

**RESPONSIBILITY AND ACCOUNTABILITY FOR COLLEGE INFORMATION AND TRANSACTIONS**

**1. General**

College administrative processes, systems, and forms provide electronic and manual mechanisms for business and administrative functions such as finance, student, student financial aid, and human resources. Use of College information and systems is restricted to authorized College business and administrative users. This policy defines the specific responsibilities of individuals who request, initiate, approve, and/or review business and administrative transactions and reports. These individuals are accountable for fulfilling the responsibilities defined in this policy.

**2. Deans, Directors, and Department Heads**

Deans, directors, and department heads define designated individuals in their organizations who are authorized to process business and administrative transactions. Deans, directors, and department heads are responsible for exercising good judgment, upholding ethical standards, and should have internal procedures in place to ensure periodic review of designations and related training.

**2.1. Authorizing and Processing Transactions**

Each of these two functions, authorizing transactions and processing transactions, carry distinct responsibilities listed below. If the functions are performed by the same person, that individual is accountable for both sets of responsibilities.

**2.1.1. Requesters**

The requester is the individual who identifies the need for the transaction and authorizes the request to be processed. The requester is responsible for:

- determining the validity and appropriateness of the transaction; and
- evaluating the transaction for compliance with contractual requirements.

This individual will be accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.

**2.1.2. Initiators and Originators**

Initiators/Originators are individuals who have been authorized by a dean, director, or department head to enter transactions into electronic business or administrative systems and/or prepare paper forms. If the Initiator/Originator is not the requester of the transaction, the Initiator/Originator should make sure he or she has designated authority to initiate a transaction. Departments should develop procedures for documenting requests. Initiators/Originators are also responsible for:

- ensuring the electronic transaction and/or form is complete and accurate;
- verifying all backup documentation;
- notifying approvers and requester if a transaction will cause an account to go over budget;
- ensuring compliance with administrative processes; and

- ensuring deadlines are adhered to in submission of the transactions.

Initiators/Originators are accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.

## **2.2. Departmental Approvers**

Approvers are individuals designated by deans, directors, or department heads to review and approve electronic transactions and/or forms before they are released for processing. Depending on the type of transaction and the level of risk, there may be more than one individual required to approve a transaction. However, the first-level approver is responsible for:

- conformity with budget;
- verifying the appropriateness of the transaction; and
- ensuring compliance with College policies and procedures.

Subsequent approvers are primarily responsible for acceptance of the added risk associated with high dollar and/or risk transactions. Approvers will be accountable for fulfilling the above responsibilities, exercising good judgment, and upholding ethical standards.

## **3. College Information**

All individuals authorized to process, approve, and/or review transactions and reports are responsible for the proper use of any information they view. Department heads or designees are responsible for a monthly review of transactions affecting their business and administrative processes to ensure appropriateness of transactions and conformity with approved processes including budget.

## **4. Sanctions**

Individuals who do not demonstrate due care and good judgment in the administration of their duties may be subject to disciplinary action, up to and including, discharge.

**2015**

## **CONTRACT MANAGEMENT AND MONITORING**

### **1. General**

Monitoring the performance of contractors is a key function of proper contract management and administration. The purpose of contract management and monitoring is to ensure that the contractor is performing all duties in accordance with the contract, the financial interests of the College are protected, and the College is aware of and addresses any developing problems or issues on a timely basis. When a contract is executed a Northern New Mexico College employee is appointed as the contract owner and is responsible for monitoring the contract for proper execution and performance from the start date of the contract through completion and final payment. For the purposes of this policy, a "contract" is defined as a written agreement between two (2) or more parties intended to have legal effect, including Memorandums of Understanding, Memorandums of Agreement, Nondisclosure Agreements, and Letters of Understanding.

1 Requests to exempt contracts from the requirements of this policy must be approved in writing  
2 by the Vice President for Finance and Administration. This Policy does not apply to research,  
3 and sponsored project contracts or agreements which are monitored in accordance with  
4 applicable rules, regulations, and policies.

## 5 6 **2. Contract Owner**

### 7 8 **2.1. Role and Responsibilities**

9 The contract owner is responsible for monitoring that contract requirements are satisfied,  
10 services are delivered in a timely manner, safety and risk issues are addressed, and  
11 required payments are made. The contract owner is also responsible for striving to  
12 resolve discrepancies and timely reporting of any unresolved discrepancies and/or  
13 problems to the administrator who signed the contract or agreement.

### 14 15 **2.2. Monitoring Procedures**

16 The procedures a contract owner uses will vary depending on the size, level of risk, and  
17 complexity of the contract.

#### 18 19 **2.2.1. Contracts Less Than \$20,000**

20 Contract less than \$20,000 should be monitored for performance to ensure services  
21 conform to the contract requirements. The contract owner should report the status on  
22 all open contracts less than \$20,000 at the close of each fiscal year and upon  
23 completion of the contract.

#### 24 25 **2.2.2. Contracts \$20,000 and Above**

26 This policy requires a higher degree of monitoring for contracts \$20,000 and above.  
27 For these contracts, the contract owner should review the contract to identify  
28 deliverables and develop a monitoring plan/checklist for each contract taking into  
29 account the level of risk. General factors used to assess the level of risk include, but  
30 are not limited to:

- 31 • the dollar amount of contract;
- 32 • negative impact to the College's safety and/or reputation if the contract is not  
33 executed properly and on time;
- 34 • the contractor's past performance; and
- 35 • how experienced the contractor is with the type of work to be performed.

36  
37 The contract owner will provide quarterly updates to the administrator who signed the  
38 contract or agreement. At a minimum, the contract owner should perform the  
39 following contract monitoring procedures:

- 40 • Monitoring the contractor's progress and performance to ensure services  
41 conform to the contract requirements. Depending on the nature of the contract  
42 the contract owner may need to conduct one or more site visits.
- 43 • Documenting required contractor visits, tests, and significant events.
- 44 • Reviewing required reports submitted by the contractor demonstrating  
45 compliance.
- 46 • Resolving disputes in a timely manner.

- Verifying receipt of contract deliverables in accordance with the contract terms and maintaining detailed supporting documentation.
- Reviewing contractor's invoices and reconciling and verifying payments consistent with the contract terms and maintaining proper documentation.
- Reviewing compliance with applicable laws, regulations, and policies and consulting with the applicable College department if there are any concerns.

### **2.3. Poor or Under Performance by Contractor**

If a contract owner determines that the contractor's performance is not acceptable, the contract owner should notify the responsible Northern New Mexico College administrator identified on the contract review form. This administrator in consultation with the Business Office will determine the appropriate action, which may include withholding some or all of payment.

## **3. Reporting**

The contract owner is responsible for reporting the following information on a timely basis to the administrator who signed the contract or agreement.

- report any unresolved discrepancies and/or problems;
- prepare quarterly status reports for contracts \$20,000 or above; and
- prepare a final report when the contract is completed.

## **2030**

### **SOCIAL SECURITY NUMBERS**

#### **1. General**

Northern New Mexico College collects and maintains confidential information, including social security numbers (SSNs) of its students, staff, faculty and individuals associated with the College. Northern recognizes the importance of the proper handling of SSN's in order to protect personal privacy and minimize the growing risks of fraud and identity theft. The Federal Privacy Act of 1974 (5 U.S.C. Sec. 552a) is the federal law that regulates the collection of SSNs. This law makes it illegal for federal, state or local government agencies to deny any rights, benefits or privileges to individuals who refuse to disclose their SSNs unless the disclosure is required by federal statute or the disclosure is to an agency for use in a record system which required the SSN before 1975. This Act applies to Northern. The Federal Privacy Act also requires that any agency that requests SSNs must inform individuals asked:

- whether the disclosure is mandatory or voluntary;
- what the authority is for requesting the SSN;
- what uses will be made of the information; and
- the consequences, if any, of failure to provide the information.

#### **2. Collection of Social Security Numbers**

Where IRS or other federal regulations require Northern to report SSN, we require individuals to provide us with that information.

##### **2.1. Notification Statement**

1 In all instances when Northern requests an individual to supply his/her SSN, it must  
2 indicate in writing:

- 3 • whether the disclosure is mandatory or voluntary;
- 4 • by what authority the number is requested;
- 5 • the uses which will be made of it; and
- 6 • the consequences, if any, of failure to provide the SSN. All statements must be  
7 approved in advance by the Office of Human Resources

## 8 9 **2.2. Employees**

10 Employees are required to provide their SSNs on payroll/personnel, health insurance, and  
11 retirement forms.

## 12 13 **2.3. Students**

14 Students are required to provide their SSNs for admission, financial aid, and student  
15 housing contracts. Students unable to provide a SSN will be assigned an alternative  
16 number.

## 17 18 **2.4. Other Individuals**

19 Other forms that request disclosure of SSNs, and proposals by departments to collect  
20 SSNs for any purpose must be approved in advance by Office of Human Resources. The  
21 provision of SSNs in such cases must be strictly voluntary and individuals who decline to  
22 disclose the number may not be denied any rights, benefits or privileges.

## 23 24 **3. Disclosure of SSNs by Northern**

25 An individual's SSN is personal information and shall not be released by Northern to outside  
26 individuals or entities, except:

- 27 • as allowed or required by law;
- 28 • when permission is granted by the individual;
- 29 • when the outside individual or entity is acting as Northern's contractor or agent and  
30 appropriate security measures are in place to prevent unauthorized dissemination to third  
31 parties; or
- 32 • when the Office of Human Resources has approved the release.

## 33 34 **4. Northern Identification Numbers**

35 Northern does not use SSNs as primary identifiers for students or employees. Any exception  
36 must be approved in writing by the cognizant vice president. Students and employees are  
37 assigned a Banner identification number to allow access to records and to transact business with  
38 Northern. These numbers remain the property of, and are subject to, Northern's rules. Northern  
39 identification numbers are not accorded the same confidential status as SSNs.

## 40 41 **5. Use of SSNs**

42 The following guidelines must be followed by Northern employees with access to SSNs:

- 43 • SSNs will be transmitted electronically only through secure mechanisms as determined  
44 by ITS;
- 45 • paper and electronic documents containing SSNs will be disposed of in a secure fashion;  
46 and

- student grades and other pieces of personal information will not be publicly posted or displayed using either the complete or partial SSN for identification purposes.

## **6. Report Collection, Use, and/or Storage of SSNs**

Departments that collect, use and/or store SSNs must submit a report to the Director of Human Resources documenting the reason for collection, the handling processes in place to ensure protection of SSNs. Reports must be made within ninety (90) days of beginning collection, use, and/or storage of SSNs, whichever is later. In addition, departments must review SSN procedures annually and report any changes to the Director of Human Resources.

# **2040**

## **IDENTITY THEFT PREVENTION PROGRAM**

### **1. General**

The College's Identity Theft Prevention Program is designed to detect, prevent, and/or mitigate identity theft in connection with the opening and maintenance of student and employee covered accounts. Covered accounts are accounts that involve or are designed to permit multiple payments or transactions. Examples include, but are not limited to, student financial aid accounts and Bookstore accounts, The Identity Theft Prevention Program defines processes and procedures to guide employees in departments involved with covered accounts in identifying and responding to patterns, practices, or specific activities (Red Flags) that indicate the possible existence of identity theft. Red Flags generally fall within one of the following four categories: suspicious documents, suspicious personal identifying information, suspicious or unusual use of accounts, and/or alerts from others (e.g. customer, identity theft victim, or law enforcement). Examples of Red Flags include, but are not limited to, documents that appear to be forged or altered, conflicting demographic information, mail returned as "undeliverable" although transactions continue on the account, or a notice or inquiry from a fraud investigator. This policy applies to the entire College It outlines employee responsibilities, processes, and required training pertaining to Northern's Identity Theft Prevention Program and ensures compliance with the Fair and Accurate Credit Transactions (FACT) Act of 2003 and the accompanying requirement (section 114) to develop and implement a written Identity Theft Prevention Program (16 CFR Part 681, aka "Red Flags Regulation "or "Red Flags Rule").

### **2. Program Responsibility**

#### **2.1. Vice President for Administration and Finance**

The Vice President for Administration and Finance is responsible for:

- implementing the Identity Theft Prevention Program,
- conducting periodic reviews of compliance with the Program,
- ensuring compliance with the Program's training requirements, and
- approving material changes to the Program as necessary to address changing identity theft risks.

#### **2.2. Departments**

Deans, directors, and departments heads of areas that work with covered accounts are responsible for implementing departmental processes for complying with this policy and

1 ensuring that employees responsible for compliance attend required training. Employees  
2 in these departments are responsible for:

- 3 • complying with the Program,
- 4 • identifying relevant Red Flags appropriate for their operations,
- 5 • implementing policies and procedures to detect the Red Flags,
- 6 • responding appropriately to prevent and mitigate identity theft,
- 7 • attending Red Flag training, and

### 8 9 **2.3. Information Technology Services (ITS)**

10 The Director of Information Technology shall provide technical support to departments  
11 and the Vice President for Administration and Finance.

## 12 13 **3. Preventing and Mitigating Identity Theft**

### 14 **3.1. Required Training**

15 Employees involved in student registration, financial aid, student billing and collections,  
16 Bookstore sales, and any other area involved with covered accounts must attend training  
17 on recognizing and responding to potential identity theft indicators (Red Flags). Every  
18 individual currently performing the aforementioned duties must complete this training  
19 within one hundred twenty (120) days of the effective date of this policy. All individuals  
20 newly performing such duties must complete this training within their first thirty (30)  
21 days of starting to perform these duties.

### 22 23 **3.2. Identity Verification**

24 To facilitate detection of standard Red Flags, staff will at a minimum take the following  
25 steps to obtain and verify the identity of the person.

#### 26 27 **3.2.1. New Students/Accounts**

- 28 • Whenever possible, require identifying information (e.g. full name, date of  
29 birth, address, and government issued ID, insurance card, etc.).
- 30 • When available, verify information with additional identifying  
31 documentation such as a credit card, utility bill, medical insurance card,  
32 etc.

#### 33 **3.2.3. Existing Accounts**

- 34 • Verify validity of request for changes of billing address.
- 35 • Verify identification of customers before giving out personal information.

## 36 37 **2050**

### 38 **GOVERNMENTAL RELATIONS AND LEGISLATIVE ACTIVITY**

#### 39 40 **1. General**

41 Federal and state support is extremely important to the teaching, research, and public service  
42 mission of the College. Through this support, the College can enhance current programs and  
43 develop resources to support future programs. To ensure effective development and management  
44 of governmental support and compliance with federal and state laws and regulations, the College  
45 coordinates contact with elected officials through the College's Office of Institutional  
46 Advancement

1 **2. Office of Institutional Advancement**

2 With a comprehensive overview of the College's legislative activity, the Office of Institutional  
3 Advancement serves as a clearing house for legislative requests to ensure a consistent message of  
4 the College's priorities and to ensure legislators are not approached by multiple Northern  
5 constituents at the same time. The Office of Institutional Advancement establishes relationships  
6 with elected officials, matches requests for information with the appropriate Northern  
7 representatives, and works closely with students, faculty, and staff to ensure the College presents  
8 a unified image to the legislature.

9 **2.1. Establishment of Northern's Legislative Priorities**

10 The Office of Institutional Advancement will coordinate an inclusive and transparent  
11 process which provides students, faculty, and staff an opportunity to participate in the  
12 development of the College's priorities. This is a year-round process that includes open  
13 forums, committee meetings, and legislative hearings during the nine (9) months leading  
14 up to the legislative session. Therefore, it is important that students, faculty, and staff  
15 become involved early in the process so their concerns and suggestions can be effectively  
16 addressed at the appropriate stage of the priority setting process. Legislative priorities are  
17 approved by the Board of Regents, at the recommendation of the President.

20  
21 **2.2. Speaking or Acting on Behalf of the College**

22 In the limited circumstances where individuals are authorized to speak or act on behalf of  
23 the College, they must notify the Office of Institutional Advancement to ensure  
24 compliance with federal and state laws and regulations regarding governmental,  
25 legislative, and political activities which include the Lobbying Disclosure Act of 1995,  
26 the New Mexico Governmental Conduct Act, and the New Mexico Gift Act. Activities  
27 covered by these laws and regulations include not only actions that attempt to influence  
28 the action of any legislative body, or federal, state or local governmental agency, but also  
29 contact with certain senior officials, ministers, and other designated public office holders.

30  
31 **2.3. Notification of Contact with Elected Officials**

32 The College encourages employees to have good professional relationships with state and  
33 federal elected officials and to be responsive to their questions and requests for  
34 information. However, many contacts with elected officials may be considered by state  
35 and federal law to be official lobbying on behalf of the College. To ensure compliance  
36 with related laws and regulations and the accuracy and completeness of responses, it is  
37 important that employees notify the Office of Institutional Advancement before  
38 contacting elected officials.

39  
40 **3. Personal Opinions Expressed to Federal, State, and Local Officials**

41 While all members of the College community are free to express their political opinions and  
42 engage in political activities to whatever extent they wish, it is very important that they do so  
43 only in their individual capacities; do not use College resources; and avoid the appearance that  
44 they are speaking or acting for the College in political matters. It can be difficult for members of  
45 the public, including reporters and legislators to differentiate between an official College  
46 position and a personal opinion; therefore, employees should take care to stipulate that the

1 personal opinions expressed are their own and not necessarily those of the College. The College  
2 recognizes and approves the right of free speech and expression of opinion on any subject by any  
3 member of the College community, whether the subject relates to on-campus or off-campus  
4 issues.

## 5 2110

### 6 LONG DISTANCE TELEPHONE CALLS

#### 7 8 9 **1. General**

10 Only long distance calls for official Northern business should be charged to the College.  
11 Charging long distance telephone calls for personal or other non-College purposes is prohibited  
12 and constitutes misuse of College funds. Personal calls made from College telephones must be  
13 charged to the caller's home telephone or personal credit card, to the called party, or to another  
14 non College source. If an emergency situation requires an employee to charge a personal long  
15 distance call to the College, the employee must reimburse the College. Since the call is charged  
16 to the department, reimbursement is made to the department's account.

#### 17 18 **2. Authorization to Place Long Distance Calls at College Expense**

19 Each individual who is authorized by a department to place long distance calls for College  
20 business will be issued an individual authorization code which can be used to place calls from  
21 College phones. Calling cards are issued to individuals who place long distance calls for College  
22 business from non-College phones. Authorization codes and calling cards are issued to  
23 individuals by the College Information Technologies. Long distance charges are billed to the  
24 account specified by the requesting department. Information Technologies provides departments  
25 with invoices itemized by authorization code and calling card numbers which enable a  
26 department to monitor long distance calls. Departments should maintain long distance telephone  
27 logs to ensure the accuracy and appropriateness of College long distance charges and reconcile  
28 the logs to the invoices provided by Information Technologies. Charges billed to an account in  
29 error should be reported to Information Technologies.

##### 30 31 **2.1. Security**

32 Individuals assigned long distance authorization codes and calling cards are responsible  
33 for ensuring the security of the codes and cards, and should not disclose or share them  
34 with others. Individuals should report compromised authorization codes or lost calling  
35 cards to Information Technologies immediately.

##### 36 37 **2.2. Deactivation**

38 When an individual transfers to another department, his/her authorization code and/or  
39 calling card is deleted and a new authorization code and/or calling card is issued and  
40 charged to the new department. Upon separation from the College, the employee must  
41 return all calling cards to the Information Technologies Department. The department  
42 requesting authorization codes and calling cards is responsible for notifying Information  
43 Technologies of an employee's change of status and requesting that authorization codes  
44 and/or calling cards be deactivated. Any charges incurred by the continued use of an  
45 authorization code or calling card due to a department's failure to request that they be  
46 deleted or changed will be billed to the responsible department's account.

1 **3. Reimbursement for College Business Long Distance Calls**

2 Long distance calls made for College business purposes using an employee's personal telephone  
3 services (including a personal calling card, cell phone, or home phone line) may be reimbursed.  
4 The employee must attach a copy of the telephone invoice with the pertinent calls highlighted  
5 and an explanation of the expense to the applicable form.  
6

7 **2140**

8 **USE AND POSSESSION OF ALCOHOL ON COLLEGE PROPERTY**

9 **1. General**

10 The use and possession of alcohol is prohibited on College property, except as authorized herein.  
11 For the purposes of this policy, the use of alcohol refers to the possession, service, or  
12 consumption of alcoholic beverages. This policy governs the use of alcohol on College property.  
13 It applies to students, student organizations, faculty, staff, College departments and other entities,  
14 and visitors. This policy applies to property owned, leased by, or operated by the College and to  
15 all events sponsored by the College or its subunits. It does not apply to property owned by the  
16 College and leased to others, unless it would otherwise apply.  
19

20 Northern recognizes that alcoholic beverages are legal commodities that may be used responsibly  
21 by persons of legal drinking age. The College also recognizes that alcohol use may lead to  
22 significant individual and societal harm. This policy is intended to reduce alcohol-related harm  
23 while allowing for the legal, safe, and responsible use of alcohol. The College also recognizes  
24 that diversity of opinion and freedom of choice are the foundations of institutions of higher  
25 education, and that the use of alcoholic beverages by those of legal age is a matter of personal  
26 choice. Individuals who choose to use alcohol on College property in accordance with this policy  
27 must comply with state law and College policies and procedures, and conduct themselves  
28 responsibly, mindful of the rights of others.  
29

30 **2. Use of Alcoholic Beverages**

31 Northern employees are prohibited from drinking alcoholic beverages or being under the  
32 influence of alcoholic beverages during working hours, or while operating or riding in a College  
33 vehicle.  
34

35 The use of alcohol on College property is prohibited except as follows or where licensed.  
36

37 **2.1. Receptions or Other Social Functions**

38 Alcohol may be used at receptions or other social functions sponsored by a College  
39 department or other unit when approved by the College President or designee in advance,  
40 in writing. Such events should normally involve special guests of the College or  
41 otherwise be a non-routine occurrence, such as a reception for visiting dignitaries or a  
42 reception in connection with an academic conference. The reception or function must be  
43 by invitation only and held in a location that can reasonably be closed to the public. The  
44 following additional restrictions apply:

- 45 • Only beer and/or wine may be served.

- Sale of alcohol is prohibited, except as allowed in Section 2.3. Cash bars and entrance fees intended to help defray the cost of providing alcoholic beverages are prohibited.
- Service of alcohol at office parties or similar office social events is prohibited.
- Receptions or other social functions are subject to the restrictions listed in Section 5.2. herein.

## **2.2. Research**

Alcoholic beverages may be used for research. Such functions must be approved in advance, in writing, by the President or designee.

## **2.3. Licensed Locations**

Alcoholic beverages may be sold and served at any College location possessing a legal license to sell and serve alcoholic beverages. Approval by the President or designee is not required.

## **2.4. Food Preparation**

Alcohol may be used in food preparation in College food production areas.

## **3. State Law**

State law governs many aspects of the consumption and serving of alcohol. All individuals who use and/or serve alcohol on Northern property must comply with the applicable legal requirements.

## **4. Purchase of Alcohol**

The purchase of alcohol with College funds is prohibited except as follows:

**4.1.** Alcohol may be purchased for research. The purchase must be approved in advance, in writing, by the College Controller after recommendation by the cognizant dean or director. See Section 2.2. herein for approval requirements of function.

**4.2.** Alcohol may be purchased by any Northern holder of a legal license to sell and/or serve alcoholic beverages pursuant to its license. Approval by the President or designee is not required.

## **5. Procedures**

### **5.1. Request for Approval**

A department requesting a function authorized by Sections 2.1. and 2.2. herein must complete a Request to Serve Beer or Wine on College Property and send it fifteen (15) business days prior to the reception or function to the Vice President for Finance and Administration for review. All requests will then be forwarded to the President's Office for approval. If an entity outside the College co-sponsors any event, the co-sponsor must obtain liquor liability insurance in the amounts required by the College. Proof of insurance must be sent to the Vice President for Finance and Administration's office no later than ten (10) business days prior to the event. The College must be named an additional insured.

1  
2 **5.2. Restrictions**

3 Whenever alcohol is used on College property, the following restrictions apply:

- 4
- 5 • The sponsors must take precautionary measures to ensure that alcohol is not  
6 used by persons who appear intoxicated; and/or who are under the age of  
7 twenty-one (21).
  - 8 • Sponsors must follow principles of good hosting which include having non-  
9 alcoholic beverages and food available, and providing planned programs. The  
10 use of alcohol shall not be the sole purpose of any activity.
  - 11 • Non-alcoholic beverages must be available at the same place and be as  
12 noticeable as the alcoholic beverages.
  - 13 • A reasonable portion of the budget for the event shall be spent on food.
  - 14 • Any form of a "drinking contest" in activities or promotions is prohibited.
  - 15 • There shall be no kegs or use of devices that facilitate the rapid ingestion of  
16 beer or other alcoholic beverages, such as "beer bongs," and no sale of  
17 alcohol.

18 **5.3. Promotional Materials**

19 Alcohol shall not be mentioned in any promotional materials developed or distributed by  
20 the College for an event and shall not be used to encourage participation.

21  
22 **6. Chartered Student Organizations**

23 Chartered student organizations must comply with state law, this policy, and to any provisions in  
24 the Chartered Student Organization Policy governing the use of alcohol.

25  
26 **7. Education, Support Groups, and Services for Alcohol-Related Problems**

27 In light of social and health problems associated with alcohol abuse, the College will provide  
28 educational services to faculty, staff, and students about alcohol-related problems. Students,  
29 faculty, and staff may get assistance from the following College programs.

30  
31 **7.1. Consultation and Referral for Alcohol Related Problems**

32 The following College programs provide consultation and/or referral for alcohol-related  
33 problems:

- 34
- 35 • Student Counselor--students only
  - 36 • CARS--faculty and staff only
- 37  
38  
39  
40

41 **2150**

42 **ALCOHOL-RELATED ADVERTISING, MARKETING AND SPONSORSHIP**

43  
44 **1. General**

45 This policy governs sponsorship and advertising by businesses that provide, sell, market, or  
46 distribute alcoholic beverages on College property or at College events. Advertising is any

1 advertisement, signage, label, logo, packaging, imprint, sales promotion activity or device, public  
2 relations material or event, merchandising, or other activity or communication that has the  
3 obvious intent of promoting or marketing a non-College product, service, event, or organization.  
4 Businesses that provide, sell, market, or distribute alcoholic beverages are permitted to sponsor  
5 or co-sponsor a College event, subject to the provisions of this policy and provided that the  
6 primary audience is of legal drinking age. Sponsorship means that a College department or unit  
7 is actively involved in the event itself.

8  
9 Northern recognizes that alcoholic beverages are legal commodities that may be used responsibly  
10 by persons of legal drinking age. The College also recognizes that alcohol use may lead to  
11 significant individual and societal harm. This policy is intended to reduce the potential for  
12 alcohol-related harm while allowing for the legal, safe, and responsible use of alcohol. The  
13 College has the right to refuse any advertising, marketing, or sponsorship. Any allowed  
14 advertising, marketing, or sponsorship shall not adversely affect the College's reputation.

## 16 **2. Provisions**

17 Alcohol beverage advertising and marketing programs and materials:

- 18 • shall not contain indecent or profane material or demeaning, sexual, or discriminatory  
19 portrayal of people;
- 20 • shall support campus alcohol education programs that encourage informed and  
21 responsible decisions about the use or nonuse of alcohol;
- 22 • shall not encourage any form of alcohol abuse or emphasize amount and frequency of  
23 use;
- 24 • shall not violate the principles of the College's Affirmative Action/Equal Opportunity  
25 Policy;
- 26 • shall not portray drinking as a solution to problems or an aid to social, sexual, or  
27 academic success;
- 28 • shall not provide alcoholic beverages as awards or prizes;
- 29 • shall not encourage alcohol use or imply that alcohol use improves tasks that require  
30 skilled reactions such as sports, driving, or operating machines; and
- 31 • shall not imply the College's endorsement.

## 33 **3. Advertising and Promotions**

34 Informational marketing programs shall have educational value and encourage the responsible  
35 and legal use of the products represented. At a minimum, a statement such as "This company  
36 supports the legal and responsible use of this product" must appear in all advertisements. Refer  
37 to **Standards for College Related Materials, 1010** for additional standards.

## 39 **4. Authorization**

40 The cognizant dean or director must approve sponsorship and promotional activities for the event  
41 or program. The Dean of Students must approve the display or distribution of promotional  
42 materials by chartered student organizations. Alcohol sponsorship, advertising, and marketing  
43 related to Northern athletic events or facilities must be reviewed by the Vice President for  
44 Finance and Administration and the Vice President for Institutional Advancement.

## 46 **5. Publications**

1 Student publications and publishers of non-promotional materials distributed on campus are  
2 strongly encouraged to follow the above provisions.

## 3 4 **2155**

### 5 **Public Access and Loitering Policy**

6 Northern New Mexico College is a member of the New Mexico Public College System. The  
7 President, as the chief executive officer has the responsibility for the operation and  
8 administration of the entire campus. The President or any designated authorized personnel may  
9 issue a trespass warning for violators of the Public Access and Loitering Policy and the  
10 Solicitation and Commercial Activity Policy.

11  
12 Although Northern New Mexico College encourages social interaction and the free exchange of  
13 ideas, the College reserves the right to set the time, place and manner of public gatherings to  
14 maintain an environment on campus that is conducive to learning. The College prohibits loitering  
15 near academic buildings, adjacent spaces, classrooms and offices by members of the public who  
16 are not authorized staff, faculty, or students registered at Northern. This policy applies to campus  
17 visitors (non-College persons) who have not been authorized to use the College premises.  
18 However, when a public meeting is conducted under the rules of the Open Meetings Act, and /or  
19 when the public has been invited to activities planned by College entities; members of the public  
20 are welcome to come to the designated location where the public meetings or activities are taking  
21 place.

22  
23 Non-College persons are allowed to use the common areas of the College during normal business  
24 hours and are allowed to attend lectures, plays, games and other activities on the College campus  
25 in the designated buildings or areas when such attendance is permitted by the sponsoring  
26 organization. Non-College persons are permitted in non-common areas of the College, including  
27 offices and administrative areas only when invited or on authorized College business. Non-  
28 College persons are not allowed on College property except as authorized by this regulation.

29  
30 Once the public meeting and/or activities have ended, visitors are required to leave the premises  
31 and not wander around College buildings, halls or other offices where classes and business are  
32 being conducted.

33  
34 Students and recognized student organizations wishing to coordinate an event on campus must  
35 request permission in writing at least 24 hours in advance from the Office of Institutional  
36 Advancement (as per Northern's Freedom of Expression and Dissent Policy (2200). Campus  
37 visitors wishing to gather on campus or distribute material to students must request permission at  
38 least ten (10) days in advance from the Coordinator of Student Activities or a designee from the  
39 Office of Institutional Advancement.

40  
41 The Northern New Mexico College campus, encompassed by its buildings, labs and other  
42 outside spaces adjacent to buildings and extensions of these spaces and all areas within its  
43 "footprint," but not limited to exterior seating areas, are intended for the use of students, faculty,  
44 staff, authorized guests of the College, and participants in authorized on-campus activities.  
45 Loitering or interfering with this intended use is prohibited, and violators will be required to  
46 leave. Failure to comply with a request to leave will result in faculty or staff calling the Security

1 Office, and where necessary, contact to local authorities to request assistance and/or removal  
2 unauthorized individuals from the premises. In addition, lounges and other non-reservable spaces  
3 cannot be utilized for interviewing or meetings that interrupt the usage of the space as intended,  
4 without the written permission of the Office of Vice President of Finance and Administration.  
5 Walk-ins are welcome to visit Admissions, Advisement and other designated offices where  
6 College business is conducted, provided that the visitor has a legitimate, College/business related  
7 reason to visit these locations. While conducting College business, guests are required to have  
8 personal identification in the event they are asked to produce this information.

9  
10 Where the President or his/her designee has reasonable suspicion that a person is violating or has  
11 violated the law, is violating or has violated any College regulation or policy, including, as  
12 applicable, the Student Code of Conduct and employee disciplinary procedures; is prowling,  
13 loitering, inappropriately using College facilities; is obstructing traffic or impeding entry or exit,  
14 damaging property, creating a hazardous or unsafe condition, disrupting College operations,  
15 making threats toward any person or College property whether implied or express, or who is  
16 creating an atmosphere not conducive to the use of such facilities by others, may be directed to  
17 leave the property and/or be issued a trespass warning by the President or his/her designee.

18  
19 Nothing in the foregoing shall preclude or be interpreted to preclude or otherwise diminish the  
20 exercise of the statutory authority of security officers to request additional intervention from the  
21 local police department in accordance with the laws of New Mexico for violations of city, county  
22 and/or state or other applicable ordinances when such violations occur on any property or  
23 facilities which are under the jurisdiction of Northern New Mexico College security officers.

24  
25 Any member of the College community that violates this policy will be subject to disciplinary  
26 action. The College, through the President or her designee, reserves the right to limit or ban  
27 access of any individual to College property or functions for violations of this policy.

## 28 29 **2156**

### 30 **Solicitation & Commercial Activity Policy**

31 Northern New Mexico College and all other spaces designated in the above policy are  
32 solicitation and commercial free zones. Distribution of any type of materials (including but not  
33 limited to leaflets, fliers, gifts, surveys, brochures, posters, coupons, etc.), or solicitation of any  
34 type of goods or services to NNMC patrons or staff is strictly prohibited. Furthermore, the  
35 passing of petitions, distribution of written information, carrying of placards, and picketing are  
36 not allowed on campus property regardless of content. Commercial activity including  
37 solicitation, interviewing, recruiting, selling and distribution of flyers, petitions or other written  
38 information is also prohibited unless the commercial solicitor's material, in the discretion of the  
39 President or her designee, supports the educational mission and purpose of the College and is  
40 given specific permission by the Office of Institutional Advancement. Soliciting or interfering  
41 with Northern's intended use is prohibited, and violators will be required to leave and  
42 unauthorized material will be removed from tables, boards or any other places where  
43 unauthorized information has been placed.

44  
45 Solicitation by departments and other College-affiliated programs will be allowed when  
46 permission has been granted prior to any distribution.

1 **Definitions**

2 (a) College students. Those persons who are currently enrolled at Northern or have been  
3 admitted, registered for upcoming classes or completed at least one credit at the College during  
4 the current academic year or high school students taking dual credit courses and/or continuing  
5 education courses during the duration of the course taken.  
6

7  
8 (b) College persons. Those persons who are faculty, staff or other employees, volunteers or  
9 agents of the College, and persons on College property fulfilling contractual obligations or  
10 authorized members of registered College organizations.  
11

12 (c) Non-College persons. All other persons who are not classified above as Northern students  
13 or individuals including, but not limited to, visitors, invited guests, students of other institutions  
14 and employees of other entities, and persons who have applied but have not been admitted to the  
15 College.  
16

17 (d) President’s designee. Any authorized security personnel and all Vice Presidents, Provost, and  
18 Deans of all levels.  
19

20 (e) No Trespass Order. A warning that a person is not authorized to be on College property, or a  
21 portion thereof, and may be subject to arrest, criminal sanctions and civil penalties without  
22 further warning if he or she refuses to leave or returns at any time in the future. Trespass  
23 warnings may be either temporary or permanent and remain in full force and effect unless  
24 otherwise notified.  
25

26 (f) Common areas. College areas generally open to non-College persons including, but not  
27 limited to, the library, cafeteria, food/vending areas, and bookstore/retail areas.  
28

29 **2160**

30 **OUTDOOR VENDORS**

31  
32 **1. General**

33 Street-side sales of specialty and hand-crafted items are an integral aspect of southwest culture  
34 and can contribute to the social and cultural environment of the campus. However, the presence  
35 of unregulated outdoor vendors on Northern campus impinges on and degrades the educational  
36 environment and the process of higher education. In addition, such unregulated vending mars the  
37 beauty and tranquillity of the campus and contributes to unnecessary congestion, noise, and  
38 trash. Commercial vendors do not have the right to use College property free of charge.  
39

40 **1.1. Purpose**

41 The purposes of this policy are to allow for outdoor vending, but in a controlled manner  
42 that:

- 43 • protects and preserves the academic environment of the College from unnecessary  
44 disturbance;
- 45 • protects and preserves the beauty and tranquility of the College environment;
- 46 • promotes health and safety of the College community;

- prevents commercial exploitation of students; and
- protects and preserves the College's proprietary interests in its property.

## 2. Application

### 2.1. Unauthorized Vending Prohibited

No person shall sell food, goods, or services or carry on a trade or business on College property without the expressed consent of the College.

**2.1.1.** Outdoor vending is governed by the provisions of this policy.

**2.1.2.** Vending within College facilities is prohibited unless authorized and approved in advance by the facility custodian such as the dean or director of the School, College, or Department.

### 2.2. Property Subject to Policy

This policy applies to Northern's Main Campus, and El Rito Campus.

### 2.3. Private and Non-Profit Vendors

This policy applies to all private commercial and non-profit vendors not associated with the College who seek to sell goods or services on College property as described in **Section 2.2.** herein. This policy does not apply to vending or distribution by mechanical device which may be regulated by the College through a bid or procurement process. Food and beverage vendors are not covered by this policy. Experienced food and beverage vendors who wish to provide services on campus must contact the College Purchasing Department.

### 2.4. College Organizations

This policy also applies to vending by College organizations (e.g., departments, chartered student organizations).

### 2.5. Commercial Advertising or Speech

This policy does not apply to commercial advertising or speech.

### 2.6. Vendors to the College

This policy does not apply to vendors or owners or operators of commercial vehicles who are selling goods or services directly to the College or any officers, employees, or agents of the College for the conduct of College business or to other vendors conducting business on the College campus as authorized through the College procurement process. Refer to campus parking and traffic regulations for vendor parking permit information.

## 3. Authorized Vending Locations

### 3.1. Main Campus

Outdoor vending is allowed by private commercial and non-profit vendors or College organizations only as provided for in this policy and only in the areas designated by the permit. Permits and procedures will be issued by the Dean of Students.

1 College organizations and all commercial and non-profit vendors not associated with the  
2 College will be assigned a location on campus by the Dean of Students. In some  
3 instances, specific vending site permits will be issued in accordance with the procurement  
4 process used to select food and beverage vendors.  
5

### 6 7 **3.2. Vending in Residence Halls**

8 Outdoor vending is allowed by private commercial and non-profit vendors or College  
9 organizations only under the provisions of this policy and only in the areas determined by  
10 the Dean of Students. Permits will be issued by the Dean of Students.  
11

## 12 **4. Vending Permits**

### 13 14 **4.1. Vending Without Permit Prohibited**

15 Every private commercial and non-profit vendor must obtain a permit from the College  
16 and must also pay a fee in advance to cover the term of the permit. College organizations  
17 must obtain a permit for vending activities but are exempt from paying any fees for these  
18 activities.  
19

### 20 **4.2. Food and Beverage Vending**

21 No permits shall be issued, under the scope of this policy, to vendors other than College  
22 organizations to sell food, beverages, or other ingestibles. Private commercial or non-  
23 profit food, beverage, or ingestible vending may be authorized by the College through its  
24 procurement process for specific site locations.  
25

### 26 **4.3. Special Events**

27 The College reserves the right to close the campus or a portion thereof to regular vending  
28 on any particular day for special occasions and/or allow special vending opportunities. If  
29 permits have already been issued for that day, the College will refund the permit fee and  
30 provide the vendor as much notice as possible to the address and/or phone number  
31 indicated on the application form.  
32

### 33 **4.4. Permit Application**

34 Permit applications for vending other than food and beverage vending on College  
35 property will be filed with and considered by the:

- 36 • Dean of Students

37 All applications shall include:

38  
39 **4.4.1.** The applicant's name, address, and telephone number.

40 **4.4.2.** The name, address, and telephone number of the company or organization  
41 represented by the applicant.

42 **4.4.3.** A statement as to whether the applicant is a College organization.

43 **4.4.4.** The type of vending activity proposed.

44 **4.4.5.** The date, time, and duration as well as the location of the vending activity  
45 proposed.

1                   **4.4.6.** The applicant's New Mexico Gross Receipts Tax Number; (non-College  
2 organizations);

3                   **4.4.7.** The applicant's TIN/EIN - Tax Identification Number/Employer  
4 Identification Number (non-College organizations);

5  
6                   **4.4.8.** The applicant's SSN - Social Security Number.  
7

#### 8                   **4.5. Issuance of Permits**

9                   The Dean of Students shall determine the method for the issuance of permits and provide  
10 that such use does not interfere with or interrupt educational uses or other uses directly  
11 related to the operation of the College and subject to the provisions of this policy.  
12

13                   **4.5.1.** The College must determine that space is available at the time and location  
14 stated in the application.

15                   **4.5.2.** The applicant must pay the required fee at the time of application. College  
16 organizations will not be required to pay these fees. The fees will be returned if  
17 the permit is not issued.

18                   **4.5.3.** The applicant must furnish proof of a New Mexico Taxation and Revenue  
19 Department Tax Identification Number (non-College organization).

20                   **4.5.4.** By signing an application for a permit, the applicant shall agree to defend,  
21 indemnify, and hold harmless the College from and against all claims, costs,  
22 liabilities, charges, damages, and the like, arising out of the vendor's use and  
23 occupancy of College property.  
24

#### 25                   **4.6. Permit Fees**

26                   All fees are payable in advance. Fees will not be charged for College organizations. A fee  
27 schedule is published and subject to change with proper authorization and approval of the Dean  
28 of Students. The College may use an alternate fee schedule or make special fee arrangements for  
29 special events. Revenues returned to the College by food and beverage vendors are determined  
30 through the procurement process.  
31

32                   **4.6.1.** The proceeds from the permit fees will primarily be used to support student  
33 publications. Fees from credit card marketers will fund educational programming  
34 on credit and debt issues for students.  
35

#### 36                   **4.7. Vending Location**

37                   The exact vending location will be designated in the permit. The vending will be  
38 confined to the location assigned by the College in the permit.  
39

#### 40                   **4.8. Duration of Permit**

41                   The maximum period for which a vending permit will be issued at one (1) time is for an  
42 academic semester period or four (4) months.  
43

### 44                   **5. Administration**

#### 45                   **5.1. Processing of Permits** 46

1 Permit applications for vending on College property shall be filed and approved pursuant  
2 to Section 4 herein.

### 3 4 **5.2. Requirements and Limits of Operation**

5 In addition to the conditions stated in Section 4.5 herein, vendors and College  
6 organizations who have been issued permits shall observe the following rules:

7  
8 **5.2.1.** Vending must be confined to the location designated on the permit and  
9 staffed at all times.

10 **5.2.2.** No vendor shall, by operating on College property, restrict access to  
11 College buildings or other facilities.

12 **5.2.3.** The vendor shall display its permit at all times while operating on College  
13 property.

14 **5.2.4.** The vendor shall keep the designated area free of trash and safety hazards.

15 **5.2.5.** The vendor will be held responsible for any damage or cleaning that is  
16 incurred as a result of the vending.

17 **5.2.6.** The use of sound amplification equipment or devices is not approved under  
18 this policy.

19 **5.2.7.** No vendor shall sell, display, or offer for sale any product or services which  
20 are prohibited by law, or inconsistent with College policy.

21 **5.2.8.** Permits are not transferable.

22 **5.2.9.** No vendor shall bring motorized vehicles into its assigned location.

23  
24 **5.2.10.** No vendor shall use trees, bushes, benches, walls and other College  
25 property to display and/or hang merchandise. Vendors may not use College  
26 utilities, except for special events with the approval of the Dean of Students.

### 27 28 **5.3. Revocation of Permits**

29 The permit issuer shall have authority to revoke any permit if the vendor fails to comply  
30 with the terms of the permit or the provisions of this policy. In the event of revocation, no  
31 fees will be refunded to the vendor. Private commercial and non-profit vendors whose  
32 permits are revoked shall be prohibited from vending on College property for a period of  
33 not more than one (1) year.

34  
35 **2220**

## 36 **FREEDOM OF EXPRESSION AND DISSENT**

### 37 38 **1. General**

39 As an institution that exists for the express purposes of education, research, and public service,  
40 Northern New Mexico College is dependent upon the unfettered flow of ideas, not only in the  
41 classroom and the laboratory, but also in all college activities. As such, protecting freedom of  
42 expression is of central importance to the College. The exchange of diverse viewpoints may  
43 expose people to ideas some find offensive, even abhorrent. The way that ideas are expressed  
44 may cause discomfort to those who disagree with them. The appropriate response to such speech  
is speech expressing opposing ideas and continued dialogue, not curtailment of speech.

1 The College also recognizes that the exercise of free expression must be balanced with the rights  
2 of others to learn, work, and conduct business. Speech activity that unduly interferes with the  
3 rights of others or the ability of the College to carry out its mission is not protected by the First  
4 Amendment and violates this policy.

## 5 6 **2. Core Principle**

7 Northern is committed to tolerate all peaceful speech activities carried out upon the campus  
8 unless those activities destroy or materially damage property, materially disrupt other legitimate  
9 College activities, or create a substantial health or safety hazard. This policy applies to all  
10 buildings, grounds, and property owned or controlled by the College.

## 11 12 **3. Activities**

### 13 **3.1. Speech Activities**

14 Speech activities protected by this policy include speechmaking, praying, the distribution of  
15 written materials, picketing, assembling in groups, demonstrating, sidewalk chalking, erecting  
16 symbolic structures, and any other actual or symbolic speech or conduct intended to  
17 communicate an idea.

### 18 19 **3.2. Legitimate College Activities**

20 Legitimate College activities include teaching, research, and public service; all of the  
21 administrative operations supporting those activities; and the performance of all College  
22 approved educational, commercial, research, professional or other activities by public or private  
23 contractors, tenants, or permittees. An activity scheduled under **Section 4.** herein is a legitimate  
24 College activity.

### 25 26 **3.3. Materially Disrupting Activities**

27 A speech activity materially disrupts other legitimate College activities when a reasonable person  
28 is unable to effectively perform a legitimate College activity because of the speech activity  
29 taking place. Examples of when a speech activity may materially disrupt other legitimate College  
30 activities include, but are not limited to:

- 31 • Conducting the speech activity at a volume that substantially disrupts the normal use of
- 32 classrooms, offices, laboratories, and other College facilities or grounds;
- 33 • Physically preventing persons from entering or leaving a building or premises;
- 34 • Conducting a speech activity inside a building and not ending it at or before the close of
- 35 the building's regular hours;
- 36 • Destroying or materially damaging any property; or
- 37 • Creating a substantial health or safety hazard.

## 38 39 **4. Scheduling**

40 Subject to the exceptions described in **Section 4.1.** below, scheduling to use College facilities for  
41 speech activities is not required. Users, however, should be aware that many facilities, both  
42 indoor (e.g. classrooms) and outdoor, are used for regularly scheduled activities that have  
43 priority over other uses. In order to reserve the desired space and avoid conflicts with other users,  
44 groups or individuals wanting to use a regularly scheduled College facility for a speech activity  
45 are encouraged to schedule it at least twenty-four (24) hours in advance with the Registrar's  
46 Office, or the office that schedules the desired venue, as advised by the Office of Institutional

1 Advancement. Users who fail to schedule a speech activity that occurs and unduly interferes with  
2 a prior scheduled activity are in violation of this policy.

#### 3 4 **4.1. Scheduling Required**

5 Because of size, safety, logistics, and other considerations, the following types of speech  
6 activities must be scheduled in advance:

- 7 • Assemblies or large events in Northern’s Fine Arts theater or Eagle Memorial Gym.  
8 Users must schedule such events following the procedures of the appropriate College  
9 office that oversees the facility.
- 10 • Planned demonstrations on campus. A planned demonstration is a public manifestation of  
11 protest, condemnation, or approval; taking the form of a mass meeting, procession,  
12 picket, or similar activity which is organized and promoted more than a day before the  
13 event. Users must schedule such events with the Office of Institutional Advancement at  
14 least twenty-four (24) hours in advance. This does not apply to spontaneous  
15 demonstrations for which there is no prior promotion or organization or where events do  
16 not allow at least twenty-four (24) hours notice in advance. In such situations, as much  
17 prior notice as possible must be provided to the Office of Institutional Advancement.
- 18 • Building a symbolic structure on campus; which must be scheduled with the Office of  
19 Institutional Advancement at least twenty-four hours in advance.

20  
21 Scheduling does not operate as a process for prior approval of speech activities based upon  
22 content. Speech activities will be scheduled on a first-come, first-served basis for the requested  
23 location. Events will not be scheduled only if there is a scheduling conflict with an earlier  
24 planned event or if the requested event will clearly result in a violation of this policy. The  
25 viewpoint to be expressed through the speech activity is not a factor in scheduling. A decision  
26 not to schedule an event may immediately be appealed to the College President or Office of  
27 Institutional Advancement.

#### 28 29 **5. Enforcement**

30 Any person violating this policy may be subject to:

- 31 • Institutional disciplinary proceedings under the Student Code of Conduct [in Student  
32 Handbook] if a student. Violations by faculty or staff will be referred to the appropriate  
33 department or academic unit;
- 34 • An order to leave the premises or property owned or controlled by the College by the  
35 police or a person in charge of the property; and/or
- 36 • Arrest for violation of state law(s).

### 37 38 **2240** 39 **Respectful Campus**

#### 40 41 **1. General**

42 NORTHERN New Mexico College promotes a working, learning, and social environment where  
43 all members of the Northern community, including but not limited to the Board of Regents,  
44 administrators, faculty, staff, students, and volunteers work together in a mutually respectful,  
45 psychologically-healthy environment. Northern strives to foster an environment that reflects  
46 courtesy, civility, and respectful communication because such an environment promotes

1 learning, research, and productivity through relationships. Because a respectful campus  
2 environment is a necessary condition for success in teaching and learning, in research and  
3 scholarship, in public service, and in all other aspects of the College's mission and values,  
4 Northern is committed to providing a respectful campus, free of bullying in all of its forms. This  
5 Policy describes the values, cornerstones, and behaviors that delineate a respectful campus and  
6 applies to all members of Northern's community, including, but not limited to students, faculty,  
7 and staff.

## 8 9 **2. Values**

10 A respectful campus exhibits and promotes the following values:

- 11 • displaying personal integrity and professionalism;
- 12 • practicing fairness and understanding;
- 13 • exhibiting respect for individual rights and differences;
- 14 • demonstrating harmony in the working and educational environment;
- 15 • respecting diversity and difference;
- 16 • being accountable for one's actions;
- 17 • emphasizing communication and collaborative resolution of problems and conflicts;
- 18 • developing and maintaining confidentiality and trust; and
- 19 • achieving accountability at all levels.

## 20 21 **3. Cornerstones of a Respectful Campus**

22 The commitment to a respectful campus calls for promotion of an environment where the  
23 following are upheld:

- 24 • All individuals have important contributions to make toward the overall success of the  
25 college's mission.
- 26 • Northern's mission is best carried out in an atmosphere where individuals at all levels and  
27 in all units value each other and treat each other with respect.
- 28 • Individuals in positions of authority serve as role models in the promotion of a respectful  
29 campus. Promoting courtesy, civility, and respectful communication is consistent with  
30 the responsibility of leadership.
- 31 • Individuals at all levels are allowed to discuss issues of concern in an open and honest  
32 manner, without fear of reprisal or retaliation from individuals above or below them in  
33 the college's hierarchy. At the same time, the right to address issues of concern does not  
34 grant individuals license to make untrue allegations, unduly inflammatory statements or  
35 unduly personal attacks, or to harass others, to violate confidentiality requirements, or  
36 engage in other conduct that violates the law or College policy.
- 37 • Bullying is unacceptable in all working, learning, and service interactions.

## 38 39 **4. Destructive Actions**

40 Actions that are destructive to a respectful campus will not be tolerated. These actions include,  
41 but are not limited to:

- 42 • Sexual harassment – refer to [Northern's Title IX Policy Statement, 1320](#).
- 43 • Retaliation - Retaliation is any adverse action taken against an employee who has  
44 reported suspected misconduct when business related reasons do not exist for the action  
45 or the action is outside of regular practice. Some examples of retaliation are listed below.
  - 46 • Giving unwarranted negative performance evaluations to the reporting employee.

- 1 • Moving the reporting employee frequently and/or to undesirable locations,  
2 without legitimate business justification.
- 3 • Transferring the reporting employee, without legitimate business justification.
- 4 • Reprimanding the reporting employee, without legitimate business justification.
- 5 • Taking adverse salary actions against the reporting employee, without legitimate  
6 business justification.
- 7 • Suspending, demoting, or dismissing the reporting employee, without legitimate  
8 business justification.
- 9 • Creating a hostile work environment for other employees.
- 10 • Conduct which can affect adversely the College’s educational function, disrupt  
11 community living on campus, or interfere with the right of others to the pursuit of their  
12 education or to conduct their duties and responsibilities – refer to Northern’s **Faculty**  
13 **Handbook** and **Staff Handbook**,
- 14 • Conduct which compromises the College’s public and private resources, including  
15 partnerships
- 16 • Unethical conduct – Behavior that falls below or violates the professional standards for  
17 an educational setting. Examples of unethical conduct include
  - 18 • Disregard for policies and/or procedures
  - 19 • Unlawful conduct
  - 20 • Deliberate deception
  - 21 • Dishonesty
  - 22 • Demonstration of favoritism among colleagues and students
  - 23 • Disregard for the importance of diversity
  - 24 • Bullying behavior which is defined in Section 5. herein.

## 25

### 26 **5. Definition of Bullying**

27 Bullying can occur when one individual or a group of individuals exhibits bullying behavior  
28 toward one or more individuals. Bullying is defined by the College as repeated mistreatment of  
29 an individual(s) by verbal abuse, threatening, intimidating, humiliating conduct or sabotage that  
30 creates or promotes an adverse and counterproductive environment, so as to interfere with or  
31 undermine legitimate college learning, teaching, and/or operations. Bullying is not about  
32 occasional differences of opinion, conflicts and problems in workplace relationships as these  
33 may be part of working life. Bullying can adversely affect dignity, health, and productivity and  
34 may be grounds for corrective disciplinary action, up to and including dismissal. Northern’s  
35 Human Resources Department and Workplace Harassment policy, page 58 in the **Staff**  
36 **Handbook** can provide guidance for determining whether behavior meets the definition of  
37 bullying. Examples of behaviors that meet the definition of bullying above include, but are not  
38 limited to:

#### 39

#### 40 **5.1. Physical Bullying**

41 Physical bullying is pushing, shoving, kicking, poking, and/or tripping; assault or threat of  
42 physical assault; damage to a person’s work area or property; damage to or destruction of a  
43 person’s work product.

#### 44

#### 45 **5.2. Verbal Bullying**

46 Verbal bullying is repeated slandering, ridiculing, or maligning of a person or persons,

1 addressing abusive and offensive remarks to a person or persons in a sustained or repeated  
2 manner; or shouting at others in public and/or in private where such conduct is so severe or  
3 pervasive as to cause or create a hostile or offensive educational or working environment or  
4 unreasonably interfere with the person's work or school performance or participation.

### 5 6 **5.3. Nonverbal Bullying**

7 Nonverbal bullying can consist of directing threatening gestures toward a person or persons or  
8 invading personal space after being asked to move or step away.

### 9 10 **5.4. Anonymous Bullying**

11 Anonymous bullying can consist of withholding or disguising identity while treating a person in  
12 a malicious manner, sending insulting or threatening anonymous messages, placing objectionable  
13 objects among a person's belongings, leaving degrading written or pictorial material about a  
14 person where others can see.

### 15 16 **5.5. Threatening Behavior Toward a Person's Job or Well-Being**

17 Making threats, either explicit or implicit to the security of a person's job, position, or personal  
18 well-being can be bullying. It is not bullying behavior for a supervisor to note an employee's  
19 poor job performance and potential consequences within the framework of College policies and  
20 procedures, or for a professor or academic program director to advise a student of unsatisfactory  
21 academic work and the potential for course failure or dismissal from the program if uncorrected.

## 22 23 **6. Reporting Destructive Actions**

24 The destructive actions described in Section 4. herein should be reported in accordance with the  
25 applicable policies and procedures listed herein; however, extreme incidents may be reported  
26 directly to Northern's Safety & Security Department. Bullying behavior should be reported as  
27 follows:

### 28 29 **6.1. Students**

30 An individual who believes a student has engaged in bullying behavior should report the  
31 behavior to the Dean of Students Office. All students who believe that a staff or faculty member  
32 has engaged in bullying behavior towards them may follow the procedures listed in  
33 Sections **6.2.** and **6.3.** below. Students may also report bullying behavior by contacting the Dean  
34 of Students Office.

35  
36 If the bullying of students is based on race, color, religion, national origin, physical or mental  
37 disability, age, sex, sexual preference, gender identity, ancestry, medical condition, or spousal  
38 affiliation, it should be reported to Northern's Human Resources Department.

### 39 40 **6.2. Staff**

41 An individual who believes a staff member has engaged in bullying behavior may report the  
42 behavior to Human Resources. Suspected bullying behavior will be reported and investigated in  
43 the same manner as misconduct.

### 44 45 **6.3. Faculty**

46 An individual who believes a faculty member has engaged in bullying behavior should follow

1 the procedures listed in Northern’s [Grievance Policy & Procedures](#) and [Northern’s Title IX](#)  
2 [Policy Statement, 1320](#).

3  
4  
5 **2290**

6 **ANIMAL CONTROL ON COLLEGE PROPERTY**

7  
8 **1. General**

9 Northern New Mexico College maintains an environment designed to support the education,  
10 research, and public service mission of the College. Since the presence of animals on College  
11 property can adversely affect the normal functions of the College, disrupt community living on  
12 campus, and interfere with the rights of others to participate in College activities by causing  
13 bodily harm to individuals, unsanitary conditions, and nuisances, the College has adopted the  
14 following policy pertaining to animals on campus. This policy does not apply to animals used by  
15 the College for teaching, research, therapeutic, or other authorized College activities.

16  
17 **2. Restrictions**

18 All animals on College property must be on a leash and under the constant supervision and  
19 control of their owner/guardian at all times. Except for service animals, animals are not permitted  
20 in College buildings or facilities except as authorized by the appropriate dean, director, or  
21 department head. Animals may not be left unattended at any time on campus. Animals may not  
22 be tied or tethered to any College property, including, but not limited to buildings, railings, bike  
23 racks, fire hydrants, fences, sign posts, benches, and trees. Animals are not permitted on athletic  
24 fields or in flower gardens/beds, or fountains.. Animals may not disrupt or interfere with College  
25 activities, including but not limited to teaching, research, service, or administrative activities.

26 Owners/guardians are responsible for:

- 27 • ensuring their animals have all vaccinations and licenses required by applicable laws and  
28 ordinances;
- 29 • controlling their animals;
- 30 • cleaning up after their animals;
- 31 • any damage to property or injury to person caused by their animals; and
- 32 • complying with this policy and all state, county, and city laws pertaining to animal  
33 control while on campus.

34  
35 **3. Violations**

36 Owners/guardians who violate this policy may be given a citation by Campus Security and may  
37 be subject to charges under the "Student Code. Any person may contact Campus Security to  
38 report a violation of this policy.

39  
40 **2295**

41 **SERVICE ANIMALS**

42  
43 **1. General**

44 In keeping with federal and state law, Northern New Mexico College recognizes its  
45 responsibilities to extend equal access to individuals with disabilities who use a Service Animal  
46 on College property. The College will not discriminate against individuals with disabilities who

1 use Service Animals nor, subject to the terms of this Policy, deny those persons access to  
2 programs, services and facilities of the College. This policy applies to individuals with  
3 disabilities and Service Animals as defined in federal law.  
4

### 5 **1.1. Service Animal**

6 A service animal means any dog or other animal, except as otherwise specified, that is  
7 individually trained to do work or perform tasks for the benefit of an individual with a  
8 disability, including a physical, sensory, psychiatric, intellectual, or other mental  
9 disability. The crime deterrent effects of an animal's presence and the provision of  
10 emotional support, well-being, comfort or companionship do not constitute work or tasks  
11 for the purposes of this definition. Therefore, comfort or companion animals are not  
12 Service Animals. For safety and infection control purposes, Service Animals shall not  
13 include nonhuman primates, birds, amphibians, reptiles, fish, hedgehogs, prairie dogs,  
14 cats or rodents.  
15

## 16 **2. Applicability**

17 This policy applies to all employees, students, and visitors of the College who qualify to use a  
18 Service Animal as an accommodation. To deem that a Service Animal is a reasonable  
19 accommodation, the following criteria must be met:

- 20 • the individual must have a disability as defined under federal law;
- 21 • the animal must meet the definition of Service Animal under federal law and serve a  
22 function directly related to the disability; and
- 23 • the request to have the animal must be reasonable.  
24

25 A Service Animal shall be permitted in any area of the College that is unrestricted (not off limits  
26 to Service Animals due to codes or regulations) to employees, students or visitors provided that  
27 the Service Animal does not pose a direct threat, and that the presence of the Service Animal  
28 would not require a fundamental alteration of Northern policies, practices, or procedures. A  
29 person with a disability who uses a Service Animal on College property shall **not** be required to  
30 pay a surcharge. Any decision to exclude a Service Animal from a particular area of the College  
31 shall be made on a case-by-case basis. The College will take appropriate action to address  
32 violations of this policy, up to and including disciplinary action or removal from College  
33 property.  
34

### 35 **2.1. Direct Threat**

36 A direct threat is a significant risk to the health or safety of others that cannot be  
37 eliminated or mitigated by a modification of policies, practices, or procedures, or by the  
38 provision of auxiliary aids or services. If the College determines that a Service Animal  
39 poses a direct threat to the health or safety of others in a building or portion thereof,  
40 access to the facility by the Service Animal will be denied. In determining whether a  
41 Service Animal poses a direct threat to the health or safety of others, the College shall  
42 make an individualized assessment, based on reasonable judgment that relies on current  
43 medical knowledge or on the best available objective evidence, to identify:

- 44 • the nature, duration, and severity of the risk;
- 45 • the probability that the potential injury will actually occur; and

- if there are reasonable modifications of policies, practices, or procedures that will mitigate the risk.

### 3. Inquiries by College Employees

A Service Animal must be trained to provide specific support services to the individual with a disability. Generally, when it is readily apparent that an animal is trained to do work or perform tasks for an individual with a disability (e.g. a dog is observed guiding an individual who is blind or has low vision or pulling a person's wheelchair), Northern employees should **not** make otherwise allowable inquiries. If it is not readily apparent, College employees shall **not** ask about the nature or extent of the individual's disability, but may ask if the animal is required because of a disability and what work or task the animal has been trained to perform. College employees **cannot** ask for documentation, such as proof that the animal has been certified, trained or licensed as a Service Animal. For College programs and/or classes held at non-Northern facilities, the owner of the property may require notification or verification of the Service Animal.

### 4. Responsibilities for the Care and Supervision of Service Animals

Individuals with Service Animals are responsible for managing and handling their Service Animals at all times while on College property, maintaining proper infection control measures, and are responsible for the behavior and activities of the animal. The individual is personally responsible for any damages to a facility caused by his/her Service Animal, including if the individual is a Northern student whose Service Animal has caused damage in a residence hall or classroom. Service Animals on College property must be:

- licensed in accordance with applicable state, county, or local laws or ordinances pertaining to the type of Service Animal;
- in good health and well groomed;
- housebroken (the individual with the disability is responsible for the proper disposition of any Service Animal accidental waste); and
- harnessed, leashed, or otherwise under the control of the individual with a disability (e.g. voice control, signals, or other effective means) such that the Service Animal does not disrupt or interfere with the ability of other users of the space or activity.

### 5. Removal of Service Animal

An individual with a disability cannot be asked to remove his or her Service Animal from the premises unless the animal poses a direct threat to the health or safety of others or the Service Animal and/or individual fail to meet one or more of the requirements of this Policy or federal laws and regulations. A history of allergies or fear of animals are generally not valid reasons for denying access or refusing service to individuals with Service Animals; however all situations will be evaluated on a case-by-case basis. If after careful evaluation removal is necessary, College employees should consider an alternative option for the individual to obtain the goods and/or services.

### 6. Students

A student who seeks to bring a Service Animal into a Northern classroom, laboratory, or other learning environment is required to register with Northern's Accessibility Resource Center and follow the procedures established by that office for obtaining academic adjustments.

1 **7. American with Disabilities Act (ADA) Coordinator**

2 Any person dissatisfied with a decision concerning a Service Animal can contact the Americans  
3 with Disabilities Act (ADA) Coordinator for Northern New Mexico College. Northern’s ADA  
4 Coordinator is the Accessibility Resources Coordinator. The College’s Accessibility Resources  
5 Coordinator will coordinate with the Dean of Students, as well as other appropriate College  
6 resources to address individual concerns related to this policy.  
7

8 **2300**

9 **INSPECTION OF PUBLIC RECORDS**

10 **1. Introduction**

11 Citizens in a democracy have a fundamental right to have access to public records. This right is  
12 recognized by the New Mexico Legislature through the New Mexico Inspection of Public  
13 Records Act, NMSA 1978, §§ 14-2-1 et seq. (“IPRA”), and by the New Mexico Supreme Court,  
14 which stated in 1977 that a citizen’s right to know is the rule and secrecy is the exception. IPRA  
15 provides that every person has a right to inspect the public records of this state, subject to certain  
16 exceptions. “Public records” are defined by IPRA as all documents and records, regardless of  
17 physical form, that are used, created, received, maintained or held by or on behalf of any public  
18 body and relate to public business, whether or not the records are required by law to be created  
19 or maintained.  
20  
21  
22  
23

10 **2. General**

11 The College is committed to fully complying with IPRA, and to making certain that pertinent  
12 College policies conform to existing IPRA requirements. Nevertheless, the right of public  
13 inspection under IPRA is subject to certain exceptions. The right of public inspection is limited  
14 to existing public records, and the College is not required to create a public record that does not  
15 otherwise exist. Exceptions to the right to inspect public records that are specifically listed in  
16 IPRA include, but are not limited to, medical records, letters of reference concerning  
17 employment, licensing or permits, matters of opinion in personnel or student files, confidential  
18 law enforcement records, documents covered by the Confidential Materials Act, trade secrets,  
19 attorney-client privileged information, and records that are considered non-public "as otherwise  
20 provided by law." Listing every kind of record that is exempt from IPRA disclosure requirements  
21 is not practical, and no attempt has been made in this and the related policies to interpret the  
22 application of IPRA to every kind of record that may become the subject of an IPRA request.  
23 However, some examples of records that the College considers exempt from public disclosure  
24 under IPRA include employee Social Security numbers, personnel evaluations, opinions  
25 regarding whether a person would be re-hired or regarding why an applicant was not hired,  
26 proprietary and protected information provided by a third party, and data relating to intellectual  
27 property or research that may result in patentable inventions, significant discoveries, or  
28 publications. If a document contains both exempt and non-exempt information, the College must  
29 separate the non-exempt material and make it available for inspection.  
30

31 **3. Custodian**

1 The College Custodian of Public Records (the "Custodian"), is the official custodian of public  
2 records for the College. The (President of the College) shall provide information on the  
3 College’s website concerning how to contact the Custodian. The Custodian is responsible for:

- 4 • responding to all requests to inspect public records;
- 5 • determining whether requested records exist and where they are located, and working
- 6 with the College's legal counsel about any apparent legal issues related to producing
- 7 records for inspection and possible denials of requests;
- 8 • providing proper and reasonable opportunities to inspect public records, including
- 9 assembling the records as appropriate;
- 10 • providing reasonable facilities to make copies or furnish copies of the public records
- 11 during usual business hours;
- 12 • consulting with intellectual property counsel for the College or for STC. NORTHERN
- 13 regarding any requests that might involve disclosure of trade secrets or attorney-client
- 14 privileged information related to intellectual property; and
- 15 • maintaining a log of all requests that include the date and nature of the request, a copy of
- 16 the request, any correspondence relating to the request, date of the response, copies of all
- 17 documents made available in the response, and any other pertinent information.

18 Only the Custodian, or a designee of the Custodian, may respond to requests for public records.

#### 19 20 **4. Procedure for Requesting Public Records**

21 Public copies of certain College documents, including recent Regent agendas, the current salary  
22 book and the Detailed Operating Budget for the current and previous years are available for  
23 inspection through the Reserve Desk in the Ben Lujan Library. Other College publications which  
24 are of high interest because of the subject matter are also held for brief periods of time at the  
25 Reserve Desk. To view public records held by the College Archives, also located in Ben Lujan  
26 Library, the requester should contact the College Custodian of Public Records.

27 Individuals who want to inspect public records of the College other than medical or student  
28 records, or documents that are available in the Ben Lujan Library must submit a request to the  
29 Custodian, identifying the records sought with reasonable particularity. Oral requests are  
30 generally permissible, but the Custodian may, for good cause, ask the requester to make a formal  
31 request in writing. A written request must include the requester's name, address and telephone  
32 number. No person requesting records shall be required to state the reason for inspecting the  
33 records. Any College employee who receives a request for inspection of public records shall  
34 promptly forward the request to the Custodian and notify the requester that the request has been  
35 forwarded.

##### 36 37 **4.1. Notification that Information has been Requested.**

38 If an IPRA request seeks information relating specifically to a particular individual or to a  
39 small number of individuals, such as a current or former employee or student or an  
40 applicant for employment, the Custodian will promptly give notice to each such  
41 individual of the request and the name of the requester. Such notice may be given by any  
42 means (including, for example, by telephone, e-mail or postal mail) that appears under  
43 the circumstances to be reasonably calculated to impart prompt actual notice to each  
44 individual who is the subject of the request. Within five (5) days after the Custodian has  
45 given such notice, any individual so notified may provide comments to the Custodian  
46 regarding the request or the requester. No individual who has been so notified may

1 prevent the Custodian from releasing the requested information if that information is  
2 subject to public inspection under IPRA.

#### 3 4 **4.2. Time Required for Compliance**

5 The time requirements in this section reflect the requirements of IPRA, and are based on  
6 the date when the written request is delivered to the office of the Custodian. If the records  
7 sought are subject to public inspection under IPRA, the Custodian shall permit inspection  
8 sought by a written request immediately or as soon as is practicable under the  
9 circumstances, but not later than fifteen (15) days after receiving such written request.

10 The custodian will strive to provide an opportunity to inspect the requested records  
11 within three (3) business days. In determining whether permitting the inspection within  
12 three (3) business days is reasonably practicable under the circumstances, the Custodian  
13 may consider whether notice of the request has been given to any individual as provided  
14 in Section 4.1., above, and if so, any comments that any such individual has provided to  
15 the Custodian. If the inspection is not permitted within three (3) business days, the  
16 Custodian shall explain to the requester in writing when the records will be available for  
17 inspection or when the College will respond to the request. Excessively burdensome or  
18 broad requests where compiling or copying documents may be unduly time consuming or  
19 difficult may require more than fifteen (15) calendar days. In such cases, the Custodian  
20 shall notify the requester within fifteen (15) calendar days of the need for additional time,  
21 the reason for the delay, and the date the records will be available for inspection. If the  
22 College does not respond to the requester within fifteen (15) calendar days, the request  
23 will be deemed to have been denied and the requester may seek judicial remedies under  
24 IPRA. For this reason, it is critical that written requests for public records be forwarded  
25 to the Custodian immediately.

#### 26 27 **4.3. Cost of Providing Hard Copy Records**

28 As permitted by IPRA, the College will normally charge for copying records in  
29 accordance with the fee schedule published by the Custodian. If the estimated cost  
30 exceeds ten dollars (\$10), the Custodian should provide an estimate of the charges and  
31 may require advance payment before making copies. If the College determines the  
32 information primarily benefits the general public, the College may waive or reduce the  
33 charges. The College may require payment of overdue balances before processing  
34 additional requests from the same requester.

#### 35 36 **5. Denial of Request**

37 If a written request is denied, in whole or in part, the Custodian must deliver or mail to the  
38 requester a written explanation no later than fifteen (15) calendar days after the Custodian  
39 received the written request. The explanation of denial must describe the records sought, the  
40 legal reason for the denial, the names and titles or positions of each person responsible for the  
41 denial, and the requester's right to pursue the remedies provided in IPRA. When a request is  
42 denied, the requested records must be retained until remedies under IPRA have been exhausted.  
43 Before a determination is made to deny a request, the Custodian shall consult with the Vice  
44 President for Finance and Administration and, if necessary, legal counsel, to determine whether  
45 denial of the request is permissible under IPRA and other College policies, including without

1 limitation. All Denial of Requests must be reported to the Board Regents at their next scheduled  
2 meeting.

## 3 4 **2310**

### 5 **ACADEMIC ACCOMMODATIONS FOR** 6 **STUDENTS WITH DISABILITIES**

#### 7 8 **1. Policy**

9 In keeping with the Rehabilitation Act of 1973 and the Americans With Disabilities Act of 1990,  
10 the College is committed to providing equal access to educational opportunities for qualified  
11 students with disabilities. The College shall provide reasonable academic accommodations to  
12 qualified students with disabilities as necessary to ensure equality of access to the courses,  
13 programs, services, and facilities of the College. However, students with disabilities are still  
14 required to adhere to all College policies, including policies concerning conduct and  
15 performance.

16  
17 The student is responsible for demonstrating the need for an academic accommodations by  
18 providing College Accessibility Resource Center with documentation that establishes the  
19 disability, and the need for and appropriateness of the requested accommodation(s).  
20 Documentation must be provided by a qualified professional who has made an individualized  
21 assessment of the applicant. Appropriate documentation may include a letter from a qualified  
22 professional or evidence of a prior diagnosis, accommodation, or classification, such as  
23 eligibility for a special education program.  
24 The College is responsible for all costs of academic accommodations. The following sections  
25 provide procedures for students, faculty, and staff on academic accommodation requirements.

#### 26 27 **2. Student Responsibilities**

28 It is the student's responsibility to demonstrate the need for an academic accommodation by  
29 providing Accessibility Resource Center with documentation that establishes the disability, and  
30 the need for and appropriateness of the requested accommodation(s). Documentation must be  
31 provided by a qualified professional who has made an individualized assessment of the applicant.  
32 Appropriate documentation may include a letter from a qualified professional or evidence of a  
33 prior diagnosis, accommodation, or classification, such as eligibility for a special education  
34 program. Accessibility Resource Center can provide information on the kind of documentation  
35 that is required.

36  
37 Accessibility Resource Center will determine a student's eligibility and, in consultation with the  
38 student, will determine effective and appropriate academic accommodations.. Accessibility  
39 Resource Center may consult with other College departments, as necessary, in order to make a  
40 determination of eligibility and what academic accommodations are appropriate and reasonable.  
41 Accessibility Resource Center will provide the student with letters of accommodation to give to  
42 their instructors for each class requiring accommodations. Accessibility Resource Center is  
43 responsible for costs relating to academic adjustments that are part of instructional courses.

44  
45 Once the student has established his or her eligibility for academic accommodations,  
46 Accessibility Resource Center will provide appropriate accommodations as expeditiously as

1 possible. Generally, accommodations will be in place within fifteen (15) working days; however,  
2 some adjustments can require a longer period of time to arrange. Therefore, students are  
3 encouraged to pre-register with Accessibility Resource Center before classes begin so that  
4 adjustments can be in place when needed at the start of the semester. If pre-registration is not  
5 possible, students should register at the start of the semester or as soon as the need for an  
6 adjustment becomes known, and Accessibility Resource Center will make every effort to  
7 accommodate the student's needs as soon as possible. Requests received right at or after the start  
8 of a semester may result in the student being without the accommodation for part of the  
9 semester. Students should be aware that an academic accommodation does not apply  
10 retroactively, so that grades earned on exams, assignments, or other classroom activities before  
11 the adjustment takes effect will not be changed.

### 12 13 **2.1. Faculty Responsibilities**

14 Faculty members must provide students with the academic accommodations identified in  
15 the letter from Accessibility Resource Center. If the faculty member has questions or  
16 concerns, or needs help with making the modifications called for, he or she should  
17 contact Accessibility Resource Center. If a student discloses a disability to a faculty  
18 member and requests an academic accommodation but the student does not have a letter  
19 from Accessibility Resource Center, the faculty member should direct the student to  
20 Accessibility Resource Center. It is not the faculty member's responsibility to decide  
21 whether the student has a disability and what accommodations are appropriate. Faculty  
22 can help the College meet its obligations to provide students with academic  
23 accommodations in a timely manner by stating on their class syllabus that students should  
24 inform them of any special needs as soon as possible. Students who do so should be  
25 referred to Accessibility Resource Center.

### 26 27 **2.2. Appeal**

28 In most instances the academic adjustment determination made by Accessibility Resource  
29 Center will be acceptable to the student and faculty. However, if that is not the case, the  
30 determination is subject to appeal. In addition, the student can appeal a determination by  
31 an academic unit that an accommodation would result in a fundamental alteration of a  
32 course or program. The Provost, or designee, will convene an ad hoc committee to  
33 consider the appeal. Members of the ad hoc committee will include representatives from  
34 relevant College departments as determined on a case-by-case basis. The ad hoc  
35 committee will make a recommendation to the Provost, or designee, whose decision on  
36 the appeal is final for the College. Every effort should be made to arrive at a  
37 determination of the appeal as expeditiously as possible.

### 38 39 **3. Criteria for Determining Academic Accommodations**

40 The College shall make academic accommodations for the known physical or mental limitations  
41 of a qualified student with a disability, unless the College can show that providing an adjustment  
42 would result in:

- 43 • a fundamental alteration of the service, course, program, or activity;
- 44 • an undue financial, administrative, or academic burden, and/or;
- 45 • a direct threat to the health or safety of the student or others.

1       **3.1. Individual with a Disability**

2       Disability is defined as a physical or mental impairment that substantially limits one or more  
3       major life activities.

4  
5       A physical impairment is a physiological condition, cosmetic disfigurement, or anatomical  
6       loss that affects one or more of the following body systems: neurological, musculoskeletal,  
7       special sense organs, respiratory, speech organs, cardiovascular, reproductive, digestive,  
8       genito-urinary, hemic and lymphatic, skin, and endocrine. A mental impairment is a mental  
9       or psychological disorder such as mental retardation, organic brain syndrome, emotional or  
10      mental illness, and specific learning disabilities

11  
12      **3.2. Qualified Student with a Disability**

13      A qualified student with a disability is a student with a disability who meets the academic  
14      and technical standards required for admission and participation in the programs and  
15      activities of Northern New Mexico College.

16  
17      **3.3. Academic Adjustment**

18      An academic accommodation is a modification or adjustment to instructional methods and/or  
19      to a course, program, service, or facility of the College that enables a qualified student with a  
20      disability to have equal access and opportunity to attain the same level of performance and to  
21      enjoy equal benefits and privileges as are available to similarly-situated students without a  
22      disability. Determining reasonable academic accommodations must be done on a case-by-  
23      case basis and in consultation with the student. The College is not required to provide the  
24      specific adjustment requested, but the accommodation must be effective to enable a qualified  
25      student with a disability to enjoy equal opportunity and access. All offers of accommodations  
26      are subject to applicable College policies.

27  
28      **3.3.1. Course or Program Modifications**

29      The College shall provide such modifications to courses, programs, or educational  
30      requirements as are necessary and appropriate to enable a qualified student with a  
31      disability to enjoy equal opportunity and access. However, the College is not required to  
32      fundamentally alter the essential nature of a course or academic program. Reasonable  
33      academic accommodations may include, but are not limited to, extended time on an  
34      examination or paper, and oral instead of written examinations, where appropriate.

35  
36      **3.3.2. Auxiliary Aids and Services**

37      Reasonable academic accommodation in the form of auxiliary aids and services may  
38      include, but are not limited to: note-takers, readers, Braille or large print materials, and  
39      sign language interpreters. However, the College is not required to provide devices or  
40      services of a personal nature such as personal attendants or personal devices utilized in  
41      activities of daily living.

42  
43      **4. Americans With Disabilities Act (ADA) Coordinator**

44      The Americans With Disabilities Act (ADA) Coordinator for Northern New Mexico College is  
45      the Accessibility Resource Coordinator. Students who believe that they have been discriminated

1 against on the basis of a disability may contact the Office of Equal Opportunity to file a  
2 complaint with the College's Dean of Students  
3

## 4 5 2400

### 6 Sponsored Programs Administration and Management 7

#### 8 **1. Definition of Sponsored Projects**

9 Sponsored projects are externally supported activities with funds provided typically in response  
10 to a request or proposal. A formal written agreement (i.e., a grant, contract, or cooperative  
11 agreement) is entered by Northern and by the sponsor and generally contains the following  
12 financial accountability elements:

- 13 • an agreement that binds the College to a detailed statement of work and commitment to a  
14 specified project plan with "start" and "stop" dates;
- 15 • a project schedule and a line-item budget, both of which are essential to financial  
16 accountability;
- 17 • a requirement to return any unexpended funds at the end of the project funding period or  
18 as described in the binding agreement;
- 19 • regular financial reporting and audit, including, for federal and state awards under the terms  
20 of [the OMB's 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and](#)  
21 [Audit Requirements for Federal Awards \(hence referred to as the 'Uniform Guidance'\)](#));
- 22 • the College's full negotiated Facilities and Administrative (F & A) indirect cost rate,  
23 unless a waiver of those costs have been approved; and
- 24 • terms and conditions for the disposition of tangible properties (e.g., equipment, records,  
25 specified technical reports, theses or dissertations or intangible properties (e.g., rights in  
26 data, copyrights, inventions).

27 While not all the above conditions are necessary to define a sponsored activity, they are  
28 indicative of the increased level of financial accountability associated with such projects.  
29

30  
31 **2. Faculty and Staff Eligibility.** Persons eligible to submit proposals and act as Principal  
32 Investigators (PIs) or PDs include tenured and non-tenured associate and assistant professors.  
33 Other College staff and faculty (e.g., professors emeritus, visiting professors or visiting scholars)  
34 are encouraged to submit proposals, but due to liability purposes must seek approval by the  
35 appropriate dean and Provost/Vice President for Academic Affairs. Persons ineligible for PI  
36 status may be identified as an associate investigator, but not as a Co-PI.  
37

38 **2.1. Student-Initiated Research.** Registered Northern students are eligible to submit  
39 proposals and act as a PI to external sponsors only under the following conditions:

- 40 • An eligible faculty member agrees to serve as an advisor to the project and the  
41 sponsor is informed through a formal College letter of transmittal that  
42 identifies the faculty member and her or his role as the advisor;
- 43 • A school, center or institute is willing to accept responsibility for  
44 administrative and logistical coordination of the project;
- 45 • The sponsor agrees to ensure compliance with all College policies and  
46 regulations pertaining to the grant;
- 1 • The adviser must approve all commitments for project expenditures; and
- 2 • Joint periodic reviews must occur between the adviser and the student at least

3 once per semester during the project period.  
4

### 5 **3. Procedures for grant proposal drafting and submission**

#### 6 **3.1. Proposal Drafting**

- 7 ○ Individuals and/or departments interested in preparing a grant proposal must  
8 notify the VP of Institutional Advancement of the intent to draft a grant proposal.  
9 Notification may be done via email and should include the formal Call for  
10 Proposals (CFP) announcement.
- 11 ○ The Office of Institutional Advancement will coordinate a meeting to discuss the  
12 CFP, potential financial and programmatic implications on the college, overlap  
13 with other existing programs, and a timeline for proposal completion and  
14 submission.
- 15 ○ Depending on the nature of the grant, and other existing priorities, the Office of  
16 Institutional Advancement will provide support, as necessary, to ensure that  
17 proposals are submitted in a timely and highly competitive fashion, and in  
18 compliance with the Call for Proposals announcement.
- 19 ○ The Office of Advancement will assist in the development of a proposal  
20 submission timeline that includes a minimum of four business days for the  
21 Proposal Routing Process.
- 22 ○ The Project Director (PD) must consider the availability and use of space and  
23 personnel while constructing a proposal. If the proposal involves human subjects,  
24 animal subjects or hazardous substances, approval from the College's Institutional  
25 Review Board Committee must also be obtained prior to submission to the dean  
26 or designee.
- 27 ○ There are a number of standard facts about Northern that are required in a  
28 proposal. To ensure that proposals are complete, accurate and consistent, a list of  
29 required information (e.g., Federal ID #, DUNS #, and Assurance #'s) is compiled  
30 for completing application forms in (Northern's Fact Sheet for Completing  
31 Proposals).
- 32 ○ When possible, the college's Grant Writer must be included as the institutional  
33 contact for all proposals.
- 34 ○ A copy of the proposal (including accompanying documentation) and the  
35 complete Proposal Routing Sheet shall be housed in the Advancement Office.  
36

#### 37 **4. Budget Guidelines for a Proposal**

38 Most granting agencies have their own format and forms for writing the budget for a proposal.  
39 Included in this section are relevant policies cited from the [Uniform Guidance](#) on facilities and  
40 administration for writing the budget portion of a proposal and additional policies such as fringe  
41 benefits, salaries, and tuition, release time, and travel. Note: The College develops F & A or  
42 indirect costs under the requirements of the [Uniform Guidance](#).  
43

44 **4.1. Definition of Facilities and Administration (F&A) or Indirect Cost.** F & A refers  
45 to costs that are incurred for common or joint objectives and, therefore, cannot be  
46 identified readily and specifically with: (1) a particular sponsored project; (2) an

1 instructional activity; or (3) any other institutional activity. Consequently, F&A costs are  
2 synonymous with the term "indirect" costs.

3  
4 In federally sponsored projects, indirect costs encompass broad categories of costs. For  
5 example, the term "facilities" is defined as depreciation and use allowances, interest on  
6 debt associated with certain buildings, equipment and capital improvements, operation  
7 and maintenance expenses, and library expenses. "Administration" is defined as general  
8 administration and general expenses, departmental administration, sponsored projects  
9 administration, student administration and services, and all other types of expenditures  
10 not listed specifically under one of the subcategories of facilities.

11  
12 **4.2. Departmental Administration Expenses and Limitations.** In accordance with the  
13 [Uniform Guidance](#), expenses under this heading are those incurred for  
14 administrative and supporting services that benefit common or joint departmental  
15 activities or objectives in academic deans' offices, academic departments and divisions,  
16 and organized research units. Organized research units include such units as institutes,  
17 study centers, and research centers. Departmental administration expenses are subject to  
18 the following limitations:

19  
20 **4.2.1. Academic Dean Offices.** Salaries and operating expenses are limited to  
21 those attributable to administrative functions.

22 **4.2.2. Academic Departments.** Salaries and fringe benefits attributable to the  
23 administrative work (including bid and proposal preparation) of faculty (including  
24 department heads), and other professional personnel conducting research and/or  
25 instruction, shall be allowed at a rate of 3.6 percent of modified total direct costs.  
26 This category does not include professional business or professional administrative  
officers. This allowance shall be added to the computation of the F&A cost rate for  
major functions, the expenses covered by the allowance shall be excluded from the  
departmental administration cost pool. No documentation is required to support  
this allowance.

27  
28  
29 Other administrative and supporting expenses incurred within academic departments are  
30 allowable provided they are treated consistently in like circumstances. This would  
31 include expenses such as the salaries of secretarial and clerical staffs, the salaries of  
32 administrative officers and assistants, travel, office supplies, stockrooms, and the like.  
33 Federal agencies may authorize reimbursement of additional costs for department heads  
34 and faculty only in exceptional cases where an institution can demonstrate undue  
35 hardship or detriment to project performance.

36  
37  
38 **4.3. Determination of Departmental Administrative Costs as Direct or F&A costs.** In  
39 developing the departmental administration cost pool, special care should be exercised to  
40 ensure that costs incurred for the same purpose in like circumstances are treated  
41 consistently as either direct or F&A costs. For example, salaries of technical staff,  
42 laboratory supplies (e.g., chemicals), telephone toll charges, animals, animal care costs,  
43 computer costs, travel costs, and specialized shop costs shall be treated as direct cost  
44  
45  
46

1 wherever identifiable to a particular cost objective. Direct charging of these costs may be  
2 accomplished through specific identification of individual costs to benefiting cost  
3 objectives, or through recharge centers or specialized service facilities, as appropriate  
4 under the circumstances.

5  
6 The salaries of administrative and clerical staff should normally be treated as F&A costs.  
7 Direct charging of these costs may be appropriate where a major project or activity  
8 explicitly budgets for administrative or clerical services and individuals involved can be  
9 specifically identified with the project or activity. "Major project" is defined as a project  
10 that requires an extensive amount of administrative or clerical support, which is  
11 significantly greater than the routine level of such services provided by academic  
12 departments. Some examples of major projects include:

- 13 ○ Large complex programs such as research centers and other grants and contracts  
14 that entail assembling and managing teams of investigators from a number of  
15 institutions.
- 16 ○ Projects involving extensive data accumulation, analysis and entry, surveying,  
17 cataloging, searching literature, reporting (e.g., clinical trials or studies).
- 18 ○ Projects that require making travel and meeting arrangements for large numbers  
19 of participants, such as conferences and seminars.
- 20 ○ Projects whose principal focus is preparing and producing manuals and large  
21 reports, books, and monographs (excluding routine progress and technical  
22 reports).
- 23 ○ Projects that are geographically, inaccessible to normal departmental  
24 administrative services and remote from campus and:
  - 25 ○ items such as office supplies, postage, local telephone costs, and  
26 memberships shall normally be treated as F&A costs.
  - 27 ○ technical expenses shall be charged directly to sponsored projects if the  
28 expense can be specifically identified and provide technical benefit to the  
29 project's scope of work. Examples of qualifying expenses include:
    - 30 ○ Salaries of PI/PD and technical staff, and related fringe benefits (vacation,  
31 holidays, sick leave);
    - 32 ○ Laboratory supplies (e.g., chemicals);
    - 33 ○ Telephone toll charges related to the scope of work;
    - 34 ○ Animals and animal care costs
    - 35 ○ Non-administrative computer costs;
    - 36 ○ Travel costs related to the scope of work;
    - 37 ○ Specialized shop costs
    - 38 ○ Specialized health and safety supplies, training, and services.

39  
40 **4.3. Fringe Benefits.** In accordance with [Uniform Guidance](#), Section G.5 on negotiated  
41 fixed rates and carry forward provisions, Northern's fringe benefits rates are the direct  
42 cost charged in a contract, grant, subcontract and subaward. Fixed rates for fringe benefits  
43 shall be negotiated in advance for a fiscal year. Any over- or under-recovery for that year  
44 is included as an adjustment to the appropriate fringe benefits rate for a subsequent year.

45  
46 The following provides the fringe benefit rates for three categories of employees.

- 1           ○ Regular Full-Time, Part-Time and Interim Eligible Employees including faculty  
2           and staff who hold an appointment of at least six months (four months for  
3           bargaining unit employees) for at least 50 percent time are eligible for Northern’s  
4           benefits programs such as: FICA, retirement; worker’s compensation,  
5           unemployment insurance, health insurance, tuition remission, and dental  
6           insurance. Fringe benefits for all positions shall be calculated at 32 percent of the  
7           gross salary.
- 8           ○ Temporary employees whose appointments are too brief (i.e., less than six  
9           months, or four months for bargaining unit employees) or too few hours (i.e., less  
10          than 50 percent time) are not eligible for regular benefits.
- 11          ○ Students who are employed by the College during a quarter in which they are not  
12          registered (including summer quarter) must be classified as contingent employees  
13          until they are registered again.

14  
15          **4.4. Treatment of Vacation, Holiday, & Sick Leave.** Fringe benefit calculations do not  
16          include vacation, holiday, sick leave pay and other paid absences. These benefits must be  
17          claimed as part of the normal cost of salaries and wages on grants, contracts and other  
18          agreements. In addition, externally funded employees paid through externally funded  
19          grants/contracts with the College who are terminating their employment must either:

- 20           • take their accrued annual leave during the contract period in which they are  
21           terminating their employment, or
- 22           • terminate in sufficient time prior to the end of the contract period so that  
23           payment of unused annual leave accruals will not exceed the total monies  
24           provided in the contract (See Human Resources for more detail).

25  
26          **4.5. Student Salaries and Tuition.** A 1986 IRS ruling states that any payments made to  
27          a student, for services rendered, are taxable. To remain in compliance with this ruling, the  
28          following policies for research assistants (RA), and graduate project assistants (GPA) as  
29          well as other (primarily undergraduate) students are in effect.

- 30           • **IRS Reporting.** Salaries issued to RAs, GPA, and other project or  
31           undergraduate students for services rendered will be reported to the IRS and  
32           reported as a direct line item.
- 33           • **Tuition & Scholarships.** Tuition expenses or scholarships shall be calculated  
34           as a F&A or indirect item. Since most contracts or grants can not be charged  
35           “tuition” or “scholarships”, the compensation in the RA salary line must be  
36           sufficient to cover tuition remission and some additional salary (where  
37           appropriate), to cover the corresponding taxes that may have to be paid by the  
38           student to the IRS. Students may be compensated for possible taxes up to 16  
39           percent by increasing the budgeted salary amount, depending upon availability  
40           of funds within contract or grant. During each semester, forward to the payroll  
41           office the tuition amounts paid by the College for each individual. Payroll will  
42           include the semester’s tuition amount as part of the student’s taxable wages  
43           during one month each semester. **Note: Once a scholarship is awarded, it  
44           cannot be retracted, even if the student’s contract is terminated before  
45           the end of the term for which it is written.**

1 Note: According to the IRS, Scholarships may be all or partially taxable, even  
2 if a Form W-2 is not issued. Generally the entire amount is taxable if a student  
3 is not a candidate for a degree. If a student is a candidate for a degree, they  
4 generally can exclude from income that part of the grant used for: Tuition and  
5 fees required for enrollment or attendance, or Fees, books, supplies, and  
6 equipment required for courses. Students cannot exclude from income any  
7 part of the grant for other purposes, such as room and board.  
8

#### 9 **4.6. Pell Grants, Supplemental Educational Opportunity Grants, and Grants to** 10 **States for State Student Incentives.**

11 These grants are nontaxable scholarships to the extent used for tuition and course-related  
12 expenses during the grant period.  
13

#### 14 **4.7. Graduate Student Exception**

15 Tax-free treatment of reduced tuition can also apply to a graduate student who performs  
16 teaching or research activities at an educational institution. The qualified tuition reduction  
17 must be for education furnished by that institution and not represent pay.

- 18 • **Enrollment Qualifications.** Student(s) must be enrolled at least halftime at  
19 the College to be eligible to participate in a sponsored project. For budget  
20 purposes, these students are considered College employees.
- 21 • **Student Salaries.** For graduate research assistants, salaries are normally  
22 shown as a percent of time, and graduate project assistants and undergraduate  
23 students are normally shown as number of hours (i.e., a maximum of 700  
24 hours in an academic year, a maximum of 520 hours in summer, and in rare  
25 cases a maximum of 160 hours between fall and spring semester). Allowable  
26 salaries for students are based on approved rates by the funding agency:  
27 Examples of how to report salaries in a proposal are as follows.

Research Assistants: \$1,600/mo (.50 FTE)

Project Assistants or Undergraduate Students, 500 hours @ \$12/hr or \$6,000

28  
29 **4.8. Academic Faculty Release Time and Salaries.** Some granting agencies will pay for  
30 faculty release time during the academic year. The typical amount is 25 to 50 percent, but  
31 larger amounts are sometimes granted for projects. It will be the responsibility of the PI  
32 to determine the guidelines from the granting agency and to coordinate through the  
33 appropriate department/unit administrator. Note: Faculty Handbook updates related to  
34 faculty release time and salaries will take precedence over this policy. The release time  
35 may be listed in the proposal budget as in the following example.

**John Doe, 25% FTE, \$42,000/9 mo., \$10,500**

36  
37 In addition, the Board of Regents approved the following relevant policies.  
38

39 In cases where release time from teaching duties is not necessary or possible, or in  
40 addition to release time from teaching duties, the faculty member may be provided an  
41 administrative “overload” supplemental contract for additional duties incurred with the  
42 grant with the following provisos:

- 1 1. The administrative “overload” contract amount may not exceed 15% of the
- 2 faculty member’s nine-month contract amount;
- 3 2. The department and/or discipline may not be adversely affected by the faculty
- 4 member’s involvement in the project; and
- 5 3. The funding agency approves the project without release time.
- 6

7 Not all granting agencies will allow this policy. In such cases, approval for any  
8 differences must be sought from the Vice President for Advancement. In addition, the  
9 dean or Provost/Vice President for Academic Affairs must approve any release time  
10 during the academic year.

11  
12 **4.9. Summer Faculty Salaries.** Most granting agencies will allow summer salary in the  
13 amount of 2/9 of the regular academic salary. A few will allow 3/9 of the regular  
14 academic year salary. Check with the proposal guidelines or the program director to  
15 clarify this amount. If a faculty member has more than one grant, she/he may not receive  
16 more than 100 percent (three months) summer pay. Summer salaries should be shown in  
17 the proposal budget in the following manner.

Jane Doe, 15 days summer salary, \$42,000/195 days, \$215.38/per day \$3,231  
(rounded to the nearest dollar)

18  
19 **4.10. Secretarial Support.** In some cases, extra secretarial assistance will be needed to  
20 support project activities and may be listed as a regular budget item. When this type of  
21 support is needed, it is essential that the Office of Human Resources be contacted to  
22 determine the appropriate salary rates approved by the College.

23  
24 **4.11. Travel.** The State of New Mexico and Northern have established regulations  
25 concerning travel using state funds. According to the Purchasing Manual, out-of-state  
26 travel requests must be submitted to the business office at least 10 working days prior to  
27 the start of the trip. In-state travel requests must be submitted at least 3 working days  
28 prior to the start of the trip. All out-of-state/international travel requests must be approved  
29 by the Vice President for Advancement or her/his designee.

30  
31 **4.12. Employer Identification Number.** The employer identification number assigned to  
32 the College by the federal government must be included in some proposals. This number  
33 is 85-6000545.

34  
35 **4.13. Tax Exempt Status.** The College is recognized by the Internal Revenue Code  
36 under Section 509(a)(3) as eligible for exemption from Federal Income Tax under  
37 Section 501(c)(3) of the Internal Revenue Code. This exemption was granted September  
38 1986. A copy of the IRS letter is available at the Office of Institutional Advancement  
39

40 **4.14. Cost Sharing.** Cost sharing may consist of allowable direct or facilities and  
41 administration (F& A) resources; but may not exceed 100 percent of a faculty, student, or  
42 staff’s effort in the performance of the sponsored project.  
43

1 **5. PI/Director Responsibilities for Preparing, Submitting and Managing the Budget**

2 The technical and fiscal management of a sponsorship project includes the preparation of the  
3 proposal, management of the project, adherence to reporting requirements, and assurance that the  
4 sponsor will be notified when significant conditions related to the project change. The major  
5 development and management policies and procedures related to the fiscal responsibility of the  
6 PI/director are described in the following two subsections.  
7

8 **5.1. Preparation and Submission of Proposed Budgets.** In proposing budgets for  
9 sponsored projects, the PI ensures Northern and the potential sponsor that project  
10 finances are represented as accurately as possible. In addition, all federal requirements  
11 related to cost principles in the [Uniform Guidance](#) and the [Accounting Standards Board](#)  
12 must be adhered to at the proposal stage. Key policies to address are as follows.  
13

14 **6. Commitment of College Resources.** Sponsored awards are made to the College. To accept  
15 awards, the College must legally commit itself to the conditions of the award document and  
16 the provision of resources necessary to fulfill the award, as committed in the sponsored  
17 project proposal. The Office of Institutional Advancement is the official authorized to  
18 approve grants documents, contracts and intergovernmental agreements.  
19

20 **6.1. Allowability.** Proposals should not include expenses which the federal government  
21 (in the [Uniform Guidance](#) or other regulations) or the sponsor has identified as  
unallowable.

22 Similarly, expenses which are to be considered as indirect expenses (e.g., certain types of  
23 office supplies and clerical salaries) may not be proposed and budgeted as direct  
24 expenses, unless they meet the criteria defined in Section 3.2.1.(3).

25 **6.2. Commitment to Effort.** Proposals should accurately represent the amount of time  
26 that key personnel are committing to the project. In preparing proposals, PI/director must  
27 be cautious to not over commit themselves or others. Effort to the project must take into  
28 account the time required for teaching and campus citizenship.

29 PIs may submit proposals on the assumption that not all will be awarded, but, at the time  
30 of award, an accurate representation of time to be devoted to the project, whether that  
31 effort will be paid for by the sponsor or by Northern, is necessary. Subsequent changes in  
32 levels of effort may also require advance notification to and approval by sponsors.  
33

34 **6.2.1. Estimating Methods.** When estimating funding to be budgeted for project  
35 expenses, estimating methods must be consistent with Northern's accounting  
36 practices and must allow expenditures to be accumulated and reported to at least  
37 the same level of detail as the estimate.  
38

39 **7. Cost Sharing.** Cost sharing is the contribution made by the College to the total sponsored  
40 project cost. Two types of cost sharing may occur in a grant:

- 41 1. Mandatory cost sharing required by the sponsor as a condition to obtaining an  
42 award; and
- 43 2. Committed cost sharing, which is an agreement by the College to use some of its  
44 own resources for related research, but not required by the sponsoring agency.

1 In either case, when the award is received, cost sharing becomes a legally binding commitment  
2 of the College. As a result, a Cost Sharing and Identification Worksheet must be completed and  
3 submitted to the Office of Institutional Advancement for approval before the College commits to  
4 sharing the costs of externally funded projects. The type of cost sharing and amount expected to  
5 be contributed to a sponsor needs to be estimated based on associated dollars and recorded in the  
6 proposal budget as cost sharing.  
7

8 Administrative requirements for including cost sharing on federal grants and cooperative  
9 agreements are defined in [Uniform Guidance](#). Both in-kind and cash contributions  
10 by a recipient are acceptable as cost sharing or matching when all six criteria are met:

- 11 1. Verifiable from recipient records;
- 12 2. Not included as contribution for any other federally assisted program;
- 13 3. Necessary and reasonable for proper and efficient accomplishment of project or program  
14 objectives;
- 15 4. Allowable charges under applicable cost principles;
- 16 5. Not paid by another federal award (except as authorized by statute); and
- 17 6. Conform to other provisions in [Uniform Guidance](#) as applicable.

18  
19  
20 **The key policies related to these criteria are as follows.**

21 **7.1. Direct Costs (Faculty, Student or Staff Support).** It may be appropriate to  
22 contribute faculty, student, or staff effort to the performance of a sponsored agreement.  
23 The commitment to provide such support, binds the College to contribute the effort and  
24 record the associated expenditures including fringe benefits in separate cost sharing  
25 accounts.

26 **7.2. Cost Sharing.** Cost sharing may consist of allowable direct or facilities and  
27 administration (F& A) resources; but may not exceed 100 percent of a faculty, student, or  
28 staff's effort in the performance of the sponsored project. Note: A significant decrease in  
29 the effort of key personnel in a project may require coordination with and/or advance  
30 approval by the federal sponsor. Non-federal sponsors may have similar requirements. If  
31 facilities and administration costs are to be waived, approval must be obtained from the  
32 Office of Institutional Advancement.

33 **7.3. Equipment.** Equipment cannot be offered as cost sharing unless the receipt of the  
34 award is contingent upon such cost sharing. Northern or government-owned equipment  
35 cannot be committed as cost sharing, but can be characterized as "available for the  
36 performance of the sponsored agreement at no direct cost to the project." Where the  
37 purpose of the grant is to buy equipment and the College is required to share the cost with  
38 the sponsor, the acquisition of special purpose equipment as a direct cost may include an  
39 offer of College funds to pay for all or part of the equipment cost.

40 **7.4. Other Direct Costs.** Allowable direct costs other than salaries, fringe benefits, or  
41 equipment may be committed by the PI/director as cost sharing on the proposal budget.  
42 The following examples of other direct costs that may be cost shared include travel  
43 expenses, items that do not meet the capitalization threshold, and supplies.  
44

1           **7.5. Facilities and Administration Costs (Indirect Costs).** Facilities and  
2 administration costs are those expenses that the College and, through the College, the  
3 state of New Mexico incur every time the College accepts an award from an outside  
4 sponsor. These costs are not set arbitrarily by the College administration; they are not  
5 profit for the College or the state of New Mexico. They represent reimbursement for  
6 real expenses, which cannot be allocated uniquely to individual projects, for example,  
7 utilities, building use, libraries, and administrative services. Federal and other  
8 sponsors expect to pay facilities and administration costs and budget their allocations  
9 accordingly. The federal auditors scrutinize facilities and administration costs in  
10 detail. As a result, the College must maintain its own staff to keep the appropriate  
11 books. The College is legally obligated to recover these costs.  
12

13           **7.6. Sources of Funds for Cost Sharing.** Funds from another federal award or grant  
14 may not be used as the source of cost sharing, unless authorized by statute. In this  
15 case, the cost sharing arrangement must be approved by all sponsors.  
16

17           **7.7. Use of Nonfederal Funds.** Identifying and providing resources for cost sharing  
18 of direct costs (including equipment) is always the responsibility of the PI. The PI  
19 may not use funds from another federal award as the source of cost sharing, except as  
20 authorized by statute. The PI/director. The PI may not use funds from nonfederal  
21 sources to provide cost sharing. However, this arrangement may only occur if the cost  
22 sharing is authorized by the nonfederal sponsor.  
23

24 **8. Expenditures NOT Eligible for Cost Sharing.** The following expenses cannot be offered as  
25 cost sharing commitments in sponsored project proposals:

- 26       • F&A cost in excess of the 26 percent administrative cap, except DoD contracts;
- 27       • unallowable costs as defined in the [Uniform Guidance, Subpart E – Cost Principles](#);
- 28       • salary dollars above a regulatory cap (see [NIH’s 2018 Notice on Salary Limitations](#));
- 29       • College facilities such as laboratory space. PIs should take care in preparing proposals for  
30 sponsored agreements not to commit use of facilities as cost sharing, but rather to  
31 characterize the facilities as “available for the performance of the sponsored agreement at  
32 no direct cost to the project”; and
- 33       • depreciation on government-funded equipment.  
34

35 **9. Reporting Cost Sharing.** Cost-shared expenses should be regularly documented. The College  
36 is responsible for providing information on cost sharing to sponsoring agencies, which  
37 demonstrates the College has fulfilled the cost sharing commitments that is made as a condition  
38 of receiving external sponsorship and as required by the [Uniform Guidance](#). The Office of  
39 Institutional Advancement is responsible for providing cost sharing reports to sponsors when  
40 required by the sponsor. In order to do so, departments must provide the necessary information  
41 on the Cost Sharing and Identification Worksheet at the time of the award.. During the financial  
42 close-out of a sponsored project, cost sharing commitments will be reviewed by the office of  
43 Institutional Advancement.  
44

1 **10. Reduction in Cost Sharing.** The actual effort and other costs required to accomplish the  
2 goals of a sponsored project might differ from what was proposed and awarded. The total costs  
3 could decrease due to changes in programmatic needs. When there is cost sharing on such  
4 projects, the sponsor may need to be consulted to determine if the reduction can be applied to  
5 either the College's committed cost sharing or to both sponsor and College resource contributions  
6 on a pro rata basis. Otherwise, the sponsor's share is reduced and the College's entire cost  
7 sharing commitment must be met. The PI/director or the departmental or research administrator  
8 must consult with the Office of Institutional Advancement before the sponsor is contacted.  
9

10 **10. Outside Professional Services.** Services rendered at the request of and for the benefit of the  
11 College by corporations, partnerships, or consultants (not College employees) may be contracted.  
12

13 **11. Stipend Award Procedures.** Student costs are normally seen only in training projects or  
14 fellowships and rarely in research or public service projects. Costs such as student stipends,  
15 tuition, housing, travel, books, and supplies must be listed separately in the proposal budget and  
16 are excluded from the F&A cost calculations (There are some exceptions with the U.S.  
17 Department of Health). For student costs such as salaries, fringe benefits and scholarship, see  
18 Section, Student Salaries. Note: Participant costs such as in workshops, surveys, and studies are  
19 typically in small fixed amounts to compensate participants for their effort and are included in  
20 the F&A calculation.  
21

## 22 **12. Proposal routing process:**

23 Grant proposals, including pre-proposals, letters of support/commitment that obligate the college  
24 and/or the college's foundation office as a fiscal agent, sub-recipient, or beneficiary, must not be  
25 submitted to a funding agency for consideration unless approved by the following offices:

- 26 • Overseeing academic department (if applicable)
- 27 • Office of Institutional Advancement
- 28 • Office of the Provost
- 29 • Office of budget and finance

## 30 **2410**

### 31 **Sponsored Projects – Post Award**

#### 32 **1. Procedures for post award activity:**

- 33 • A copy of the following documents must be submitted to Grants Manager:
  - 34 a. award notification or sub-award notification
  - 35 b. administrative guidelines
  - 36 c. copy of the approved budget, including any necessary revisions
- 37 • Coordinate a meeting with the college's Grants Accountant and Grants Manager to  
38 complete the budget entry process. Complete expenditure approval form.
- 39 • Coordinate a meeting with the VP for Advancement to prepare any formal agreements  
40 (i.e. MOUs, sub awards, Professional Services Contract) associated with the grant.  
41  
42  
43

#### 44 **2. Subawards**

45 A subaward is a formal agreement between Northern and a "subrecipient". A "subrecipient" is a  
46 non-Northern entity that expends awards received from the College to carry out a portion of a

1 sponsored project, but does not include an individual that is a beneficiary of such a program. For  
2 both federal and non-federal sponsored projects, Northern adheres to the federal governments’  
3 definition of a subrecipient as defined in [Uniform Guidance](#).

4 Note: A subcontract refers to a vendor who will receive payment for goods or services,  
5 whose services are ancillary to the operation of the sponsored project, is not subject to  
6 compliance with requirements of a sponsored project, and is not responsible for programmatic  
7 decision making.

8  
9 The subrecipient may not involve an individual who is also a direct beneficiary of such a  
10 program at Northern, the sponsor, or higher-tier subrecipient. The subrecipient may be another  
11 educational institution, an independent laboratory, a foundation, a for-profit corporation, a non-  
12 profit corporation, or other organization, and may be a domestic or foreign entity. A subrecipient  
13 may also be a recipient of other federal awards directly from a federal awarding agency.

14  
15 The PI/PD must select a subrecipient based upon his or her assessment of the potential  
16 subrecipient’s ability to perform the research work successfully. This includes an analysis of the  
17 subrecipient’s past performance, technical resources and financial viability, and an assessment of  
18 the reasonableness of the subrecipient’s proposed costs in light of the work to be performed. This  
19 information must be documented in Northern’s Subrecipient Commitment Form and submitted  
20 to the Office of Institutional Advancement for final approval. To meet audit requirements,  
21 Northern is required to retain documentation of this latter assessment for subawards proposed  
22 under a contract.

23  
24 In rare cases, a PI/PD may recognize the need for outside involvement on a project, but is either  
25 unable to identify the best subrecipient by the time of proposal submission, or is unable to  
26 acquire all of the required paperwork from that subrecipient. In such an instance, proposals may  
27 be submitted with a subrecipient as “To Be Named”, if allowed by the contractor or sponsoring  
28 agency. PIs may need to be prepared to provide documentation on the basis for their subaward  
29 cost estimates of the work to be performed. Note: PIs and their school/college will be responsible  
30 for managing any budgetary shortfalls that may result from their inability to accurately predict a  
31 subrecipient’s costs. In addition, subrecipients should not be asked to reduce their F&A recovery  
32 or to otherwise cost-share because of Northern’s failure to include cost in our proposal.

33  
34 If the College is the prime contractor, then, as the lead institution, the College will be responsible  
35 to the granting agency for successful completion of the project. To ensure clarity in the  
36 agreement, a **Subrecipient Commitment Form** must be completed with other institution(s).  
37 Once the grant is awarded, two copies of the signed form and work statement from the other  
38 institution(s) should be submitted to the office of research and sponsored projects.

39  
40 If the College is not the lead institution, the other organization should provide an agreement  
41 form. Coordination in planning the agreement should take place with the dean, the Office of  
42 Institutional Advancement, and other administrative personnel, as appropriate. A **Proposal**  
43 **Routing Form (PRF)** should also be prepared and submitted to the Office of Institutional  
44 Advancement

1 **2.1. Applying F & A (Indirect Cost) Rates to Subawards.** There are two types of F &  
2 A costs on subawards – those earned by the subrecipient and by Northern. A subrecipient  
3 is expected to apply its own federally negotiated F & A rates and bases when preparing  
4 its subaward budget, unless a lower rate or base has been agreed to by the subrecipient  
5 institutional official (e.g., to meet cost-sharing requirements, or to meet a sponsor’s F &  
6 A rate limitation). If a subrecipient does not have an approved F & A rate, it must either  
7 have its proposed indirect cost rate approved by Northern or elect not to recover indirect  
8 costs. Northern applies the [Uniform Guidance, 2 CFR 200, App. III, Section C.7](#) "fixed  
rates for the life of the sponsored agreement" policy to subawards and will use the  
approved F&A rates authorized at the time of the issuance of the subaward.

## 2420

### Sponsored Program Fiscal Management and Administration

#### **1. Overall PI/PD Budget Responsibilities**

11  
12  
13  
14  
15  
16 While the day-to-day management of project finances may be delegated to administrative or  
17 other staff, the PI has overall responsibility for fiscal management of the sponsored. Provided  
18 below is a summary of these responsibilities.

- 19 • Manage the project in accordance with the approved Statement Of Work (SOW).  
20 Significant changes to the SOW need prior written approval of the funding agency.  
21 Request for changes in the SOW must be routed to the office of research and sponsored  
22 projects;
- 23 • Initiate and supervise grant expenditures as stipulated in accordance with the terms,  
24 condition and limitations of the funding agency;
- 25 • Adhere to federal, state, College, and sponsored allowances and policies or charging  
26 expenditures, including: the [Uniform Guidance](#); and the [Accounting Standards Board](#).
- 27 • Follow conflict of interest in research policies;
- 28 • Initiate, monitor, and approve any subawards according to Northern’s policies;
- 29 • Ensure cost sharing requirements are properly documented by the award and seek  
30 appropriate approvals for cost sharing and other actions before committing the College’s  
31 finances or resources;
- 32 • Ensure the College and potential sponsors that project finances are represented as  
33 accurately and reasonably as possible;
- 34 • Submit salary and non-salary transfers on a timely basis;
- 35 • Complete effort certifications and timesheets as required for the project on a timely basis;
- 36 • Certify the appropriateness of direct charges, salary, annual and sick leave each month  
37 during the project period;
- 38 • Seek no-cost extension, rebudgeting requests, and modification in the scope of the project  
39 of the award if necessary;
- 40 • Follow intellectual research property policies;
- 41 • Inform sponsors of significant changes affecting the project per the award guidelines;
- 42 • Oversee the clearing of overdrafts or overruns if necessary and the proper and timely  
43 closeout of sponsored projects;
- 44 • Complete all reports (financial and technical) and all PAR forms as required by the  
45 award; and

- Be accountable for deficits or disallowances that occur under the grant or contract.

**2. PI/Director Budget Management Responsibilities.** Beginning with the receipt of funds at the onset of the award, the PI/Director is responsible for the day to day management of the sponsored project budget, including.

**2.1. Receipt of Funds.** All funds from sponsors must be deposited with Northern's Business Office. Checks for sponsored awards are usually received by the business office. Occasionally, checks are sent directly to the PI/director. In such a case, the check must be forwarded to the business office for deposit.

**2.2. Business Related Expenses.** Ordinary and necessary expenditures incurred in conjunction with sponsored research projects may be reimbursed. These expenses are usually not associated with capital equipment, personal services, or travel.

**2.3. Financial Reporting To Sponsor.** Every project is assigned an account number. The account manager in the Business Office handles all official financial transactions and financial reports of a project from its inception to its termination. Financial reports required by the sponsor are prepared by the Business Office based on information generated by the College's accounting system. These reports must be approved by the PI and the Office of Research and Sponsored Projects before they are forwarded to the sponsor. Questions about financial reports should be directed to the account manager at the Business Office.

**2.4. Purchasing Procedures.** All purchases made with sponsored funds must follow procedures outlined in the Northern's Purchasing Policies.

**2.5. Rebudgeting of Project Funds.** The PI/director is responsible for the ongoing fiscal management of awarded projects, including regular monitoring against project period budgets. Federal grants policy ([Uniform Guidance](#)) establishes the approved project budget as the financial expression of the project, and sponsors may evaluate the project against the budget at any time. Although sponsors allow certain flexibilities with respect to rebudgeting, unobligated balances, and preaward costs, Northern and sponsors expect expenditures to be reasonably consistent with the approved project and budget. Sponsors may question or restrict expenditures appearing inconsistent with the project plan and budget. PIs are obligated to request prior approval when budget and program plan revisions indicate a significant change in scope. Example indicators of a change in scope may include significant expenditures beyond the amount authorized on the award or requests for additional funding. Principal investigators should verify the terms of their awards with the business office account manager before they request rebudgeting.

**2.6. Cost Overruns.** Costs in excess of project budgets are the responsibility of the PI and school/college and are considered unallowable costs. Nonetheless, the College is obligated to account properly for this action. If a cost overrun is discovered and additional funds are required, the PI's school/college may be required to settle the overdraft.

1  
2 **2.7. Underestimating Project Budgets when Funds are Initially Requested from the**  
3 **Sponsoring Agency.** The PI/director should carefully consider all potential costs of  
4 projects when the budgets are first developed. Monthly College financial reports should  
5 be reviewed by the PI/director or her or his representative in a manner similar to  
6 reconciliation of a personal checking account. Any exceptions should be promptly called  
7 to the attention of the account manager, with special urgency during the final 90 days of  
8 the project. A visit to the account manager should be made at this time to maximize use  
9 of awarded funds while avoiding overruns.

10  
11 **2.8. Control of Property.** The College is responsible for the control of property funded  
12 under the terms of sponsored project contracts and grants. The PI/director is responsible  
13 for the control and maintenance of the sponsored property. The PI/director may delegate  
14 property control functions to the persons related to the project such as the project staff,  
15 research coordinator, department property administrator, or administrative staff.

- 16 ○ For information related to procedures and policies for acquiring, controlling,  
17 shipping, moving, and disposing of sponsor-funded property, contact Northern's  
18 Finance Office.

19  
20 **2.9. Travel Policies.** All travel on sponsored funds must comply with the College's travel  
21 policy. Contact the Office of Institutional Advancement or the Business Office for policy  
22 guidelines on travel procedures.

23  
24 **2.10. Charging of Holiday, Sick Leave or Vacation to Projects.** Holiday, sick or  
25 vacation charges to sponsored projects are appropriate only when such vacation is earned  
26 within the respective project and as specified by College policy. Employees on fixed-  
27 term and fixed-funding appointments and continuing employees paid from fixed-funding  
28 sources may be required to use all accrued vacation before the end of the fixed-term  
29 appointment period or the expiration of the funding source.

30  
31 **2.11. Overdrafts.** At the end of the project performance period, if unanticipated project  
32 expenses result in more charges to a sponsored account than were funded, the amount of  
33 the overdraft is accounted for in the same manner as cost sharing. These costs represent  
34 project costs being borne by Northern, and therefore, must be accounted for in the same  
35 manner as cost sharing. However, these costs cannot be considered cost sharing for  
36 purposes of fulfilling a cost commitment because overdrafts are considered unallowable  
37 under A-21.

38  
39 **2.12. No-Cost Time Extensions.** If additional time is needed to complete a project and  
40 there is an unexpended balance in the award, PIs may request that the period of  
41 performance of an award be extended. In most cases, agency prior approval is required.  
42 Requests for extensions should be initiated by a PI/director and processed in accordance  
43 with the terms of the sponsored award. The PI/director is responsible for determining  
44 whether a countersignature from the Office of Institutional Advancement is required.  
45 Requests for a no-cost extension should be submitted no later than the end date of the

1 award (unless an earlier date is required by the agency.) Award closeouts cannot be  
2 delayed to accommodate pending requests submitted after the award end date.

3  
4 If final technical reports are to be completed after the project end date, and funds from  
5 the project are available to pay these expenses, a no-cost extension should be obtained  
6 from the sponsor to cover the expense of producing and distributing those reports. If  
7 funds are not available from the project, then the PI, department or school must identify  
8 unrestricted funds to pay final report costs.

9  
10 **2.13. Records Retention** For some projects, the retention period may be longer based on  
11 the following conditions:

- 12 ○ to protect any intellectual property resulting from the work;
- 13 ○ to ensure that charges of misconduct or conflict of interest regarding the research  
14 are fully resolved; and
- 15 ○ to ascertain that a student involved in the research graduates has graduated, or  
16 until it is clear that the student has abandoned the work.

17 Failure to retain required documentation will result in certain disallowance in the event of  
18 an audit. If litigation, a claim, or an audit occurs, documentation must be retained until all  
19 issues have been resolved regardless of the time period.

20  
21 In accordance with record retention procedures, schools/college and/or principal  
22 investigators are responsible for retaining pertinent documentation on sponsored projects.  
23 Such documentation would include not only financial transactions and time and effort  
24 certification, but also statistical data, such as lab books, data tapes, graphs, case studies,  
25 field notes, original samples in unanalyzed form, and reports as well. Certain agreements  
26 require the transfer of certain records to a sponsor's custody; in that situation, the three-  
27 year retention period does not apply.

28  
29 For all projects, the Office of Institutional Advancement is responsible for retaining the  
30 official contract files, including copies of the original award and any amendments,  
31 required sponsor approvals, consulting agreements, and subcontracts. The business office  
32 is responsible for retaining the official accounting records, including financial transaction  
33 reports and invoices.

34  
35 It is important to note that federal record retention provisions allow the federal  
36 government access to records even after the required retention period has passed if such  
37 records are still maintained. It is, therefore, advisable to have a schedule for purging the  
38 financial records once the required retention period has passed. Careful consideration  
39 should be given to maintaining the scientific records. After the identified period of  
40 retention, the PI or department, if the PI is no longer at the College is responsible for  
41 destruction of the research material.

42  
43 If PI/director is involved in the research project leaves the College, they are entitled to  
44 copies of the research data. However, original data must be retained at the College.  
45 Approval must be sought from the Office of Institutional Advancement if a request has  
46 been made by the PI for copies of research data. In addition, written agreement from the

1 PI's new institution must be provided guaranteeing custodial responsibilities for the data  
2 and allowing the College access to the data if necessary.  
3

4 **2.14. Project Closeout.** The PI/director is responsible for overseeing the proper closeout  
5 of sponsored projects including the timely submission of all required reports. While the  
6 Office of Institutional Advancement prepare and submit final administrative reports,  
7 including financial and property reports, they do so on the basis of documentation created  
8 in the department. The PI/director must ensure that such documentation is adequate and  
9 readily available. In addition, PIs are responsible for ensuring that any necessary final  
10 financial adjustments and documentation (e.g., final invoices from vendors or  
11 subrecipients) are received promptly after the end of the award.  
12

13 If an approval to close an award has not already been provided by the PI/director, the  
14 Office of Institutional Advancement will prepare and submit financial reports based on  
15 the information reflected in the financial system as of two weeks prior to the due date for  
16 the final report. In addition, some financial reports may require the PI's signature.  
17

18 **2.15. Audit of Sponsored Projects.** Auditors are ensured full cooperation in arranging  
19 contacts with College employees. Auditors are expected to inform the College in advance  
20 of proposed audits and to arrange all contacts through the Office of Institutional  
21 Advancement. If any College employee is contacted by an auditor without prior  
22 notification from the Office of Institutional Advancement, the employee should notify the  
23 Office of Institutional Advancement.  
24

## 25 2500

### 26 ACCEPTABLE COMPUTER USE

#### 27 28 1. General

29 As an institution of higher learning, Northern New Mexico College encourages, supports, and  
30 protects freedom of expression as well as an open environment to pursue scholarly inquiry and to  
31 share information. Access to information technology, in general, and to the Internet, in particular,  
32 supports the academic community by providing a link to electronic information in a variety of  
33 formats and covering all academic disciplines. The computing and network resources, services,  
34 and facilities of the College are limited and should be used wisely and carefully with  
35 consideration for the needs of others. As with any resource, there is a possibility of misuse. In an  
36 attempt to prevent or mitigate such misuse, this policy outlines proper and improper behaviors,  
37 defines misuse and incidental use, explains rights and responsibilities, and briefly reviews the  
38 repercussions of violating these codes of conduct.  
39

40 Northern New Mexico College provides computing services to College faculty, staff, and  
41 students. These services are intended primarily for furthering the education, research, and public  
42 service mission of the College and may not be used for commercial purposes or profit-making.  
43 This Policy is applicable to all individuals using College-owned or -controlled computer  
44 equipment, communications equipment, data -network (wired and wireless), storage devices, and  
45 computer-related facilities, whether such persons are students, staff, or faculty. All College  
46 policies including, but not limited to, intellectual property protection, privacy, misuse of College

1 equipment, sexual harassment, hostile work environment, data security, and confidentiality shall  
2 apply to the use of computing services.

### 3 4 **1.1. Departmental Computer Use Policies and Procedures**

5  
6 Individual departments within the College may define “conditions of use” for information  
7 resources under their control. These statements must be consistent with this overall policy  
8 but may provide additional detail, guidelines, and/or restrictions. Such policies may not  
9 relax, or subtract from, this policy. Where such “conditions of use” exist, the enforcement  
10 mechanisms defined within these departmental statements shall apply. Individual  
11 departments are responsible for publicizing both the regulations they establish and their  
12 policies concerning the authorized and appropriate use of the equipment for which they  
13 are responsible. In such cases, the department administrator shall provide the cognizant  
14 vice president and the College Director of IT with a copy of such supplementary policies  
15 prior to their implementation. Where the use of external networks is involved, policies  
16 governing such use also are applicable and must be adhered to.

### 17 18 **1.2. Computing Services**

19 For the purposes of this policy computing services include the following:

- 20 • All College data, information, and information systems (including computer  
21 applications used by the College that are hosted elsewhere),
- 22 • All College computer hardware, software, multi-media, and communication services  
23 including all computer resources, communications equipment, and data networks—  
24 wired and wireless,
- 25 • All College telephones, mobile phones, smart phones, storage devices, and personal  
26 digital assistants, and
- 27 • All digital assets owned, managed or leased by the College and any that may be  
28 entrusted to the College by other organizations (e.g. cloud computing services as well  
29 as any other future computing device, service, system, or application.)

## 30 31 **2. Rights and Responsibilities**

32 The use of College computing services is a privilege. Users who have been granted this privilege  
33 must use the services in an appropriate, ethical, and lawful manner. Unauthorized access is  
34 prohibited and may be monitored and reported to the proper authorities. The College does not  
35 provide a warranty, either expressly or implied, for the computing services provided. The  
36 College reserves the right to limit a computer user's session if there are insufficient resources,  
37 and to cancel, restart, log, record, review or hold a job, process, network connection or program  
38 to protect or improve system or network performance if necessary.

39 The College network is large and complex and supports mission critical functions such as patient  
40 care, payroll, academic classes, Internet access, and electronic mail.

### 41 42 **2.1. User Responsibilities**

43 Users are responsible for all their activities using computing services and shall respect the  
44 intended use of such services. Whenever a computing facility has specific rules and  
45 regulations that govern the use of equipment at that site and users shall comply with those  
46 rules and regulations governing the use of such computing facilities and equipment in

1 addition to any over-arching College policies such as this one. Users must understand and  
2 keep up-to-date with this policy and other applicable College computer policies and  
3 procedures.  
4

5 Users shall respect all copyrights including software copyrights. Users shall not  
6 reproduce copyrighted work without the owner's permission. In accordance with  
7 copyright laws, including the Digital Millennium Copyright Act, college's legal counsel,  
8 upon receipt of official notice from a copyright owner, may authorize blocking access to  
9 information alleged to be in violation of another's copyright. If after an investigation  
10 information is determined by college's legal counsel to be in violation of another's  
11 copyright, such information will be deleted from College computing systems.  
12

### 13 **2.1.1. Copyrights and Software Licenses**

14 Users of College computing resources must comply with copyright law and the terms of  
15 licensing agreements, including software licenses, before accessing or using copyrighted  
16 material on the Internet. Users are responsible for determining what licenses or  
17 permissions are necessary and for obtaining such permissions or licenses before using  
18 College computing resources. Purchased music, movies, software, and other multi-media  
19 files usually include a license that gives you permission to make copies, change formats  
20 or to share the file with others.  
21

22 Generally, software which the College is not permitted or not licensed to use shall not be  
23 installed on College computing services; however, software which has been personally-  
24 acquired is permitted to be installed on College computing services so long as the user  
25 who has installed the software is able to prove s/he is legally permitted to do so (this is  
26 usually done by retaining and providing the license upon request.)  
27

28 File-sharing applications often involve the unlawful copying or distribution of  
29 copyrighted material without permission or license from the copyright owner. Anyone  
30 who sends or receives files using file-sharing software may be engaging in an unlawful  
31 act unless (a) the user is the copyright owner or has permission from the copyright owner,  
32 (b) the material is in the public domain, or (c) fair use or another exception to copyright  
33 law applies.  
34

35 Upon receipt of information alleging that a user may be engaged in unauthorized file  
36 sharing of copyrighted material or is in violation of licensing obligations or other  
37 copyright law, the College may, without notice, immediately suspend, block or restrict  
38 access to an account. The College may take such action when it appears necessary in  
39 order to protect the security or integrity of computing resources, or to protect the College  
40 from liability.  
41

42 Users who violate copyright law or license terms may be denied access to College  
43 computing resources, and may be subject to other sanctions and disciplinary actions,  
44 including but not limited to expulsion or discharge from the College.  
45 In accordance with its legal obligations, the College will continue to develop plans to  
46 combat the unauthorized use and distribution of copyrighted materials, including the

1 possible use of technological deterrents. The College will also continue to provide  
2 information on alternatives to illegal file-sharing.  
3  
4  
5

### 6 **2.1.3. Software Developed Internally**

7 College personnel may develop computer programs using College computing resources.  
8 Such software may be subject to the College's Intellectual Property Policy.  
9

### 10 **2.1.4. Computer Security**

11 Individuals using computing services are responsible for keeping accounts and passwords  
12 confidential and for safeguarding all College data and information, especially those  
13 covered by state and federal regulations such as FERPA, regardless if it is being stored on  
14 College computing resources, stored on non-college resources, or being transmitted over  
15 communication networks.  
16

### 17 **2.1.5. Computer Accounts and Passwords**

18 The College, through IT and departments, provides computer accounts to authorized  
19 users for access to various College systems. These accounts are a means of operator  
20 identification and passwords are used as a security measure. An individual's computer  
21 account shall not be shared. Account use is a privilege, not a right.  
22

#### 23 **2.1.5.1. Account Authentication**

24 Passwords, PINs, and other identifiers authenticate the user's identity and match  
25 the user to the privileges granted on College computers, computer networks,  
26 systems and computing resources. A password is a security measure designed to  
27 prevent unauthorized persons from logging on with another person's computer  
28 account and reading or changing data accessible to that user. Users should create  
29 passwords carefully and handle them with care and attention. For this security  
30 feature to be effective, the user must protect the secrecy of his/her password. Each  
31 user should:

- 32 • choose a password that is a minimum of eight characters to include a  
33 number, capital letter, and special character
- 34 • change his/her password at a minimum of every ninety (90  
35 0) days and at any time the user believes the password may have been  
36 compromised,
- 37 • avoid writing the password down, and
- 38 • not disclose or share the password with anyone.

39 Similar measures apply to all authentication methods such as PINs.  
40

#### 41 **2.1.5.2 Account Termination and Locking**

42 When an individual leaves the College, his or her account(s) must be locked as  
43 soon as reasonably possible and, subsequently, deleted within a reasonable time.  
44 If misuse or theft is detected or suspected, account(s) will be locked according to  
45 the College's procedures.  
46

1           **2.1.6. Computer and Data Security**

2           Everyone at the College shares responsibility for the security of computer equipment,  
3           data, information and computing resources.

4  
5                   **2.1.6.1. Physical Security**

6           Everyone is responsible for the proper use and protection of College computer  
7           resources. Examples of protection measures include:

- 8                   • locking areas after business hours or at other times when not in use;
- 9                   • taking special precautions for high-value, portable equipment;
- 10                  • locking up documents and computing resources when not in use; and

11  
12                   **2.1.6.2. Information Security**

13           Security of data and information is an essential responsibility of computer system  
14           managers and users alike. For example, users are responsible for:

- 15                  • ensuring the routine backup of their files;
- 16                  • using data only for approved College purposes; and
- 17                  • ensuring the security and validity of information transferred from College  
18                  systems.

19  
20           **2.1.7. Computer Viruses and Anti-virus Software**

21           All College departments, though department heads or designees, shall ensure anti-virus  
22           software is installed on College computing resources when technically possible and that  
23           the software is active and kept up to date. This requirement applies to all computer  
24           servers as well as all desktop and laptop computers. This will help ensure that College  
25           computing services and digital assets are not compromised, misused, deleted or  
26           destroyed.

27  
28           **3. Unacceptable Computer Use**

29           The College reserves the right to block access to any external electronic resources that are  
30           deemed in violation of this Policy. If it is determined, after an investigation by the  
31           appropriate office, that the user violated federal or state law, rules or regulations or  
32           College policy by misusing College computing services. The College will disclose illegal  
33           or unauthorized activities to appropriate College personnel and/or law enforcement  
34           agencies.

35  
36           **3.1. Security Violations**

37           Users shall not

- 38                  • attempt to defeat or circumvent any security measures, controls, accounts, or  
39                  record-keeping systems;
  - 40                  • use computing services to gain unauthorized access to Northern's or anyone else's  
41                  computing services;
  - 42                  • intentionally alter, misappropriate, dismantle, disfigure, disable or destroy any  
43                  computing information and/or services;
  - 44                  • knowingly distribute malware (i.e. computer viruses, worms, Trojans, or other  
45                  rogue programs).
- 46

1  
2 **3.2. Legal Violations**

3 Users shall not use computing services:

- 4 • for unlawful purposes, including fraudulent, threatening, defamatory, harassing,  
5 or obscene communications;
- 6 • to invade the privacy rights of anyone;
- 7 • to disclose student records in violation of FERPA;
- 8 • to access other computing services (i.e. other Northern computers or computer  
9 systems for unauthorized purposes;
- 10 • to access or disclose financial information in violation of the Gramm-Leach-  
11 Bliley Act or the College's Information Security Program;
- 12 • to access or disclose any non-public or personally identifiable information about a  
13 patient, employee, or student without having a legitimate College purpose
- 14 • to violate College policy, state law, or federal law, including but not limited to  
15 copyright laws.

16  
17  
18 **3.3. Other Misuse**

19 Users shall not use computing services:

- 20 • in violation of any College contractual obligation, including limitations defined in  
21 software and other licensing agreements;
- 22 • in a way that suggests College endorsement of any commercial product (unless a  
23 legal agreement exists and any communication or computing activity has been  
24 pre-approved by an appropriate vice president);
- 25 • to conceal one's identity when using computing services, except when the option  
26 of anonymous access is explicitly authorized,
- 27 • to possess or distribute obscene or pornographic material unrelated to  
28 College instruction, research, or business needs (students are excluded  
29 from this provision);
- 30 • to masquerade or impersonate another,
- 31 • by physically or electrically attaching any device to a College computer,  
32 communications devices, or network connection that negatively impacts the  
33 performance of any other College computing service;
- 34 • to send chain letters, pyramid schemes or unauthorized mass mailings;
- 35 • to send non-work or non-class related information to an individual who requests  
36 the information not be sent, or
- 37 • to send commercial or personal advertisements, solicitations, or promotions.

38  
39 Users should understand that, due to their nature, electronic communications can be  
40 intentionally or unintentionally viewed by others or forwarded to others, and are therefore  
41 inherently not private. In addition, addressing errors, system malfunctions, and system  
42 management may result in communications being viewed and/or read by other  
43 individuals and/or system administrators.  
44

1 In electronic communications, users must state whether they are speaking for themselves  
2 or in an official capacity for the College. Electronic communications that represent the  
3 College sent to non-Northern addresses must be done in a professional manner.  
4

#### 5 **4. Incidental Personal Use**

6 The College allows incidental personal use of computing services. Such use must not interfere  
7 with an employee fulfilling his or her job responsibilities, consume significant time or resources,  
8 interfere with other users' access to resources, be excessive as determined by management, or  
9 otherwise violated any federal or state laws, any individual college or departmental policies or  
10 codes of conduct, or College policies. Each department should document and communicate what  
11 use is acceptable.  
12

#### 13 **5. Privacy Limitations**

14 Users of College computing services, including managers, supervisors, and systems  
15 administrators shall respect and protect the privacy of others, in accordance with all applicable  
16 state and federal laws, regulations and College policies. Although the College is committed to  
17 protect individual and information privacy, the College cannot guarantee the security or privacy  
18 of correspondence and information stored and transmitted through College computer networks  
19 and systems. Since confidential information is often stored on desktop machines, displayed on  
20 screens, or printed on paper that could be in public view, users need to control access by:

- 21 • using passwords;
  - 22 • turning screens away from public view;
  - 23 • logging out of systems when leaving the work area;
  - 24 • shredding reports containing private information prior to disposal; and
  - 25 • clearing confidential information off desks in public areas.
- 26

27 While the College does not routinely monitor individual usage of its computing services, the  
28 normal operation and maintenance of the College's computing services require the backup and  
29 storage of data and communications, the logging of activity, the monitoring of general usage  
30 patterns, and other such activities that are necessary for the rendering of services. Similarly, the  
31 College does not, in the regular course of business, monitor the content of computing services on  
32 its various networks. However, suspicious aggregate behavior, official requests from authorities,  
33 forensic evaluation or discovery for purposes of civil litigation, or indications of a security  
34 incident, for example, can cause network activities or computing services to be reviewed. It is the  
35 right of the College to monitor and review any activities on its resources. It is best, therefore, to  
36 assume that any and all actions taken or activities performed using College computing services  
37 are not private.  
38

39 The College may also access and examine the account (e.g. any and all computer accounts on  
40 any College computing resource, e-mail boxes, file shares, local or networked storage) of an  
41 individual user under the following circumstances and conditions:

- 42 • if necessary to comply with federal or state law, or
- 43 • if there is reasonable suspicion that a law or College policy has been violated and the  
44 examination of the account is needed to investigate the apparent violation, or
- 45 • as part of an investigation involving an administrative claim or charge, arbitration or  
46 litigation, or if required to preserve public health and safety.

1  
2 Requests for access based on reasonable suspicion must be approved in writing, in advance, by  
3 the cognizant vice president. If access to a faculty member's account is being requested, the  
4 President of the Faculty Senate must be notified in conjunction with the request for approval.  
5 Each request must specify the purpose of access and such access will be limited to information  
6 related to the purpose for which access was granted. If such access is being requested by a vice  
7 president, access must be approved by the President. If such access is being requested by the  
8 President, access must be approved by the Northern Board of Regents. The Regents' Internal  
9 Auditing Policy authorizes the College Audit Department full and unrestricted access to all  
10 College records, including but not limited to those contained in computer files, discs, and hard  
11 drives.

12  
13 Accessing an employee's computer files for work-related, non-investigatory purposes (i.e., to  
14 retrieve a file or document needed while the employee who maintains the file or document is  
15 away from the office) is permitted and does not require authorization by a vice president as long  
16 as access is limited to the work-related need. When an employee separates from the College,  
17 work-related files, including but not limited to research data, as well as all records made or kept  
18 in any College electronic medium, remain the property of the College.

19  
20 Communications and other documents made or kept by means of College computing services are  
21 generally subject to New Mexico's Inspection of Public Records Act to the same extent as they  
22 would be if made on paper. Therefore, all employees are urged to use the same discretion and  
23 good judgment in creating electronic documents as they would use in creating written paper  
24 documents.

## 25 26 **6. Reporting Procedures.**

27 Suspected violations of this policy (e.g. any incidents involving the unauthorized access to,  
28 destruction of, or misuse of computing services by employees, faculty or students) must be  
29 brought to the attention of the dean, director, or department head, and the College IT Security  
30 Office. In the case of a criminal violation, the IT Office will notify Campus Security. Violations  
31 by non-employees will be referred to the appropriate authorities.

## 32 33 **7. Sanctions**

34 The misuse, unauthorized access to, or destruction of College computing services in violation of  
35 applicable laws or College policy may result in sanctions, including but not limited to  
36 withdrawal of use privilege; disciplinary action up to and including, expulsion from the College  
37 or discharge from a position; and legal prosecution.

38  
39  
40 **2520**

# 41 **COMPUTER SECURITY CONTROLS AND ACCESS TO SENSITIVE AND** 42 **PROTECTED INFORMATION**

## 43 44 **1. General**

45 Management of College computing services must ensure the rights and responsibilities provided  
46 for in Policy 2500 while also ensuring system and data availability, reliability, and integrity.

1 Therefore, all departments operating College owned computers, including those operated by  
2 faculty, staff, and students, must develop departmental security practices which comply with the  
3 security practices listed herein. In addition, departments must have environment-specific  
4 management practices for business functions such as maintenance, change control procedures  
5 capacity planning, software licensing and copyright protection, training, documentation, power,  
6 and records management for computing systems under their control. This may be done by hiring  
7 a qualified employee, sharing resources with other departments, or contracting with College  
8 Information Technologies (IT). IT is available to assist and advise departments in planning how  
9 they can carry out compliance with this and other computer technology-related policies.  
10 Departments must document and periodically review established practices.

11  
12 Department heads or designees are responsible for computer security awareness and for ensuring  
13 reasonable protection of all departmental computing systems within their purview against  
14 breaches of security, through methods such as virus protection, firewalls, encryption, patch  
15 management, change control, and password usage. Department heads or designees should ensure  
16 users of their systems have the necessary training for appropriate use of the system.

## 17 18 **2. Access to Departmental Systems**

19 Access to departmental computing systems must be authorized by the department head or  
20 designee. Access to College computing systems containing or transmitting sensitive and  
21 protected information must be authorized by the department head and approved by the College  
22 designated data custodian. To ensure confidentiality, special attention should be taken when  
23 authorizing system access to vendors and/or contractors, including those repairing and/or  
24 maintaining computers and computing devices. When possible, it is advisable to have vendors  
25 and/or contractors sign a confidentiality agreement. Computer access control also includes  
26 physical security to Northern equipment and information, such as: locks on doors/windows for  
27 equipment and storage, locking paper files, and paper shredders. The department head or  
28 designee ensures proper management of computer accounts and user identification by:

- 29 • handling system user authentication securely (e.g. passwords, PIN numbers, access  
30 codes);
- 31 • terminating an account in a timely manner when an individual's affiliation with the  
32 College is terminated or completed;
- 33 • following established policies and procedures and legal due process when violations are  
34 detected or suspected.

## 35 36 **3. Access to Computer Systems Containing Sensitive and Protected Information**

37 An individual who requires access to sensitive and protected information must be authorized by  
38 the data custodian responsible for the specific application. All contractors and vendors who have  
39 access to sensitive or protected information are required to sign confidentiality agreements prior  
40 to gaining such access. The data custodian is an individual officially appointed to authorize  
41 access to the system and ensure application-specific security. Authorization will only be granted  
42 to those individuals with a demonstrated need to use such information and/or electronic  
43 processes and who has taken the required training applicable to the system being requested. The  
44 data custodian will advise the individual on the system specific process used to authorize and  
45 gain access to the requested system. The data custodian or designee must review and approve  
46 each request for access to a specific system, ensure that all required training has been taken prior

1 to granting access, and authorizes access based on the user's business need and role in  
2 accordance with application-specific access procedures. Contact IT for list of Data custodians.

### 3 4 **3.1. Remote Access**

5 For the purposes of this Policy, "remote access" is defined as any means by which any  
6 faculty, staff, student employee, consultant, vendor or affiliate connects to the Northern  
7 Network using a non-Northern network device or service to access sensitive or protected  
8 information. This provision applies regardless of the type of device being used or if the  
9 device is College owned or personally owned. IT, department heads, designees and users  
10 share the responsibility for ensuring appropriate security mechanisms are in place to  
11 preserve the integrity of the network, to preserve the data transmitted over that network,  
12 and to maintain the level of confidentiality of the data at all times. Because of the  
13 increased level of risk inherent with remote access, strong security measures are required.  
14 When a user accesses sensitive or protected information remotely, identification and  
15 authentication of the user shall be performed in such a manner as to not disclose the  
16 password or other authentication information that could be intercepted and used by a  
17 third party.

#### 18 19 **3.1.1. Approval for Remote Access**

20 Users will be allowed to access to sensitive or protected information from a remote  
21 location only upon approval by the data custodian. Once approved, the user is responsible  
22 for ensuring adequate security measures are in place at the remote location for secure  
23 transmission of agency data and protection of College computing resources. IT can assist  
24 the user in identifying the appropriate protection mechanisms necessary to protect against  
25 theft of College resources, unauthorized disclosure of information, and unauthorized  
26 access to the College network. The user is responsible for ensuring devices used for  
27 remote access are protected by a firewall and virus scans, and contain all up-to-date  
28 security patches.

29  
30 Northern recommends that users leave data on Northern servers as much as possible and  
31 not copy sensitive data onto any mobile computing device. Storage of sensitive data and  
32 protected information on a non-Northern computer is prohibited unless a formal written  
33 exemption is granted by the data custodian. When stored remotely on a Northern  
34 computing device the data must be encrypted.

#### 35 36 **3.1.2. Sensitive Data**

37 Users should be especially careful with the following types of data:

- 38 • confidential financial information
- 39 • account names and passwords
- 40 • social security and/or credit card numbers
- 41 • personal contact names and phone numbers
- 42 • decryption keys or pass-phrases

### 43 44 **4. System Protection**

45 Department heads are responsible for protecting the systems under their control from system  
46 intrusion, compromise, or data loss.

1  
2 **4.1. Virus Protection**

3 Virus detection and elimination software is essential to protect College data and systems.  
4 Department heads, or designees are responsible for maintaining the latest version of an  
5 antiviral software and current updates on their computers. Systems must have active virus  
6 protection turned on with each system scanned regularly. Assistance with virus protection  
7 and software are available from IT at.

8  
9 **4.2. Privacy and Confidentiality**

10 Department heads, or designees must take appropriate measures to ensure privacy and  
11 confidentiality of system data in accordance with applicable laws and policies such as:

12  
13 **“Social Security Numbers” Policy 2030**

14 **“Identify Theft Protection Program” Policy 2040**

15 **“Information Security” Policy 2550**

16 **Family Educational Rights and Privacy Act of 1974**

17 **New Mexico Inspection of Public Records Act**

18  
19 **4.3. System Integrity**

20 Department heads, or designees may monitor and investigate systems or jobs under their  
21 control for appropriate use of resources, to protect or improve system performance, or in  
22 compliance with audit or legal requests. Jobs, procedures, and/or functions may be  
23 restricted or limited to ensure system integrity. Departments must maintain current  
24 versions of system software and security patches, especially when there are known  
25 security issues.

26  
27 **4.4. Data Loss Protection**

28 For all computing systems that store or process sensitive or protected information  
29 department heads or designees are responsible for developing, maintaining and executing  
30 backup, off-site storage and disaster recovery procedures for computerized College  
31 information.

32  
33 **4.5. Records Management**

34 Department heads, or designees are responsible for computerized data retention and  
35 backup procedures that comply with College Records Management requirements for  
36 classification and retention of College information.

37  
38 **5. Security Violation Handling**

39 Department heads, or designees should detect and correct any non-compliance with this  
40 and other College computer policies. In addition to following any College or department-  
41 mandated security incident reporting process, any and all employees, faculty, or staff who  
42 reasonably believe:

- 43
- 44 • there has been a breach to any College computer application or system, there has  
45 been a breach to Northern’s computer security controls (i.e. a computer has been  
hacked or somehow has been compromised by an unauthorized person), or

- there has been a violation of this Policy are required to report the incident, within twenty-four (24) hours of becoming aware of the violation or breach, to the Northern IT Director or the Northern Security Office.

All investigations should follow proper investigative procedures to ensure confidentiality and due process. Any employee who detects or suspects non-compliance should report such conduct to the department head.

## **6. User Responsibility and Accountability**

Users are responsible for proper use and protection of College information and are prohibited from sharing information with unauthorized individuals. The web-based information systems allow an authorized user the ability to complete transactions directly on-line and forward the forms to the appropriate administrators for approval. By completing a form on-line, the user accepts responsibility to follow all applicable policies and procedures.

## **7. Sanctions**

Employees who do not demonstrate due care in the administration of their duties as required by this Policy may be subject to sanctions, including withdrawal of privilege to enter information directly into the system; and/or disciplinary action, up to and including, discharge.

**2530**

# **Text Messaging Notification Policy**

## **1. General**

The increasing and almost universal use of mobile phones has opened up a new avenue of opportunity for communication between NNMC and its staff and students.

This policy sets out the way in which NNMC will use Short Message Service (SMS) text messaging appropriately to pass on important information to staff and students. The use of SMS messaging is intended to sit alongside other existing forms of communication such as letters, email, social networking sites (Facebook and Twitter) and the College's website. The immediate delivery of SMS messages gives it an advantage over other forms of communication: most students have their mobile phones with them all the time and the message is likely to be received much sooner.

Text messaging has wide accessibility. People who are blind or visually impaired can use mobile phones, and some mobile phones have text-to-speech capability, meaning that individuals can listen to text messages.

Data Protection and privacy issues have been taken into account in preparing this policy. In some cases, people will be asked if they wish to 'opt-in' to receive particular types of messages. In others, for example where messages are sent for administrative purposes, people will be asked if they wish to 'opt-out'. However, there may be emergency circumstances in which NNMC will need to contact as many staff and students as possible, ignoring personal preferences (which is permissible if it is in the 'vital interests of the data subject' – Data Protection Act Schedule 2(4)).

1 Phone numbers may be stored by third parties for the purpose of sending messages, but names  
2 will not be stored. There may, very rarely, be the need to send a message for test purposes.  
3 There are a number of scenarios in which an SMS message could be very useful, e.g.

- 4 • Emergencies:
  - 5 ○ An outbreak amongst the student population
  - 6 ○ A fire, flood, or similar incident in a College building
  - 7 ○ Any serious crime or terrorism incidents
- 8
- 9 • Work-related incidents:
  - 10 ○ Messages to support staff about equipment/environment failures
- 11 • Other usage:
  - 12 ○ Lecture room changes.

13 However, the usefulness of text messaging depends on having reliable data. The mobile numbers  
14 will be taken from data collected from staff and student databases so it is important that these  
15 phone numbers are kept up to date. This will be achieved by means of email reminders or Portal  
16 announcements to staff and students to keep their details up to date and directions for how to do  
17 so.

## 18

## 19 **2. Emergencies**

### 20 **2.1 Scope**

21 Messages whose content is deemed to be essential or urgent.

### 22

### 23 **2.2 When is it appropriate?**

24 Incident and crisis management is handled by a team of senior managers. The team may  
25 decide a text message is appropriate whenever it is considered important to contact a  
26 group of people urgently for reasons of health or safety.

27

28 It should be noted that there is no guarantee that text messages will be delivered promptly  
29 or at all by the mobile phone companies. In some types of emergency, e.g. a terrorist  
30 incident, the emergency services may commandeer the mobile phone network, so no  
31 messages will get through.

32

33 Simultaneous, multiple approaches are essential. Text messages must be supplemented by  
34 other means of communication, such as emails, messages issued via Facebook or Twitter  
35 or information posted on the College website, to ensure that as many of the target  
36 audience as possible receive the message.

### 37

### 38 **2.3 Approvers**

39 A request to send a message to one of the College-wide lists must be approved by the  
40 President of the College, or her designated authority to approve requests.

41 Authorization will be given for a message only if:

- 42 ○ it is considered that it is important to get the message to a significant number of  
43 the recipients as soon as possible;
  - 44 ○ the content is both appropriate and factually correct;
  - 45 ○ the message format meets the guidelines.
- 46

## 2.4 Target Groups

It is possible to send messages to the following groups:

- All staff, faculty and students
- All staff and faculty
- All students

Further groupings may be added in the future.

## 2.5 Format of message

Messages should be no longer than 160 characters and should address the student or staff member directly, i.e. as 'you'. They should include essential points, and should avoid 'text speak', e.g. write 'you', not 'u'; and 'for', not '4'. Non-Latin alphabet characters should be avoided, as they may decrease the maximum message size to 140 or even 70 characters.

### 2.5.1 Sender

All messages must start with the words 'Eagle Alert:' so that the recipients of the text can see that it is an official message from the College requiring their attention.

### 2.5.2 Subject

The message must clearly indicate what it concerns.

### 2.5.3 Where to get more information

The message should indicate where more information can be sought, e.g. 'see [www.nnmc.edu](http://www.nnmc.edu)' if the College's website is operational, or 'check email for details'.

## 3. Work-related Incidents

### 3.1 Scope

Messages that are sent to one or more staff members relating to incidents at work. These could include, for example, alerts or work instructions relating to maintenance or equipment failures.

### 3.2 When is it appropriate?

A text message may be appropriate to communicate with a member of staff about matters relating to his or her job, where that person is likely to be moving around the campus, or 'on call'. It is impossible to give a definitive list of possible applications; the deciding factor has to be whether it is an effective means of communication.

### 3.3 Approvers

See 2.3 above

Authorization should be given for a particular message only if:

- the distribution list is appropriate, and
- the content is both appropriate and factually correct.

### 3.4 Recipients

1 Information Technology Department should ensure that the list of numbers is kept up to  
2 date and reviewed at least every semester. People issued with mobile phones by the  
3 College for work purposes may **not opt-out** of receiving text messages.  
4

### 6 **3.5 Format of message**

- 7 • Messages should be no longer than 160 characters.
- 8 • The message must clearly indicate what it concerns.
- 9 • It should be clear who has sent the message.

## 11 **4. Further Advice**

12 Message senders need to be aware of:

- 13 • The principles of the Data Protection Act 1998 and the College's guidance relating to  
14 security measures for safeguarding personal data.  
15 See [security.nnmc.edu](http://security.nnmc.edu)

## 17 **2540** 18 **STUDENT EMAIL**

### 20 **1. General**

21 There is an increasing need for fast and efficient communication with currently enrolled students  
22 in order to conduct official business at the College. Each student has free access to a College  
23 network ID (NetID) and email account for use throughout the time the student is registered for  
24 classes. Accordingly, email is an available mechanism for formal communication by the College  
25 with students but is not the only official method of communication. Upon admission, students are  
26 required to obtain a Northern NetID and corresponding email account. The Northern email shall  
27 be considered an appropriate delivery method for official communication by Northern New  
28 Mexico College with students unless otherwise prohibited by law. Official communication  
29 includes, but is not limited to, academic deadline notifications, billing statements, and campus  
30 alerts. The College reserves the right to send official communications to students by email with  
31 the full expectation that students will receive email and read these emails in a timely fashion.  
32 Faculty will determine how to use electronic communication for instructional purposes, and  
33 specify their requirements in the course syllabus, which students must comply with.  
34

### 35 **2. Student Responsibilities**

36 Students are responsible for:

- 37 • checking their email frequently (at a minimum of once per week) in order to stay current  
38 with College-related communications;
- 39 • ensuring there is sufficient space in their accounts for email to be delivered; and
- 40 • recognizing that certain communications may be time-imperative.

41 Students will not be held responsible for a substantial interruption in their ability to access a  
42 message if system malfunctions or other system-related problems prevent timely delivery of, or  
43 access to, that message (e.g. power outages or email system viruses). Students should check their  
44 email frequently to prevent problems caused by a brief system failure.  
45

1 Students who choose to have their email forwarded to a private (unofficial) email address outside  
2 the official College net ID/email address (@nnmc.edu) do so at their own risk. The College is  
3 not responsible for any difficulties that may occur with privacy or security, in the proper or  
4 timely transmission, or in accessing email forwarded to any unofficial email address. Such  
5 problems will not absolve students of their responsibility to know and comply with the content of  
6 official communications sent to students' official Northern email addresses. Failure to check  
7 email frequently or email returned to the College with "mailbox full" or "user unknown" are not  
8 considered acceptable excuses for failing to know about and comply with official email  
9 communication.

10  
11 Students should report problems with College email or access to the Help Desk@ 505.747.2259  
12

## 13 2550 14 INFORMATION SECURITY

### 15 16 1. General

17 The College is committed to protecting and safeguarding all data and information that it creates,  
18 collects, generates, stores, and/or shares during the generation and transmission of knowledge as  
19 well as during the general operation and administration of the College. The College is also  
20 committed to complying with all federal and state laws pertaining to securing this data and  
21 information and preventing its disclosure to unauthorized individuals. These laws include, but  
22 are not limited to, the Financial Services Modernization Act of 1999, also known as the Gramm-  
23 Leach-Bliley Act or GLBA. In 2003, the Federal Trade Commission (FTC) confirmed that  
24 higher education institutions are considered financial institutions under this federal law and  
25 promulgated the GLBA Safeguards Rule, 16 CFR Part 314, which requires higher education  
26 institutions to have an information security program to protect the confidentiality and integrity of  
27 personal information. This policy describes the basic components of the Northern Information  
28 Security Program which applies to employees (student, staff, and faculty), contractors, vendors,  
29 volunteers, and all other individuals who work with Northern data and information.  
30

### 31 2. Northern Information Security Program

32 The Northern Information Security Program is designed to protect the confidentiality, integrity,  
33 and availability of protected information; protect against anticipated threats or hazards to the  
34 security or integrity of such information; and protect against unauthorized access to or use of  
35 protected information that could result in substantial harm to any student, parent, employee, or  
36 customer of the College. This program includes the process for identification of risks and defines  
37 responsibilities for safeguarding information, monitoring the effectiveness of the safeguards,  
38 evaluating service providers, and updating the program itself.  
39  
40  
41

#### 42 2.1. Protected Information

43 The GLBA Safeguards Rule mandates that the Northern Information Security Program be  
44 designed to safeguard non-public, personally identifiable financial information

- 45 • that is provided to the College,

- results from any transaction with the consumer or any service performed for the consumer (i.e. students, faculty, staff, employees, associates, donors, patients), or
- is otherwise obtained by the College.

The Northern Information Security Program defines what specific data elements and information (and in what context) constitute to-be-protected non-public, personally identifiable financial information, which includes but is not limited to:

- social security numbers,
- credit card number, and
- bank routing and account numbers when used in conjunction with the account owner's name.

## **2.2. Information Security Plan Coordinator**

The College Director of Information Technology is designated as the Information Security Program Coordinator, a specific role required by the GLBA. This position is responsible for:

- developing and implementing the Northern Information Security Program;
- identification of risks to confidentiality, integrity, and availability of protected information;
- designing and implementing appropriate safeguards;
- evaluating the security program; and
- making adjustments to reflect relevant developments or circumstances that may materially affect these safeguards, including changes in operations or the results of security testing and monitoring.

## **2.3. Risk Assessment**

The Northern Information Security Program will include processes and procedures to assess the risk to the College's information systems. Information systems include the hardware and software components of the computing infrastructure as well as individual personal computers, personal digital assistants, phones, servers, networks, and peripheral technologies used for the processing, storage, transmission, retrieval, and disposal of information. Risks to the College's information systems extend beyond computer-related hardware and software to include, for example, hiring procedures; data handling procedures; individuals who have access to information systems and the data therein; and the buildings and equipment that contain any aspect of an information system including the transmission of protected information.

## **2.4. Employee Management and Training**

The success of the Information Security Program depends largely on the employees who implement it. The Director of Information Technology will coordinate with deans, directors, and heads of departments that have access to protected information to evaluate the effectiveness of departmental procedures and practices relating to access to and use of protected information. The Northern Information Security Program details recommended administrative safeguards designed to train personnel, increase awareness, and reduce risks to the confidentiality, integrity, and availability of protected information such as:

- mandatory information assurance training;

- periodic audits to ensure individuals have only the appropriate level of information system access rights and permissions required to perform their jobs;
- periodic reviews of job descriptions and position requirements to ensure the appropriate levels of reference and background checks are conducted before hiring decisions are made;
- non-disclosure and confidentiality statements required when appropriate; and
- periodic evaluations of each individual's understanding of college and/or departmental data handling procedures.

## **2.6. Departmental Responsibilities**

Deans, directors, and heads of departments that have access to protected information are responsible for informing employees of ongoing updates to security measures, ensuring employees have attended required information security training, and notifying departmental computer system administrators and Information Technology Services (ITS) when employees no longer require access due to reassignment or termination.

## **2.7. College-Wide Responsibilities**

All breaches of information security must be reported immediately to campus safety and security office or the IT department accordance with the procedures listed in the NORTHERN Information Security Program.

## **3. Compliance by Service Providers**

Service providers and/or contractors who provide services that may allow them to access protected information must comply with the GLBA safeguard requirements, the College's Information Security Program, and applicable College policies listed herein. The College Purchasing Department is responsible for reviewing prospective service providers and/or contractors to ensure they have and will maintain appropriate safeguards for protected information.

## **4. Monitoring and Testing**

The Director of Information Technology will regularly monitor the Northern Information Security Program and periodically test the required and recommended safeguards. Based on these assessments, the Director of Information Technology will work with all appropriate individuals to implement, correct, design, or improve safeguards.

## **5. Evaluation and Adjustment**

The Director of Information Technology is responsible for adjusting the Northern Information Security Program to ensure that the required and recommended administrative, physical, and technical safeguards are appropriate to the College's size and complexity, the nature and scope of its activities, and the sensitivity of the data and information the College handles.

**2560**

## **INFORMATION TECHNOLOGY (IT) GOVERNANCE**

### **1. General**

1 It is critical that the College's information technology (IT) resources, applications, and  
 2 manpower be managed in a manner that enables the College to apply new technologies and adopt  
 3 new processes effectively while enhancing and encouraging the innovation required for the  
 4 College to excel in all aspects of its mission. To accomplish this goal, the following IT  
 5 governance framework has been developed based on a collaborative model that includes formal  
 6 input, review, and approval processes for decision making. This policy describes this framework  
 7 and defines the roles and responsibilities of individuals and groups involved with IT governance  
 8 to ensure effective input and decision-making pertaining to IT policies, standards, guidelines,  
 9 processes, and procedures.

10  
 11 **1.1. Information Technology Governed by this Policy**

12 The term IT is applicable to a wide array of technology systems used at Northern, and for  
 13 the purposes of this policy includes but is not limited to:

- 14 • Telecommunications and facilities infrastructure (e.g. voice and data networks  
 15 and supporting cable plant).
- 16 • Computing (e.g. servers and development environments for productivity and high  
 17 performance computing).
- 18 • Enterprise-wide applications and user services (e.g. Banner).
- 19 • Instructional technology (e.g. classroom media systems and services, distance  
 20 learning).
- 21 • Video (e.g. CATV, video applications on the network, security video).
- 22 • Peripheral technologies (e.g. printing and scanning).

23  
 24 **2. Roles and Responsibilities**

25 Roles and responsibilities for the individuals and groups involved with IT Governance at  
 26 NORTHERN are described in the following sections.

27  
 28 **2.1. Northern IT Director**

29 The IT Director provides leadership and direction for the College's shared information  
 30 systems to include institution-wide strategic planning and budgeting for information  
 31 technologies. The IT Director also oversees coordination of all IT-related functions  
 32 across the College.

33  
 34 **3. Overview of IT Policies, Standards, Guidelines, Processes, and Procedures**

35 Policies, standards, guidelines, processes and procedures take a tiered approach to defining IT  
 36 principles and providing IT-related direction to the College. The table below defines the differing  
 37 levels of scope, authority, and compliance requirements for each category.

38  
 39

	Scope	Approval	Communication	Compliance
IT Policies	College-wide, high-level policy	Board of Regents	All faculty and staff and students where applicable	Violation could result in discharge or dismissal
IT Standards	College-wide or limited to a IT	President	All affected faculty, staff, and students	Violation could result in system damage, loss of IT

	function-technically specific			privileges, and/or disciplinary action
IT Guidelines	College-wide or limited to a IT function-technically specific	President	All affected faculty, staff, and students	Violation could negatively impact performance
IT Processes & Procedures	Associated with an IT application or process-technically specific	Northern IT Director	Departmental faculty or staff responsible for IT application or process	Violation could result in incorrect results or outcomes

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**4. Northern IT Policies**

Northern IT policies are designed to provide the College community with unifying statements that describe fundamental IT principles, the reasoning behind the principles, and institutional procedures necessary for implementation. They help ensure compliance with applicable laws and regulations, enhance the College's mission, promote operational efficiencies, and/or reduce institutional risk.

**4.1. Development**

The development of effective policy statements requires both input from individuals who have extensive knowledge on the subject matter and input from individuals affected by the policy. Anyone wishing to propose an IT policy statement should send their request to the Northern IT Cabinet. If the Cabinet determines a need for a specific policy, it will assign individuals most closely involved with the subject matter to work with the Northern Policy Office to develop a preliminary draft. The preliminary draft will be reviewed by the IT Managers Council and then sent to the IT Agents Networking Group for comment. The Networking Group will forward their comments to the IT Managers Council for consideration. After the Council's review, the proposed policy is sent to the IT Cabinet and the IT Governance Council for endorsement. After endorsement, the Northern Policy Office will follow standard Northern protocol for approval of institutional policy. This protocol includes review by key areas selected based on the nature of the proposed policy, Deans Council, the President's Executive Cabinet, and the campus as a whole.

**4.2. Approval and Communication**

All Northern IT policies must be approved by the President in writing before distribution. Upon approval by the President the campus is notified of the new policy via email. Information concerning the policy will also be posted on the IT Director website.

**4.3. Compliance**

Northern IT policies contain governing principles that mandate or constrain actions and have College-wide application. The policy will state applicability to students, staff, faculty, and/or visitors and compliance is mandatory. If exceptions are allowed, the authority and procedure for requesting an exception will be delineated in the policy.

1 Individuals who fail to comply with College policy will be subject to disciplinary action  
2 up to and including discharge or dismissal from the College. Violations of IT policies  
3 should be reported to the Office of the IT Director.  
4

#### 5 **4.4. Review and Revision**

6 IT policies will be reviewed by the Policy & Procedure Committee periodically to ensure  
7 policies are up-to-date and meeting the needs of the College.  
8

### 9 **5. IT Standards**

10 Northern IT standards are based on industry best practices designed to ensure that IT resources  
11 are effectively managed in support of the College's mission of education, research, and public  
12 service. IT standards define procedures, processes, and practices designed to provide an efficient,  
13 effective IT system; protect confidential information; minimize security risks; ensure compliance  
14 with federal and state laws and regulations, and facilitate an open, interoperable, accessible IT  
15 infrastructure that meets the needs of students, faculty, staff, and the College community.  
16

#### 17 **5.1. Development**

18 To ensure that IT standards effectively support the mission of the College and meet the  
19 needs of the College community, development of IT standards requires a broad base of  
20 participation and involvement of subject matter experts. Draft standards will be  
21 developed by the IT Managers Council and then sent to the IT Agents Networking Group  
22 for review and comment. The Networking Group will forward their comments to the IT  
23 Managers Council for consideration. The Council will publish the proposed standard on  
24 the IT Director website and solicit comments from the campus. The IT Managers Council  
25 will update the standard based on campus comment and submit it to the IT Cabinet for  
26 review.  
27

#### 28 **5.2. Approval and Communication**

29 IT standards must be approved by the IT Director in writing prior to distribution. Upon  
30 approval, ITS will notify all individuals impacted by the standard prior to its effective  
31 date and post the standard on the IT Director website. When a new IT standard is issued,  
32 the standard will indicate the timeframe for compliance, based on but not limited to,  
33 criticality, funding limitations, and/or equipment replacement cycles.  
34

#### 35 **5.3. Compliance**

36 The type of technology addressed in the standard will determine the groups or individuals  
37 required to comply with the standard. Some standards such as password standards will  
38 apply to all users, whereas others may apply only to system administrators. Each standard  
39 will define those individuals who are required to comply with the standard. Failure to  
40 comply with a standard may damage a system, risk security, result in loss of IT  
41 privileges, and/or disciplinary action. To request an exception to an IT standard, submit a  
42 written justification to the IT Director. Violations of IT standards should be reported to  
43 the Office of the IT Director.  
44  
45  
46

1  
2 **6. IT Guidelines**

3 IT guidelines are directives and specifications, similar to standards, but advisory in nature. In  
4 essence, IT guidelines constitute recommendations that are not binding; however, it should be  
5 noted that failure to comply with IT guidelines may result in damage to a system and/or  
6 inefficient processes.

7  
8 **6.1. Development**

9 IT guidelines are developed by IT personnel in consultation with applicable users and  
10 based on industry practices.

11  
12 **6.2. Approval and Communication**

13 IT guidelines must be approved by the IT Director in writing. Upon approval, the IT  
14 Director's Office will notify all individuals impacted by the guidelines and post the  
15 guidelines on the IT Director's website.

16  
17 **6.3. Compliance**

18 IT guidelines are not mandatory, but failure to follow applicable IT guidelines may result  
19 in less effective system performance and may negatively impact an individual's job or  
20 academic performance.

21  
22 **7. IT Processes and Procedures**

23 IT processes and procedures provide electronic and manual mechanisms for IT-related functions  
24 or job duties.

25  
26 **7.1. Development**

27 IT processes and procedures are developed by IT personnel in conjunction with  
28 applicable administrative personnel and are generally developed at the departmental and  
29 unit levels.

30  
31 **7.2 Approval and Communication**

32 IT processes and procedures are usually designed in the course of application  
33 development and are approved as part of the overall project approval. These processes  
34 and procedures are documented in accordance with industry standards and communicated  
35 in conjunction with the associated project.

36  
37 **7.3. Compliance**

38 Compliance with IT processes and procedures is critical to the correct functioning of the  
39 selected application. Any problems or issues associated with an IT process or procedure  
40 should be reported to the IT Director.

41  
42 **7.4. Review and Revision**

43 IT processes and procedures are reviewed periodically for applicability and accuracy and  
44 updated as required in accordance with the associated application approval protocols.

45  
46 **8. Departmental IT Policies, Standards, Guidelines, Processes, and Procedures**

1 Colleges and departments may establish additional departmental IT policies, standards,  
2 guidelines, and processes provided they comply with College IT policies, standards, guidelines,  
3 and processes and are documented and communicated to departmental employees.

4  
5 **2570**  
6 **SOCIAL MEDIA POLICY**  
7

8 Social media offers new ways for Northern New Mexico College (NNMC) to engage online with  
9 local, national and global communities. Northern recognizes the importance and benefits of  
10 communicating through social media and encourages the use of social media technology to  
11 enhance communication, collaboration, and information exchange in support of its mission,  
12 programs and initiatives.

13 To ensure appropriate and effective use of social media, Northern has developed a Social Media  
14 Policy and guidelines to properly portray, promote and protect the institution, and assist College  
15 entities in creating and managing official social media accounts. This policy also provides  
16 guidance on how to protect professional and personal reputations while using social media.

17 All information posted on social media sites is considered public information. Northern's social  
18 media accounts are subject to review in accordance with College policies and applicable law to  
19 ensure that all interactions on behalf of Northern represent the College's best interests.

20 It is up to each College entity, as well as individual faculty and staff members to choose whether  
21 to participate in social media communications. However, prior to creating a Northern social  
22 media account, a request must be submitted to Northern's Communications and Marketing  
23 Office (NCAM) in order to be officially recognized and included in Northern's Social Media  
24 Directory.

25 *Northern's social media policy requires that:*

- 26 ● Officially-recognized NNMC social media accounts be reviewed and approved through  
27 an [application](#) process.
- 28 ● Each official NNMC social media account have responsible administrators assigned,  
29 including at least one member of Northern's Communication's Staff .
- 30 ● [Best practice guidelines](#) for social media accounts be followed.
- 31 ● Northern employees know and follow all applicable College policies and standards of  
32 professional conduct; local, state, and national laws, and terms and conditions imposed  
33 by each social media platform they use.

34  
35 **OFFICIAL NORTHERN SOCIAL MEDIA ACCOUNTS**

36 Official Northern accounts are defined as any social media presence that represents Northern  
37 New Mexico College in an official capacity, including Colleges/departments, programs,  
38 faculty/staff/student organizations, and entities working on behalf of Northern. These social  
39 media accounts are the property of the College.

40 *The following requirements apply to all official Northern social media accounts:*

- 1 ● Officially-recognized Northern social media accounts must be approved through an  
2 [application](#) process.
- 3 ● Northern accounts must indicate that they are official in their descriptions. They must  
4 include “Northern,” “Northern New Mexico College” or “NNMC” in the account name,  
5 and follow the [Northern New Mexico College Brand Standards](#).
- 6 ● Official Northern accounts must have at least one department/organization administrator  
7 and one Communications Office administrator at all times to ensure adherence to this  
8 policy.
- 9 ● Departments/organizations must provide the Communications Office with the names and  
10 contact information of account administrator(s) as well as any login information,  
11 including username, email and password. This information will be kept confidential and  
12 used for access during emergency situations. Account administrators should use an  
13 nnmcc.edu email for their login when possible.
- 14 ● Should an administrator of an account leave the College for any reason or no longer  
15 wishes to be an account administrator, it is the department’s or organization’s  
16 responsibility to designate another account administrator and remove the former  
17 administrator’s permissions to the account.
- 18 ● Northern employees identified as account administrators are responsible for monitoring  
19 and managing the content of their social media accounts.
- 20 ● All official Northern social media accounts must comply with applicable College  
21 policies, including but not limited to: Respectful Campus, Freedom of Expression and  
22 Dissent, Communication/Security, Sexual Harassment, Workplace Harassment, Student  
23 Code of Conduct, FERPA, Faculty/Staff Personnel Policies.
- 24 ● Administrators are responsible for reporting and removing content that violates College  
25 policies or terms and conditions imposed by the respective social media (i.e. Facebook,  
26 Twitter, Instagram, etc.), including intellectual property, copyright and trademark laws.  
27 Learn more here: [The Campus Guide to Copyright](#).
- 28 ● If you discover inappropriate or abusive behavior on an official Northern social media  
29 account, contact Northern’s Communication and Marketing Office ([social@nnmc.edu](mailto:social@nnmc.edu)) or  
30 Human Resources Department.

## 32 **ETHICAL AND PROFESSIONAL CONDUCT ON SOCIAL MEDIA**

33 Northern employees are expected to adhere to the same standards of professional behavior online  
34 as they would in the workplace. Laws and policies respecting contracting and conflict of interest,  
35 as well as applicable policies and guidelines for interacting with students, parents, alumni,  
36 donors, media and all other College constituents apply online just as they do in personal  
37 interactions. Personal communications made via social media are not exempt from the laws and  
38 regulations that govern personal liability across traditional forms of communication.

39 Northern employees must follow all applicable College policies, local, state, and national laws,  
40 and are fully responsible for what they post to social media sites.

- 41 ● Northern employees are expected to use good judgment about content, be respectful of  
42 their colleagues, and adhere to privacy laws. Posting confidential or proprietary  
43 information about the College, its staff or its students is prohibited.

- 1 ● Misrepresentation of personal opinions as endorsed by the College or any of its  
2 organizations is strictly prohibited. Northern's name or trademarks may not be used to  
3 endorse any opinion, product, private business, cause, or political candidate.
- 4 ● By posting content to any social media site, individuals acknowledge that they own or  
5 otherwise have all rights necessary to lawfully use that content or that the use of the  
6 content is permitted by fair use.
- 7 ● Individuals agree that they will not knowingly provide false or misleading information,  
8 and will indemnify and hold the College harmless for any claims resulting from the  
9 content.
- 10 ● While Northern is committed to the protection of academic freedom and does not  
11 regularly review content posted to social media sites, it may do so as necessary, and with  
12 respect to any site maintained in the name of the College, may remove or cause the  
13 removal of any content for any lawful reason, including but not limited to content that it  
14 deems abusive, threatening, obscene, a violation of intellectual property rights or privacy  
15 laws, or otherwise tortious or illegal.
- 16 ● Targeted abuse or harassment of Northern employees or students via any social media  
17 account, official or personal, may contribute to creating a hostile work or learning  
18 environment at the College, is materially disruptive, and will not be tolerated. Such  
19 behavior will be addressed in the same manner as other forms of harassment as defined in  
20 applicable Northern policies, including but not limited to: Respectful Campus, Sexual  
21 Harassment, Workplace Harassment, Student Code of Conduct, Faculty/Staff Personnel  
22 Policies.
- 23 ● If you identify as Northern faculty or staff online, do not speak on behalf of Northern  
24 New Mexico College without the express permission of an appropriate supervisor.
- 25 ● A disciplinary or other review may be initiated if an employee's online behavior violates  
26 law or Northern's policies or if the employee's non-official or unauthorized online  
27 activity otherwise subjects the College to liability for such acts.
- 28 ● Serious and repeated violations of Northern's social media policy may lead to sanctions  
29 up to and including termination of employment as allowable by College policy.  
30