

Faculty Senate Policy Committee
Meeting Agenda
December 5, 2012

1. Vote on Endowed Chairs and Named Professorships - 10 minutes

2. Procedures for Lecturer Promotion Review - 15 minutes

3. Academic Leave for Lecturers - 15 minutes

4. Development and Approval of Faculty Policy Statements - 20 minutes

5. HSC Policy on Policies - 30 minutes



UNM HSC POLICY ON POLICIES

DRAFT 1 2012 December 03

Title: HSC POLICY ON POLICIES		
Doc Type: Policy/Procedure	Policy #:	Effective Date:
Owner(s): UNM HSC Policy Manager	Version #:	Applies To: All Health Sciences Center Components

PURPOSE

1. This document establishes the framework for the development, approval, dissemination, and management of UNM Health Sciences Center (“HSC”) policy, procedure, policy/procedure, and guideline documents (“PPG documents”).

APPLICABILITY

1. This document applies to:
 - a. all HSC-level PPG documents for all components of the HSC;
 - b. All HSC-component level documents only with respect to the requirement that they be easily accessible from the HSC Policy Website.

POLICY STATEMENT

- 1) Each HSC PPG document shall be developed, approved, reviewed, and maintained in accordance with this document.
- 2) The general order of precedence for PPG documents is: *UNM Board of Regents' Policy Manual* > *UNM Faculty Handbook* and *UNM University Business Policies and Procedures Manual* > *UNM HSC PPG documents* > *HSC component PPG documents* > *individual component program, unit, or clinic PPG documents*.
 - a) In the event of conflict or contradiction between levels of PPG documents, the higher document has precedence over the subordinate document.
 - b) Occasional exceptions to the above order of precedence may occur for statutory reasons for University Research Park and Economic Development Act components (currently, UNM Sandoval Regional Medical Center, Inc. and the UNM Medical Group, Inc.).
 - c) HSC component PPG documents, individual component program, unit, or clinic PPG documents are not "HSC PPG documents" and therefore are not governed by the implementation procedures set forth in this Policy.
 - d) Nevertheless, all HSC-component PPG documents are required to be easily accessible from the HSC Policy Website. This requirement applies to the School of Medicine, the College of Nursing, the College of Pharmacy, and the Health System.
- 3) Unless otherwise specified within the PPG document, each HSC PPG document shall be subject to review, revision and re-approval no less than every three (3) years.
- 4) HSC PPG documents shall be kept to the minimum necessary. It is anticipated that the majority of PPG documents shall be developed and maintained by HSC components.

PROCEDURES

1. The UNM Chancellor for Health Sciences (“Chancellor”) shall be the signatory Official Approver for all HSC policies, after review and recommendation from [to be specified], and the Office of University Counsel. The Chancellor may designate signatory official approvers for HSC procedures

- and guidelines.
2. The HSC shall designate an HSC Policy Office, directed by an HSC Policy Manager.
 - 2.1. The HSC Policy Office shall be responsible for directing the development, approval, review, and maintenance of HSC PPG documents.
 - 2.2. The HSC Policy Office shall develop and maintain templates for HSC PPG documents.
 - 2.3. The HSC Policy Office shall maintain an HSC Policy website posting all approved HSC-PPG documents and templates. The URL for that website is [url].
 - 2.3.1. The posted PPG documents shall be in a relatively non-editable format (e.g., PDF).
 - 2.3.2. The posted templates shall be in an editable document format (e.g., MS Word).
 - 2.4. The HSC Policy Website will be organized according to rational and easily understood rules, and will contain links to all HSC-Component policy websites.
 - 2.5. The HSC Policy Office shall conduct periodic audits of HSC PPG documents to verify compliance with this document.
 - 2.6. The HSC Policy Office shall monitor HSC PPG documents for approaching date of review and re-approval, and shall notify the document owner six (6) months before that date.
 - 2.7. The HSC Policy Office shall assist PPG document owners in the development, review, revision and maintenance of PPG documents.
 - 2.8. The HSC Policy Office will determine and manage the approval and re-approval processes required for each PPG document, including comment periods where appropriate. In carrying out this function, the HSC Policy Office will coordinate with the Office of University Secretary, the UNM Policy Office, and the HSC Faculty Council.
 3. HSC PPG documents that are approved or re-approved after the approval of this document shall be in a standard format specified by templates appended to this document, maintained by the HSC Policy Office, and posted on the HSC Policy website.
 - 3.1. The policy/procedure document format is preferred over separate policy and procedure documents. In general, separate documents shall be used only when (a) a policy requires more than one procedure document, or (b) a single procedure implements multiple policies, or (c) a combined policy/procedure document would be of excessive length or complexity.
 - 3.2. Document templates shall be appended to this document. Major changes to the templates shall require the review and re-approval of this document. Minor changes may be made by the HSC Policy Office without such approval.
 - 3.3. The formatting of a template may not be changed by the document's owner/author without the approval of the HSC Policy Manager. Such approval shall be infrequent and of demonstrated necessity.
 4. Each HSC PPG document shall have an Owner.
 - 4.1. The owner is the author of the document and the primary contact person for the document.
 - 4.2. The owner is responsible for the document's review, revision, and maintenance.
 - 4.3. The owner is always specified by an institutional position; thus, the owner at any point in time is the individual holding that specified position.
 - 4.4. The owner of an HSC PPG document shall consult with the HSC Policy Office prior to submission of a draft PPG document for comment or approval.

- 4.5. The owner shall be responsible for implementation of appropriate education, training, and dissemination beyond the document's posting on the HSC Policy website.
5. HSC PPG documents shall be developed and approved by the following process:
 - 5.1. The development of an HSC PPG document shall be assigned to a designated Owner by the Chancellor.
 - 5.2. The Owner, working in consultation with the HSC Policy Office, shall draft the document, utilizing appropriate content experts and consultants as appropriate.
 - 5.3. The Owner shall submit a draft of the document to the HSC Policy Office for review to verify formatting, legibility, and references. The Owner shall submit the draft document to relevant HSC Components as well as to HSC Administrative Officers (e.g., Finance and Administration, Human Resources, Information Technology,) for review and comment as required or as appropriate. Prior to adoption of an HSC Policy, a legal review must be conducted by the Office of University Counsel. The HSC Policy Office may, at its discretion, submit the draft document to additional persons or programs for review and comment.
 - 5.4. Once the above reviews have occurred and appropriate comment periods and requirements observed, the Owner shall submit the draft document to the Official Approver for final review, revision, approval, and signature.
 - 5.5. The signed document will be returned to the HSC Policy Office. The Office shall post the document on the HSC Policy website, and shall file the original document.
 - 5.6. The same process shall be followed for interval or periodic review, revision, and re-approval of HSC PPG documents.

DEFINITIONS

- 1) Policy: A policy is a rule governing procedures for organizational activity. A policy is a concise statement, broad in scope and/or having high impact on the organization. A policy usually governs fundamental institutional activities, but a high-risk situation or condition may also warrant a policy. Policies are not flexible.
- 2) Procedure: A procedure is an implementation of policy. A procedure explains the responsibilities and steps involved in implementation of a policy. A procedure is relatively inflexible and almost always references policy. A policy may have more than one procedure to implement it.
- 3) Policy/Procedure: A policy/procedure is a document that contains both a policy statement and the procedures for implementation of that policy.
- 4) Guideline: A guideline provides suggested actions or parameters for activities and situations where a more inflexible policy or procedure document would not be inappropriate. A guideline is relatively flexible, summarizing suggested or preferred actions or parameters rather than mandating them. A guideline often represents the cumulative wisdom of the organization in a particular area.
- 5) Owner: The owner of a PPG document is the author of the document, and the primary contact person for the document. The owner is responsible for the document's review, revision, and maintenance. The owner is always specified by an institutional position; thus, the owner at any point in time is the individual holding that specified position.
- 6) Origination Date: The origination date of a PPG document is the date of the document's first approval. Thus, the origination date does not change with subsequent revisions of the document.

- 7) Effective Date: The effective date of a PPG document is the date of the document's most recent approval. Thus, the effective date will change with each subsequent revision and/or re-approval of the document.
- 8) Component: A component is one of the major divisions, units, or subsidiary corporations of the UNM Health Sciences Center. At the time of this document's writing, the HSC Components are:
 - a) The UNM Health System
 - b) The UNM School of Medicine
 - c) The UNM College of Nursing
 - d) The UNM College of Pharmacy
- 9) Official Approver: The Chancellor shall be the signatory Official Approver for all HSC policies. The Chancellor may designate signatory official approvers for HSC procedures and guidelines.

REFERENCES

- 1) *Regents Policy 3.4, § 3.3*
- 2) *Statement of Charter for the UNM Health System*

RESPONSIBILITY

- 1. All HSC leadership personnel are responsible for assuring that this document is enacted.
- 2. All HSC personnel are responsible for following this document.
- 3. Other specific responsibilities are assigned in the Procedure section of this document.

RESOURCES & TRAINING

SUMMARY OF CHANGES

- 1. This is the original version of this policy.

REVISION HISTORY

KEYWORDS

policy procedure guideline

ATTACHMENTS

- 1. *UNM Health Sciences Center Policy Document Template*

DOCUMENT APPROVALS

Owner
 Others
 Consultant(s)
 Legal

Recommendation for approval

Recommendation for Approval

Official Approver Paul Roth, MD; UNM Chancellor for Health Sciences

Signature of Approver [signature]