name of Responsible Administrator/Office	Signature of Responsible Administrator/Office	Date

**Policy Steering Committee Approval to move forward with Vetting**

_____	_____	_____
Policy Steering Committee Chair	Signature	Date

## Appendix B Format for NMSU Operational Policy

*Policy proposals must adhere to the format below and completely filled in. An annotated version is located in Appendix A as a resource.*

Responsible Executive: \_\_\_\_\_  
 Responsible Administrator: \_\_\_\_\_  
 Responsible Office: \_\_\_\_\_  
 Span of Applicability/Eligibility: \_\_\_\_\_  
 NMSU System Effective Date: \_\_\_\_\_  
 Adopted: \_\_\_\_\_  
 Last Reviewed DATE; Last Revised: DATE

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ARP \_\_##\_\_  
 Title \_\_\_\_\_

### 1. AUTHORITY; PURPOSE

- 1.1. Authority: Click or tap here to enter text.
- 1.2. Purpose: Click or tap here to enter text.

### 2. SUMMARY

Click or tap here to enter text.

### 3. DEFINITIONS

- 3.1. Term: Click or tap here to enter text.
- 3.2. Term: Click or tap here to enter text.

### 4. KEY POLICY STATEMENTS

- 4.1. Internal control considerations
- 4.2. Statement: Click or tap here to enter text.
- 4.3. Statement: Click or tap here to enter text.

### 5. KEY PROCESS ELEMENTS

- 5.1. Cyclic Review (required element): Click or tap here to enter text.

*The following may need to be articulated in your Key Process Elements but are not required:*

- ✓ *Internal control considerations*
- ✓ *Approval levels*
- ✓ *Appeals processes*

## **6. CROSS REFERENCES**

- List Reference Sources (e.g. applicable law or regulation)
- List related policies
- Link related graphics
- Link related forms
- Link related SOP's

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## Appendix C Standard Operating Procedures

*Policy proposals must be accompanied by a draft of the standard operating procedures.*

**The following is a list of details that you *must* include in your SOP's:**

1. How frequently will the SOP's be reviewed/revised?
2. Who has approval authority for the SOP revisions?
3. How will subsequent editions of the SOP's be announced/distributed?

**The following is a list of details that you *may* need to include in your SOP's. This is not an exhaustive list and is not meant to be prescriptive:**

1. People: who are the individuals, committees, offices, etc. that will be involved in implementing and overseeing the use of this policy?
  - a. Are they elected or de facto responsible due their position?
  - b. If there is a committee involved, is that committee governed by this policy or another? If governed by this policy, consider:
    - Leadership and leadership succession
    - Rotational membership
    - Voting/approval levels
2. Roles & Responsibilities for the different individuals involved.
3. People: who are the individuals, committees, offices, etc. that will be involved in implementing and overseeing the use of this policy?
4. The following may need to be articulated in your SOP:
  - Internal control considerations
  - Approval levels
  - Appeals processes
5. Timeline: What will get done when? Are there different seasons for your policy?
6. Are there decision levels in your policy that should be appealed? What is the appeals process?
7. Does your policy require a communication plan that defines what roles know what and when?
8. Does your policy require any forms? Draft those as part of your SOP.
9. Provide a rationale for why your proposal doesn't need SOP's.

## Appendix D Documenting Non-Substantive Amendments

**Proposal Sponsor:** Click or tap to enter name.

**Date Submitted:** Click or tap

**Proposal Title:** Click or tap to enter name

**Sponsor's Department/Unit:** *Name*

**Direct Line:** Click or tap to enter number

**Email:** Click or tap to enter email

**Description of Correction/Update and Rationale (e.g. change HRS to HR throughout; official name of department changed)**

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**If applicable:**

Old Language:

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New Language:

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**Responsible Administrator has been notified about request for correction/update?**

Yes  No and by whom: \_\_\_\_\_

**Response by Responsible Administrator:** \_\_\_\_\_

**Approved and Implemented by Office of Policy Facilitator:**

\_\_\_\_\_  
**Name**

\_\_\_\_\_  
**Date**

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# Appendix E Policy Format Details

Responsible Executive:  
Chancellor Responsible Administrator:  
Vice Chancellor Responsible Office: Strategic System Services  
Limits on Span of Applicability:  
NMSU System Effective Date:  
Adopted:  
Last Reviewed DATE; Last Revised: DATE

ARP ##  
Title \_\_\_\_\_

Use current policy number

Submit proposed change to title

## 1. AUTHORITY & PURPOSE

**1.1. Authority:** Click or tap here to enter text.

**1.2. Purpose:** Click or tap here to enter text.

What does this policy accomplish? (See Operational Policy Criteria for

## 2. SUMMARY

Click or tap here to enter text.

Quick overview, adhering to word count. Reread before submission to ensure consistency with the Key Policy Statements and Key Process Elements.

## 3. DEFINITIONS

**1.3 Term:** Click or tap here to enter text.

**1.4.1.3. Term:** Click or tap here to enter text.

## 4. KEY POLICY STATEMENTS

These are the philosophies; general do's and do not's; roles and responsibilities

**1.5.1.4. Internal Controls Considerations (e.g. approvals required)** Click or tap here to enter text.

**1.6.1.5. Statement:** Click or tap here to enter text.

**1.7.1.6. Statement:** Click or tap here to enter text.

These are not the SOPs! This section provides basic process requirements. The SOPs provide the detail about how the process is to be implemented (e.g. timelines, forms) which typically need revision more frequently than policy.

## 5. KEY PROCESS ELEMENTS

**1.8.1.7. Overview of any hearing or appeal process (required element)** Click or tap here to enter text.

**1.9.1.8. Cyclic Review (required element):** Click or tap here to enter text.

## 6. CROSS REFERENCES

- Identify applicable federal or state laws or regulations
- Link to related policies
- Link to SOP's (graphics, forms and other standard operating procedures)

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## Appendix F

### Recommended: Policy Comparison Table

*Sponsors are encouraged to review policies from other public educational institutions and may wish to document using this Comparison Table. When providing the comparison, organize by the individual issue or topic being proposed. For example, if your proposal changes academic probation from 2.0 to 2.25 and limits credit hours to 13, then you should compare 1) Academic Probation standards and 2) credit hour limits.) Explain why you chose the peers you did, if other peer institutions are more appropriate than the examples listed below.*

Peer Institution	Issue #1	Issue #2	Issue #3
Colorado State University			
Iowa State University			
Kansas State University			
Montana State University			
Oklahoma State University			
Oregon State University			
Texas Tech University			
University of Arizona			
University of Idaho			
University of Nevada – Reno			
University of New Mexico			
University of Texas – El Paso			
University of Wyoming			
Utah State University			
Washington State University			

