

GUIDELINES FOR DRAFTING AND COORDINATING POLICY FOR REVIEW AND APPROVAL

Appendices:

- A. Policy Template
- B. Policy Approval Process Flowchart

Contact for Information: Policy Process Council

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1. INTRODUCTION

1.1 Central Presence. Kennesaw State University¹ maintains a single, centralized presence (website) for the publication of University policy². The website was established for the purpose of presenting (1) a single location to facilitate access to approved policy and (2) a uniform format to make policy easier to read for users.

1.2 Authorization. In December 2012, KSU's governing bodies approved the establishment of the Policy Process Council whose members are representatives of the University senates, major academic and administrative divisions, and student government. The Council monitors and manages KSU policy to mitigate conflicting policy and also to ensure proposed policy is reviewed through the shared governance process.

1.3 Assistance with Policy. The Policy Process Council and the director of Institutional Effectiveness are available to policy owners and drafters as a resource. The director maintains the "Policy at KSU" website, coordinates editorial service for policy drafters, and prepare proposed/revised policy for final review by the Cabinet and approval by the president. The director also oversees the policy review and revision process that ensures KSU policies are current with internal and external requirements.

¹ Kennesaw State University also referred to as KSU or the University within this document.

² Paper/other formats of policy documents may be maintained by policy owners but the electronic version on the Policy at KSU website is the official version of KSU policy. A hard copy of the signed policy will be maintained in the Office of the President.

2. POLICY

2.1 About Policy

Upon approval, policy creates administrative structures, set priorities, assigns responsibility, delegates authority, consumes resources, establishes accountability, and defines reporting requirements. Thus a policy directly or substantially affects procedural or substantive rights and duties of individuals or entities that fall within its scope. At a minimum, policy addresses the following questions:

- Who - who (person/s) is covered by the policy; who (person/s) is accountable;
- What – what is the subject matter being addressed, requirement being defined, and what are the parameters;
- When – specific time periods or deadlines for actions or tasks;
- Where - any applicable offices, administration and business units, colleges, departments;
- How - applicable procedures to be follow in order to be in compliance with the policy;
- Why - the purpose of the policy.

Policy must be consistent with all applicable governing authorities. If a policy is required in order to implement a federal or state law, a policy of the Board of Regents of the University System of Georgia or the KSU Cabinet, or a directive from any legal external entity, the introduction to the policy should note this and the remainder of the policy should be consistent with the higher governing authority.

2.2 KSU Policy Template

A uniform template is located at Appendix A to assist policy owners and drafters. Descriptions of the key elements of the template follow and are numbered to correspond with the three main areas of the template.

Header Information (Area 1)

Institution Name: Kennesaw State University

Policy Title: This should be written so that the major subject matter or class affected appears first as most individuals search an index or table of contents alphabetically; e. g., Sexual Orientation Policy Statement rather than Policy Statement on Sexual Orientation.

KSU Policy Category: Insert the name of an approved KSU policy category. They are: Facilities, Finance and Business, Information Technology,

Governance, and Personnel. The most current list of policy categories may be seen on the Policy at KSU website.

Information Table (Area 2)

Policy Title: Use the same title as in the header.

Issue Date: The date the policy is signed by the president. This date will be provided by the director of Institutional Effectiveness.

Effective Date: For KSU policy, the date the policy document is posted to the Policy at KSU website is the effective date. If there is a date that is mandated such as required by a law or other mandate, use that date as the effective date.

Last Reviewed: For a new policy this will be the “Effective Date of the new policy. For existing policy, this date will be the date the policy was most recently reviewed such as during the annual/scheduled review.

Responsible Office: The official title of the KSU division that is most directly responsible for administration of the policy.

Contact Information: The official title of the responsible KSU department, office phone number, and that office’s resource email address—not an employee’s email address. Use of a resource address is preferred to ensure that emails from persons seeking information about a policy will be received by an employee currently assigned to that office.

Body of Policy (Area 3)

1. Purpose Statement

Brief statement of the purpose of the policy. Policy writers and owners should consider the following while developing a purpose statement.

- A purpose statement is an introductory statement as it is the first thing a reader will see. It needs to be concise and clear about the reason for the policy, who it impacts, and what it involves.
- A purpose statement is the only information that will be included on the Policy at KSU web pages to inform readers about the policy.
- Depending upon the complexity of the subject matter, this could be a simple paragraph or two. Include an overview of what the policy will address. Below are some examples that may be the purpose or reason to create a policy.

- A purpose statement recognizes the legitimate interests or expectations of the institution (KSU) with regard to its reputation, personnel, property, and assets.
- The proposed policy may be a result of particular requirement or action.

2. Background

This is the place to include information that is relevant as to what may have lead up to the need for the proposed policy. Examples are:

- State or federal law or BOR policy requires KSU to have a policy or procedure on the subject.
- To ensure accountability on a specific subject matter or topic and describe expected action or behavior as well as any consequence.

3. Who is Affected (Scope)

Policy is written to provide information and direction to persons within an organization. Each policy may be directed to either a specific group(s) of persons or it may be directed to all persons within the organization. At KSU, “affected persons” would be:

- Employees;
- Faculty;
- Students;
- Staff;
- Third Parties (includes but not limited to guests, vendors, contractors, retirees, and alumni).

Clearly state who must comply with the proposed policy. For example, who must observe the policy and follow any associated procedures; who must understand the policy in order to do their job or fulfill their responsibilities. Most policies have a primary audience and a secondary audience. For example, policies on graduate student admission address the criteria for admission and the procedures for admission. The primary audience is the graduate student who may be applying, and the secondary audience is the administrators who are involved in making the decisions on admission. The policy should focus directly on the primary audience, and if there are two primary audiences, the policy should be clear in each section as to which audience is being addressed.

Within each of these groups are sub-groups such as full-time, part-time, on-campus, off-campus, and on-line. If necessary, note the most appropriate group/groups of persons who would be affected by the proposed policy

4. Exclusions or Exceptions

State or list any locations, persons, or organizations that are excluded from the policy, or any funding sources or job classifications that are excluded from the policy. If an exclusion or exception requires written approval, include the job title or office title designated to authorize an exclusion or exception. The policy may also include information about special circumstances that affect only a few people or circumstances that occur infrequently.

5. Definitions and Acronyms

Define any technical language or words used in a special sense. Additionally, the use of acronyms is common and appropriate in written materials. To ensure readers are clear as to what an acronym is referring to, fully spell out the acronym followed by the acronym in parentheses. Use full titles of offices, processes, or other references that have an acronym at the first instance followed by the appropriate acronym. For example: Kennesaw State University (KSU or the University).

6. Policy

Policy should be concise, understandable by all its audiences, and contain only material essential to it. Omit needless words. Readers are interested in getting to the point.

- Historical information may be useful but it should not be in the policy. Such information may be in a study, report, or official document that can be referred to or included as associated information or as an appendix to provide the reader with additional information.
- There is no need to repeat language from another policy such as that of the Board of Regents or other external body unless it is required by the reference policy or is necessary to the implementation of the University policy. Instead, reference any relevant policy/regulation and include a URL that is hyperlinked in the informational section so that readers may connect to that information.
- Unit webpages or other information relating to the policy, such as guidelines, forms, charts, and handbooks, should not be incorporated into the body of a policy but instead should be listed and hyperlinked in the additional information section preceding the text of the policy. References and hyperlinks to policy within the body of the policy should be to the official title of the referenced policy and not its http address. References to forms should be to the title of the form and the office or title of the person from whom the form can be obtained since all forms may not be available electronically. No other hyperlinks may be made within the body of the policy except those permitted in this

sub-section. References to persons to contact within the body of the policy should be by their official titles only.

7. Associated Policy/Regulation/Information

Related policies that may help the reader to better understand the policy's purpose and necessity. Task force reports, memoranda, forms, state or federal laws or regulations that may be pertinent to the policy.

8. Procedure Associated with this Policy

A procedure describes steps that must be followed to comply with a policy. Contained within a procedure are titles of forms, offices, time periods, and other information so that the person using the applicable procedure may accomplish what is required from start to finish. As applicable, include the title of any procedure associated with the proposed policy and include the URL to that procedure. Please include only the URL and do not hyperlink the title of the procedure. A procedure should be located on the website of the office responsible for oversight of the procedure.

9. Form Associated with Policy

As applicable, include the title of any form associated with the proposed policy and include the URL to that form. Please include only the URL to the location of the form and do not hyperlink the title of the form. An associated form should be located on the website of the office responsible for oversight of that form.

10. Policy Violations

Include information on consequences for violation of the policy and what office will manage the violation.

11. Review Schedule

Include the planned review frequency such as semi-annually, annually, bi-annually. A planned review should be no longer than two years from the issue date (approval). The policy review schedule will be posted on the Policy at KSU website and a notification will be sent to the "Responsible Office" each November and July for an update on policy review actions.

Policy Process Council Administration Information (Area 4)

Action Log: Update information will be added by the director of Institutional Effectiveness.

Required Review/Concurrence Action:

Vice president or designate Review. Sign off by the vice president or vice president's designate (VP/VP-designate) overseeing the responsible office is indicated in this section. "Sign off" means the VP/VP-designate has read the proposed policy and concurs with it for entry into the shared governance process for review and comment.

KSU Shared Governance Review. Use this section to record the dates and decision of each governance body. Minutes of the governing bodies will reflect the date of presentation and its decision. Refer to the Policy Process Flowchart at Appendix B.

In some cases, more than one presentation/reading may be required. For planning, check the website of each governing body for meeting dates and times, and also contact the leadership of each governing body to request time on the agenda to present the proposed policy and also ask about presentation requirements. Some governing bodies have an executive committee that previews agenda items in advance of the scheduled meeting. Build a review plan with all dates and times in order to ensure the proposed policy completes this process in advance of any required dates of publication or implementation.

President's Cabinet Review. Once reviewed by all shared governance bodies, the proposed policy will be provided to the Office of the President for review and comment by the President's Cabinet. The director of Institutional Effectiveness will manage this action.

Presidential Approval and Signature. The date the president of KSU approves the policy. This date will be provided by the director of Institutional Effectiveness.

3. POLICY FORMAT AND PREPARATION FOR REVIEW

3.1 Outline Format

New policy proposals should be drafted in numerical outline format, using guidelines as provided by KSU University Relations. At a minimum, use a 12 point font, Arial style and left-justified margins, following the policy template. Section titles and subtitles should be used in the body of the text where appropriate.

3.2 Headings and Sub-headings

Use the headings and sub-headings provided in the template. Should there be a question about the use of these, please contact the Policy Process Council.

3.3 Active Voice

Write the proposed policy in active voice. Upon approval the policy will be read by many persons internal and external to the University. An active voice conveys its legitimacy. Every sentence should have meaning and relate to the heading or sub-heading under which it is found. Active voice is more direct, definite, and clear. Passive voice is often indefinite and less clear. For example:

- Passive Voice “All requests for additional compensation must be approved in writing before the activity begins.” This phrasing does not tell the reader who approves the requests.
- Active Voice “The Department Head must approve all requests for additional compensation before the activity begins.” This phrasing is more clear and definite and informs the reader.

3.3 Editorial Services

Each proposed policy (and policy in review) will be reviewed by editors on staff at KSU. Editing will take place at several points throughout the review and approval process. The purpose of this editorial service is to assist policy owners and drafters by allowing them to concentrate on the content of the proposed policy as well as the feedback/comment resulting from the collaborative review by multiple University groups. The goal is to have a grammatically correct and accurate policy for the review and comment process through KSU’s shared governance process and then for publication on the University’s Policy at KSU website. The director of Institutional Effectiveness will coordinate with policy owners and drafters to arrange for editing services.

4. REVIEW BY SHARED GOVERNANCE BODIES AND KSU CONSTITUENCIES

4.1 Review and Comment. All proposed policies must be presented to, reviewed for comment by, and receive a decision from each of the University’s shared governance bodies (Appendix C). The policy owner/drafter will provide each body the proposed policy in MS Word format with “Track Changes” activated in order to document comments, changes, and corrections to the proposed policy. Following each review, the policy drafter/sponsor will save the comments, changes, and corrections in order for there to be a final version that includes all comments, changes, and corrections as made by each shared governance body. This will also ensure that the President’s Cabinet and the president may review the comments, changes, and corrections at the time of their review.

4.1.1 Shared Governance Bodies: The University’s governing bodies are the (in alphabetical order): 1) Administrators’ Senate; 2) Faculty Senate;

3) Chairs' and Directors' Assembly; 4) Deans' Council; 5) Staff Senate; and 6) Student Government Association. Elected representatives of each of these bodies also serve on the University Council. All bodies must be presented with and have the opportunity to comment on any proposed policy. The president will present the proposed policy to the University Council and the President's Cabinet following the review and comment of the six bodies listed above.

4.1.2 KSU Constituencies: The successful implementation and execution of a policy is wholly dependent on the collaborative efforts of individuals across the breadth of the University who play a role in either carrying out actions described in with the policy, provide input associated with the policy, or are a recipient of the output of a policy. As representatives of major campus units, members of the Policy Process Council will provide recommendations to policy owners. As such, policy owners and drafters may want to present a proposed/ revised policy to the KSU constituencies shown below for information and feedback as appropriate to the audience of the proposed/ revised policy.

- a) Employee, faculty, staff, or student groups, committees, or organizations that are most affected by the proposed/ revised policy.

5. POLICY APPROVAL AND SIGNATURE

5.1 Policy Approval. The University president will conduct the final review of all proposed policy and make a decision to approve it or return it to the policy sponsor with comment/action. When all actions are resolved with the proposed policy to the full satisfaction of the president and the shared governance bodies, the president will sign off on the proposed policy thus making it an approved KSU policy.

5.2. Cabinet and Presidential Review. The director of Institutional Effectiveness will coordinate and notify the sponsor of a proposed policy of the date and time the proposed policy will be presented to the President's Cabinet and to the president. The sponsor will be present at that meeting to answer questions or provide clarification as needed.

6. POLICY REVIEW, REVISION, AND TERMINATION

6.1 Periodic Policy Review. Annually, or based on an agreed upon schedule of no more than two years, each KSU policy will be reviewed by the respective policy owner. The purpose of this annual/scheduled review is to ensure that each policy owner verifies the currency, relevancy, and accuracy of existing, approved policies. A policy owner will make one of the following decisions with regard to an existing, approved policy:

- a) Retain the existing, approved policy as is, with no changes or corrections;
- b) Make housekeeping changes that may include:
 - i. the title of an office, job position, form, or associated document;
 - ii. contact information (names, phone numbers, URLs, physical addresses, etc.);
- c) Revise the content of the policy which in effect changes the policy, or how it is administered or interpreted;
- d) Recommend the policy for termination that includes a statement for this action.

6.1.1 Impact Statement. Items 6.1.c and 6.1.d require a review by the shared governance bodies; in most cases, the review will be for information only purposes. To assist in the review of a revision or recommendation to deactivate, the policy owner will include a statement as to the impact of the revision to the existing policy or the decision to deactivate a policy as appropriate.

6.2 Managing Policy Revision. The director of Institutional Effectiveness will manage the policy revision process, inform and update the Policy Process Council on actions and results, and notify the campus of policies in review via KSU Informs. Policies completing an annual/scheduled review will be presented to the Policy Process Council with a summary of changes, corrections, and revisions in addition to impact statements provided by policy owners. Following review by the Council, revision information will be forwarded to the President's Cabinet and president. Any questions or requests for clarification will be resolved with the policy owner. Upon completion of the annual/scheduled review process, the reviewed policies³ will be posted to (or archived on) the Policy at KSU website.

6.3 Terminating Policy. Policy owners may decide to recommend a policy for termination. This recommendation should be fully coordinated with all persons and units affected by it in order to ensure a smooth transition of actions associated with the policy. The recommendation will include a reason for termination, impact of termination, and effective date of termination. The director of Institutional Effectiveness will coordinate with the policy owner on review by shared governance bodies and campus communication following completion of the review and final decision.

Document History:

Approved: July 11, 2013

Revision 1: August 9, 2013

³ Policies that are corrected, changed, or revised will also be edited prior to review and posting.

Policy Title	
Issue Date	[month/day/year]
Effective Date	[month/day/year]
Last Updated	[month/day/year]
Responsible Office	[division level]
Contact Information	[department name] Phone: [department office number] Email: [department resource email address]

1. Policy Purpose Statement

2. Background

3. Scope (Who is Affected)

4. Exclusions or Exceptions

5. Definitions and Acronyms

6. Policy

7. Associated Policy/Regulations/Information

- a. [list the title of any policy, such as Board of Regents, associated with this policy.]
- b. [list the title of any policy, such as Board of Regents, associated with this policy.]

8. Procedure associated with this policy

- a. [list the title and location of any procedures associated with this policy.]
- b. [list the title and location of any procedures associated with this policy.]

9. Form associated with this policy

- a. [list the title and location of any forms associated with this policy.]
- b. [list the title and location of any forms associated with this policy.]

10. Violations

11. Review Schedule

Action Log [for Policy Process Council action]

Date	Action	Name
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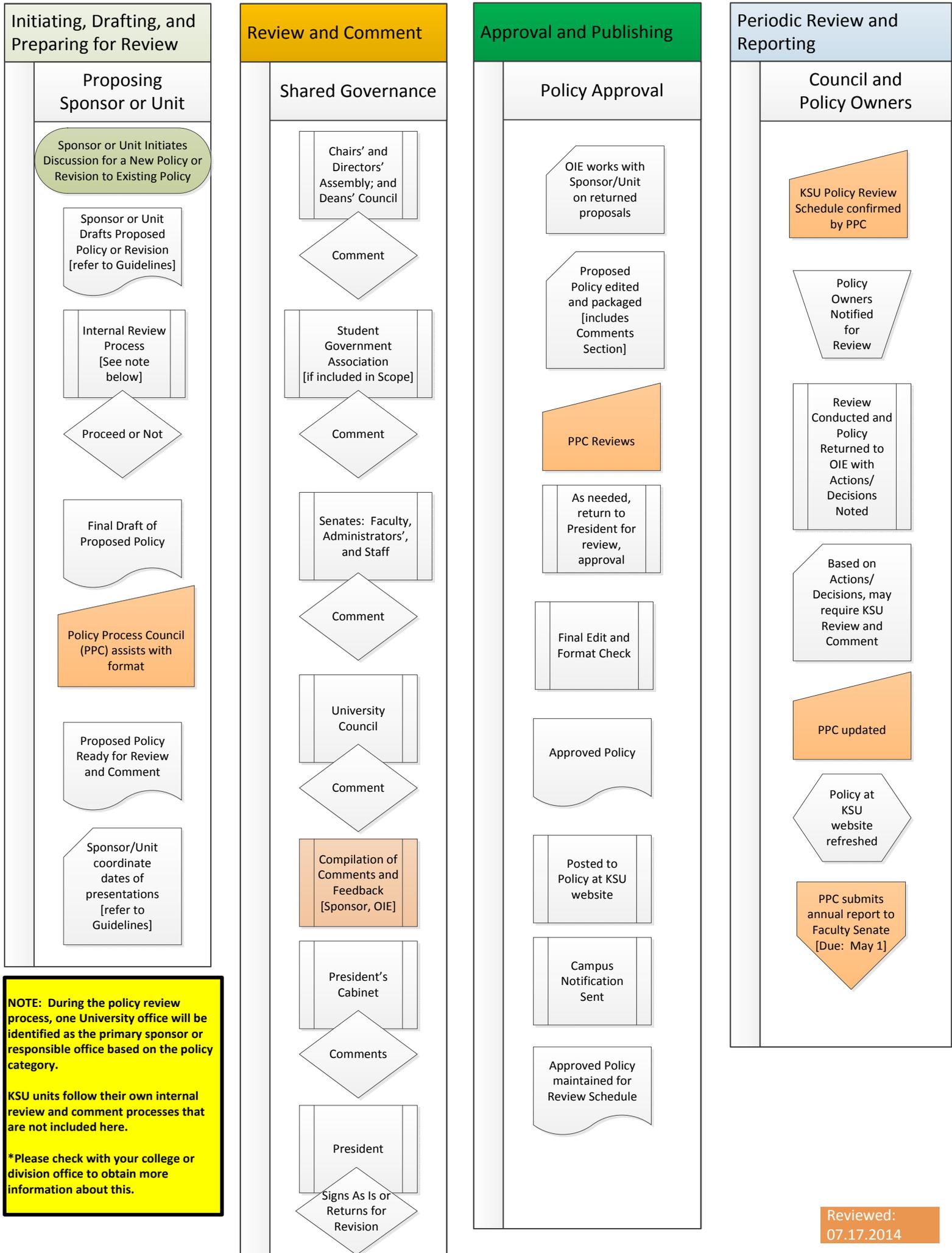
Required Review and Approval Actions:

Vice President Sign off (Responsible Office)	[name]	[date]
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KSU Governance Body	1 st Reading- Date	2 nd Reading - Date	Concurrence - Date
Administrators' Senate			
Chairs' and Directors' Assembly			
Deans' Council			
Faculty Senate			
Staff Senate			
Student Government Association†			
University Council			

President's Cabinet			
Presidential Approval	Date of signature:		

† SGA to review and comment on policy if students are included in the policy scope statement.



NOTE: During the policy review process, one University office will be identified as the primary sponsor or responsible office based on the policy category.

KSU units follow their own internal review and comment processes that are not included here.

*Please check with your college or division office to obtain more information about this.