Kennesaw State University

Policy Process Council - Summary

Date: September 10, 2014
Time: 10:00 AM – 11:30 PM
Location: TP2220

<table>
<thead>
<tr>
<th>Participation</th>
<th>Name</th>
<th>Representative For</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>David Arnold</td>
<td>External Affairs</td>
</tr>
<tr>
<td>No</td>
<td>Melisa Baldwin</td>
<td>University Advancement and Development</td>
</tr>
<tr>
<td>Yes</td>
<td>Maria Britt</td>
<td>Operations and CIO/CBO</td>
</tr>
<tr>
<td>No</td>
<td>Noelle Davis</td>
<td>Staff Senate</td>
</tr>
<tr>
<td>Yes</td>
<td>Katie Egloff</td>
<td>Athletics Department</td>
</tr>
<tr>
<td>Yes</td>
<td>Stephen Gay</td>
<td>Administrators Senate</td>
</tr>
<tr>
<td>Yes</td>
<td>Rachel Martini</td>
<td>Student Government Association</td>
</tr>
<tr>
<td>Yes</td>
<td>Dr. Ron Matson</td>
<td>Academic Affairs and Dean’s Council</td>
</tr>
<tr>
<td>Yes</td>
<td>Dr. Bob Mattox</td>
<td>Student Policy</td>
</tr>
<tr>
<td>Yes</td>
<td>Dr. Doug Moodie</td>
<td>Faculty Senate</td>
</tr>
<tr>
<td>Yes</td>
<td>Nwakaego Nkumeh, J.D.</td>
<td>Legal Affairs (Division of)</td>
</tr>
<tr>
<td>Yes</td>
<td>Susan Paraska</td>
<td>Institutional Effectiveness, Chair</td>
</tr>
<tr>
<td>No</td>
<td>Dr. Lynn Stallings</td>
<td>Chairs’ and Directors’ Assembly</td>
</tr>
<tr>
<td>Yes</td>
<td>Diane Walker, J.D.</td>
<td>Student Success (Division of)</td>
</tr>
<tr>
<td>NA</td>
<td>Pending</td>
<td>Information Technology Services, Ex-Officio</td>
</tr>
</tbody>
</table>

Guest(s): Kathy Maschke, Executive Director, Project Management Office, Operations

Preparation: Please review the Policy at KSU website and attachments.

Please review/comment/approve: Not applicable for this meeting.

Please bring: Any documents for your use during the meeting.

Meeting Agenda, Discussion, and Actions

Agenda

1) Welcome and Introductions

2) Policy at KSU and the Policy Process Council - Overview

3) Policy Updates:
   a. Policy on University Policies [Attachment 1]
   b. Substantive Change Policy [Attachment 2]
   c. Complaint Resolution Policy [Attachment 3]
   d. Tobacco and Smoke-free Policy [Attachment 4]
      i. “KSU - A Smoke/Tobacco Free University” - policy implementation campaign – Maria Britt

4) Consolidation and PPC Composition - Task

Contact: Susan Paraska | Institutional Effectiveness | sparaska@kennesaw.edu
### Overview of Discussion and Actions

<table>
<thead>
<tr>
<th>1) Welcome and Introductions – 2014 Representatives</th>
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<tbody>
<tr>
<td><strong>New Representatives:</strong></td>
</tr>
<tr>
<td>• Melisa Baldwin – University Advancement and Development</td>
</tr>
<tr>
<td>• Katherine Egloff – Athletics Department</td>
</tr>
<tr>
<td>• Rachel Martini – Student Government Association</td>
</tr>
<tr>
<td>• Dr. Bob Mattox – Division of Student Success – (*) Student Policy</td>
</tr>
<tr>
<td>• Dr. Doug Moodie – Faculty Senate</td>
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<tr>
<td>• Dr. Lynn Stallings – Chairs’ and Directors’ Assembly</td>
</tr>
<tr>
<td><strong>Returning Representatives:</strong></td>
</tr>
<tr>
<td>• David Arnold – External Affairs</td>
</tr>
<tr>
<td>• Maria Britt – Operations, CIO, and CBO</td>
</tr>
<tr>
<td>• Noelle Davis – Staff Senate</td>
</tr>
<tr>
<td>• Stephen Gay – Administrators Senate</td>
</tr>
<tr>
<td>• Lectra Lawhorne – Office of the Chief Information Officer</td>
</tr>
<tr>
<td>• Nwakaego Nkumeh – Division of Legal Affairs</td>
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<tr>
<td>• Dr. Ron Matson – Academic Affairs and the Deans’ Council</td>
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<td>• Diane Walker – Division of Student Success</td>
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<table>
<thead>
<tr>
<th>Person(s) Responsible:</th>
<th>Deadline:</th>
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<tbody>
<tr>
<td>All</td>
<td>NA</td>
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(* The Student Policy representative position is new this year based on a recommendation from the PPC.)
2) Policy @ KSU and the Policy Process Council - Overview

The Policy Process Council (PPC) was approved as a University Standing Committee in December 2012. Its purpose is to serve as a collaborative and representative body that manages, monitors, and maintains institutional policy and the Policy at KSU portal. This Council’s focus is on University policy—not that at a college, division, or unit level.

The PPC provides guidance to University students, faculty, and staff on KSU’s policy development, review, and approval process. As representatives of your divisions and shared governance bodies, your role is to update and inform those you represent on policy matters and also to bring forward any policy concerns.

We communicate via a listserv (policy@list.kennesaw.edu) and the policy website is https://policy.kennesaw.edu/.

All information on policy is on the website—please become familiar with it and please share it with people when any questions arise. The website is a public site in order to ensure anyone may view our policies at any time.

We meet monthly during the academic year, and only during the summer if needed. The meeting dates for this semester are: today (September 10), October 8, November 12, and December 10. Meetings times are 10:00 – 11:30 a.m., and we will meet in TP2220.

As required of all standing committees, I prepared an annual report in April for you to review and then following any edits, submit it to the Faculty Senate. The PPC 2013-2014 Annual Report may be viewed at: https://policy.kennesaw.edu/sites/web.kennesaw.edu.policy/files/annual_report_policyprocesscouncil_may-2014_to facultysenate.pdf.

New representatives were encouraged to chat with returning representatives about the Council and other things as they may arise with regard to policy.

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<thead>
<tr>
<th>Action Item(s): None at this time.</th>
<th>Person(s) Responsible:</th>
<th>Deadline:</th>
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</thead>
<tbody>
<tr>
<td>1. Record meeting dates, times, and location.</td>
<td>All</td>
<td>NA</td>
</tr>
<tr>
<td>2. Please send agenda items in advance so that they may be included in the meeting notice.</td>
<td>All</td>
<td>One week in advance of meeting.</td>
</tr>
<tr>
<td>3. Please use the Policy at KSU website as a resource and also share with your division and reporting units.</td>
<td>All</td>
<td>NA</td>
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Contact: Susan Paraska | Institutional Effectiveness | sparaska@kennesaw.edu
3) Policy Updates

A. Policy on Control of University Policies [revision] – signed by Dr. Papp, July 17, 2014

Background: Two existing policies were reviewed and recommended that one be revised and the second be retired.

1) New policy guidelines and format include information that addresses actions in each of these policies—violations and exceptions. Specifically the new guidelines and format require policy sponsors to identify policy owners, requests for any exceptions or exclusions, and policy violations and associated actions.

2) Discussion by the Policy Process Council resulted in the following recommendations.
   a) Revise Control of University Policy.
   b) Retire Deviations from Approved Policy. Policy owners or unit heads who wish to allow exceptions and exclusions may develop process, waiver documentation, and management of waiver documentation to support needs of their respective policies.

3) Policy review process started on January 6, 2014.
   a) The University Council recommended changes upon its first review; those changes were agreed upon by the UC in March 2014.
   b) The final governing body to complete its review was the Deans’ Council on May 8, 2104
   c) The President’s Cabinet reviewed the proposed policy on May 27, 2014.
   d) A final confirmation back to the University Council on the final version of the proposed policy was completed on June 27, 2014, and the final version was sent to Dr. Papp for his review and approval.

B. Substantive Change Policy [new] – pending completion of review process. See policy attachment.


D. Tobacco and Smoke-free Policy [revision] – pending completion of review process.

1. The policy is a revision of the existing “Smoking Policy” and is effective October 1, 2014. Should the KSU policy not be fully through the review and approval process, Susan Paraska will place the Board of Regents’ policy on the KSU website. The final KSU policy will be posted following signature by Dr. Papp.

2. Maria Britt (Operations) and Kathy Maschke (Operations) shared the presentation being shared with KSU’s shared governance bodies and KSU units. The KSU campaign to implement this policy is focused on being healthy and working with people to come into compliance. The presentation is included for sharing. Please contact Kathy if anyone would like members of the Committee to present to their unit or just come and talk about the implementation. Kathy’s extension is 7684.

3. Presentation is included as an attachment.
Policy Updates continued

E. Environmental and Occupational Safety Policy [new] – starting the review and approval process.

This new policy is the foundation for an integrated system of procedures, education, training, monitoring, and maintaining compliance with federal/state rules and regulations. Mr. Stephen Ndiritu, Interim Director of Environmental Health and Safety, is the lead for this policy. Susan Paraska sent the proposed new policy to the KSU shared governance bodies for their review and also to schedule at upcoming meetings. Members of the EHS Department and/or the Division of Operations will offer information and answer questions at those meetings.

Britt shared that Dr. Randy Hinds (VP-Operations and CIO/CBO) is the University’s compliance officer and she is his designate (second in command) for compliance. KSU’s EOS approach will result in the integration of safety committees/councils across KSU into a single University-level council. The EOS system will provide expanded information and data that may be used to track/forecast trends that will help to improve safety and reduce/mitigate risks. A biosafety expert will be hired and along with the EHS Department lead much of the effort described in the proposed new EOS policy.

Doug Moodie (Faculty Senate) asked if sports injuries such as football head injuries would be included in the oversight of the safety council. Britt said that while those are a safety topic they fall under the oversight of the Athletics Department. Katie Egloff (Athletics) chimed in stating that there are several compliance regulations that cover student-athletes and Athletics Department oversight on matters related to sports injuries such as those within the NCAA.

Please refer to: Attachments sent via email to the Policy Process Council and included in this meeting summary.

<table>
<thead>
<tr>
<th>Action Item(s):</th>
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<th>Deadline:</th>
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<tbody>
<tr>
<td>1. Provide any comments/suggestions to the offices listed as the “Responsible Office” on the policies as appropriate.</td>
<td>Susan Paraska; Respective Policy Owners</td>
<td>At completion of review by shared governance bodies.</td>
</tr>
<tr>
<td>2. Please update your divisions and units on these policies—many people are not fully aware of the involvement of many University groups in developing, reviewing, and approving policy.</td>
<td>All</td>
<td>As soon as possible</td>
</tr>
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</table>

4) Consolidation and PPC Composition – PPC for the New KSU

The official consolidation is projected to begin in January 2015 following an announcement by the SACS Commission on Colleges and Board of Regents regarding approval to move forward. Susan Paraska (Institutional Effectiveness) asked Dr. Papp if the PPC would continue as a part of the consolidation university and what we may need to do regarding its composition. He said the Council would continue as part of the consolidation and that the composition would be discussed as appropriate at the time of consolidation.

Paraska put forth a recommendation that the Council may wish to offer a recommendation to Dr. Papp and a volunteer to put together that information for review at the October 2014 meeting.

The Council discussed a few scenarios that ranged from no change to one that would include SPSU faculty/staff/students who currently serve in specific roles to be part of the Council for the Spring 2015 semester. The Council agreed that representatives would send their thoughts and recommendations to Paraska and she would compile that information to share at the October 2014 meeting.

<table>
<thead>
<tr>
<th>Action Items:</th>
<th>Person(s) responsible:</th>
<th>Deadline:</th>
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<tbody>
<tr>
<td>1. Council representatives will send their recommendations on the PPC composition to Susan Paraska by</td>
<td>All send recommendations to Susan Paraska</td>
<td>September 24, 2014 for Recommendations</td>
</tr>
<tr>
<td>2. Proposed Recommendation to be presented at October 8 meeting with goal to have Final Recommendation at November 12 meeting.</td>
<td></td>
<td></td>
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<tr>
<td>3. We will want to send our recommendation to Dr. Papp following the November 12, 2014 meeting.</td>
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Contact: Susan Paraska | Institutional Effectiveness | sparaska@kennesaw.edu
5) Announcement—Information from Representatives

1) Maria Britt (Operations) asked about the previous policy concerning deviations. Susan Paraska explained that a previous KSU policy titled “Deviations from Approved Policy” was deactivated because of changes in KSU’s policy format. That policy was more to control deviations from business and finance procedures. Last year when “Control of University Policies” was revised, the PPC recommended that the deviation policy be deactivated because Sections 4 and 10 of the new policy format titled “Exclusions or Exemptions” and “Violations” respectively would cover any contingencies regarding deviations. Additionally deviations may only be approved by the office responsible for the administration of a policy based on the approval of the policy owner. This is stated in each policy.

2) Britt also asked how KSU policy is reviewed to ensure currency. Paraska said policy posted on the University website is reviewed annually in the month of the effective date. Policy review requires the responsible office/policy owner to review each policy and to advise if the policy is current as is and, if not, then if it requires corrections, updates, or revisions. Based on the level of corrections, updates, or revisions, the PPC may recommend that the policy be sent through the KSU policy review and approval process. This would be for substantive changes. Otherwise, notice of annual review will be made on the policy website and via KSU Inform.
   1) Paraska added that her office (Office of Institutional Effectiveness) is responsible for notification to policy owners and the management of reviewed policy.
   2) Stephen Gay (Administrators Senate) added that his office conducted its annual review of policy in April 2014. Recently due to a significant changes by the BOR, KSU IT policy is being reviewed and updated to correct links and information.

3) There was a brief discussion on how KSU stays current with BOR policy changes. BOR policy revisions and updates are included in BOR agendas and minutes. Additionally, revisions to policy and procedures manuals are posted on the webpages of the BOR and USG. Susan Paraska checks the BOR and USG websites for BOR policy changes. For specific university areas such as Academic Affairs, Student Affairs, Facilities, etc., the staff of those offices work directly with the USG staff to ensure policies and procedures are current and updated as needed.
   Here are a couple of links, that are also provided on the Policy at KSU website:
   1) http://www.usg.edu/policymanual/, BOR Policy Manual, revisions are listed under Overview.
   2) http://www.usg.edu/policies/, BOR and USG policy manuals and procedural handbooks are all listed here. Revisions are displayed at the front of each document.
   3) http://www.usg.edu/regents/meetings, BOR meeting agendas and minutes. Policy is acted upon by the BOR as a whole based on work and recommendations of the BOR Committee on Organization and Law. The staff of the Office of Legal Affairs, http://www.usg.edu/legal/, is the administrative office for BOR policy and ensures policy is reviewed on a periodic basis, updated as approved, and maintains the policy website.

4) Rachel Martini (SGA) reported that the revised Tobacco and Smoke-free Policy will be presented and read at today’s SGA meeting. The reading was announced in The Sentinel in addition to the SGA agenda.
   1) The SGA is working to schedule a date for presentation and reading of the new EOS Policy.
   2) Changes for the SGA related to the KSU-SPSU Consolidation require the writing of new bylaws which must be completed by September 30, 2014.

5) Katie Egloff (Athletics) reported that a lot was in progress in preparing for the first football season in Fall 2015 and with consolidation.

6) David Arnold (External Affairs) informed the Council of changes with the University’s Visual Identity Program as a result of consolidation. Information on current Visual Identity requirements may be viewed at: http://www.kennesaw.edu/styleguide/.
Announcement—Information from Representatives continued

7) Diane Walker (Student Success) informed the Council that more than 500 policies were reviewed by the OWGs tasked with merging KSU and SPSU policy. OWGs 47-50 were also tasked with merging handbooks (University, Employee, Faculty, and Student). More about these OWGs may be read at: http://www.ksuspsuconsolidation.com/committee-members/working-groups/.

8) Following the meeting, Diane Walker (Student Success) said the University’s Sexual Misconduct Policy needed to be approved and posted to the KSU policy website by October 1, 2014. The Division of Legal Affairs has the proposed revised policy which is an expanded version of the existing student policy on sexual misconduct. The federal government revised its requirements for policy on sexual misconduct which generated the requirement for KSU to revise its existing policy that now includes employees and students in addition to third parties such as contractors. Nwakaego Nkumeh (Legal Affairs) is preparing the revised policy and will forward it to Susan Paraska. Paraska will provide the revised policy to Dr. Papp prior to sending for shared governance review.

**Action Item(s):**
Share information with your respective areas.

**Person(s) responsible:** All
**Deadline:** NA

6) PPC Meetings

The meeting dates for this semester are:
- September 10 (today)
- October 8
- November 12
- December 10

Meetings times are 10:00 – 11:30 a.m., and the location is TP2220.

A meeting agenda will be sent in advance (I aim for one week so that you have time to read over) and then a meeting summary will follow for your review and comment. We will conduct a vote on the meeting summary and I will then make any changes as needed and post to the website. PPC meeting summaries are posted at: https://policy.kennesaw.edu/content/council-meetings-and-actions.

**Action Item(s):**
1. Please send agenda items in advance so that I may include them.
2. Also please send any issues or questions from your areas.

**Person(s) responsible:** All
**Deadline:** 1 week prior to meeting date.

7) Closing and Adjournment

As there was no other business or discussion Paraska closed the meeting.

**Action Item(s):**
None.

**Person(s) responsible:** All
**Deadline:** NA

End of Meeting Summary.
1. Policy Purpose Statement

This policy establishes a uniform process by which Kennesaw State University (KSU or the University) policy is created, authorized, and maintained. This policy lists guidelines for the issuance and review of University policy and its inclusion on the University website, Policy at KSU, which is the official repository of University policies and procedures.

2. Background

A policy is a guiding principle to set direction in an organization. Policies must be followed uniformly by all units of the University. Therefore, there will only be one source for a given policy, formal structure and process for authorization, legal oversight, financial oversight, managerial control, and maintenance of official policy documents. As appropriate, University administrators, faculty, or staff will be designated to create KSU policy and procedures that are deemed necessary.

3. Scope

This policy applies to University employees (faculty and staff) and third parties as noted within a policy. University policy includes only those policies and procedures that are generally applicable to more than one office or department of the University. Matters pertaining only to the internal procedures of a given department or office are not considered within the scope of this policy.

4. Exclusions or Exceptions

Any exclusion or exception to a policy is stated in Section 4 of a policy. Additionally, the responsible office and contact information for each policy is stated at the start of each policy. All questions should be directed to the responsible office.
5. Definitions and Acronyms

a. **Policy**: a written statement of management philosophy and direction, established to provide direction and assistance to the University community in the conduct of University affairs.

b. **Policy category**: policy area that aligns with those of the Board of Regents of the University System of Georgia or as determined by the University administration.

c. **Policy portal/website**: official public site for approved University policy.

d. **Procedures**: written statements that prescribe specific actions to be taken to conform with established policies -- allowing for the orderly implementation of those policies.

e. **Responsible office**: University administrators who are responsible for the accuracy and timeliness of policies and procedures relating to their areas or departments. This responsibility includes proper notification of changes and updates to policies and procedures, and conducting a review of policies annually.

f. **Shared governance review and comment**: process of open review and comment by members of the University’s shared governance bodies. Comments are compiled by the proposed policy owner/drafter for presentation to the President’s Cabinet and president.

6. Policy

In general the need for a new policy or revision to existing policy is identified and initiated by the responsible office of a policy category. A KSU employee or shared governance body may also identify and initiate a new policy proposal or revision to existing policy. Key administrators are responsible for identifying areas of operation within their organizations that are in need of new or revised policy or procedure changes, for recommending appropriate policy statements and procedures, and for assuring adherence to established policies and procedures in the conduct of their department's affairs.

Based on events or mandates, the University president or the President’s Cabinet may decide it is necessary to create policy and notify the responsible office to begin action on a proposed policy.

Approved policy is posted on the Policy at KSU website following shared governance review and signature by the University president. For the consolidation and standardization of University policies, the University website has been established as the official location of approved University policies and procedures. This format makes policies and procedures available to the University community in an electronic format, which reduces the need to publish and distribute paper copies.

Policy announcements are provided via the policy website, emails to shared governance bodies, and KSU Inform. Policy-writing guidelines, process workflow, and a policy template are available on the Policy at KSU website. Additionally, members of the Policy Process Council and the director of the Office of Institutional Effectiveness are available to assist policy writers.
Policy categories largely follow those of the Board of Regents of the University System of Georgia. The table below provides examples of policy categories; others may be added as needed.

<table>
<thead>
<tr>
<th>Policy Category [alpha order]</th>
<th>Responsible Office(s)</th>
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<tbody>
<tr>
<td>Facilities</td>
<td>Operations/Business</td>
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<tr>
<td>Finance and Business</td>
<td>Operations/Business</td>
</tr>
<tr>
<td>Governance</td>
<td>President</td>
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<td>Information Technology</td>
<td>Operations/Information Technology</td>
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<tr>
<td>Legal</td>
<td>Legal Affairs</td>
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<td>Personnel</td>
<td>Academic Affairs and/or Operations</td>
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<tr>
<td>Public Service</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>Records and Publications</td>
<td>Operations/Business</td>
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<tr>
<td>Research</td>
<td>Academic Affairs</td>
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<tr>
<td>Student Affairs</td>
<td>Academic Affairs and/or Student Success</td>
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</tbody>
</table>

7. **Associated Policy/Regulation**

   a. Not applicable at this time.

8. **Procedures Associated with this Policy**

   The Office of Institutional Effectiveness will maintain the master list of policies and policy numbers. An approved copy of each policy is kept on file and made visible via the policy website. KSU units wishing to provide visibility to official policy can link to the Policy at KSU website, and users may print copies directly from this site. Copies of official policy may not be stored separately on unit servers or websites. This ensures that viewers and users have access to current and approved policy.

   a. [Guidelines for Drafting and Coordinating Policy for Review and Approval](#)

9. **Forms Associated with this Policy**

   a. [Policy Format Template](#)

10. **Violations**

    KSU employees and/or third parties as noted within a policy are responsible for complying with KSU policy. Violations of this policy will be handled by the Office of the President or his/her designee.
11. Review Schedule

Each responsible office/policy owner is responsible for the review of and update to University policies within his/her respective areas according to the University’s policy review schedule. If corrections, changes, or revisions are necessary prior to a policy’s scheduled review, the responsible office should contact the Office of Institutional Effectiveness as soon as possible in order to decide on the appropriate actions. The policy will be updated, the date and revision number changed, and the revision noted in Section 6.0; it will then be returned to be approved and released.
Kennesaw State University
Policy: Substantive Change Policy – Proposed New
KSU Policy Category: Governance
To Shared Governance: Review-Comment, April 16, 2014

<table>
<thead>
<tr>
<th>Policy Title</th>
<th>Substantive Change Policy – PROPOSED NEW</th>
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<tbody>
<tr>
<td>Issue Date</td>
<td>Pending</td>
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<tr>
<td>Effective Date</td>
<td>Pending</td>
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<tr>
<td>Last Updated</td>
<td>New Policy</td>
</tr>
<tr>
<td>Responsible Office</td>
<td>Office of the President</td>
</tr>
<tr>
<td>Contact Information</td>
<td>Office of Institutional Accreditation</td>
</tr>
<tr>
<td></td>
<td>Phone: 770-423-3315</td>
</tr>
<tr>
<td></td>
<td>Email: <a href="mailto:sparaska@kennesaw.edu">sparaska@kennesaw.edu</a></td>
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1. Policy Purpose Statement

Kennesaw State University (KSU) is responsible for complying with the policies of its regional accreditor, the Southern Association of Schools and Colleges Commission on Colleges (SACSCOC) and the Board of Regents of the University System of Georgia (as noted in Section 7). Notification and reporting of any substantive change by an accredited institution are mandated by the U.S. Department of Education regulation 34 CFR 602.22.

2. Background

Change is essential for the continued success of KSU. “Substantive change” is defined as a significant modification or expansion in the nature and scope of an accredited institution, and to preserve our regional accreditation and its benefits, KSU must report in writing any actions defined as “substantive change” to the Southern Association of College and Schools Commission on Colleges (SACSCOC). The SACSCOC policy on Substantive Change provides information as to what type of substantive change is reportable and the reporting process. At KSU, the Office of Institutional Accreditation oversees the University’s substantive change process and reporting.

3. Scope (Who is Affected)

Students, faculty, and staff are directly affected by substantive change decisions and actions because the University’s accreditation status is associated with the University’s compliance with this policy.

4. Exclusions or Exceptions

There are no exclusions or exceptions to this policy.

5. Definitions and Acronyms

See Appendix A of this policy for SACSCOC Glossary of Terms.
6. Policy

University decisions that may be considered a substantive change can be easily determined when
discussed in advance of any major academic, business, or operational action. More important is the
recognition that substantive change can occur at the program, departmental, or institutional level.
Below are a few examples of what might constitute substantive change at KSU:

- changing the mission and objectives of the institution;
- initiating a merger or consolidation with another institution;
- establishing an off-campus instructional site;
- establishing a new campus;
- establishing a dual, joint, or cooperative degree program;
- expanding offerings at a previously approved off-campus location;
- delivering new or existing courses or programs off campus;
- initiating distance learning that offers 25 percent or more of a program online;
- entering into a contract by which an entity not eligible for federal financial aid (Title IV) funding
  offers 25 percent or more of one or more of the accredited institution’s programs.

KSU must notify SACSCOC in advance and within specified timeframes before taking action that
involves a substantive change. Additionally, KSU must comply with policies of the Board of Regents
(BOR) of the University System of Georgia (USG) and procedures in the USG Academic and Student
Affairs Handbook.

Responsibilities

Administration and academic officers are fundamentally responsible for being aware of the
substantive change policy in order to inform the University’s SACSCOC accreditation liaison (SAL) at
the earliest point possible in the development of a proposal or plan that may constitute a substantive
change for the University. The SAL is appointed by the president and is in the Office of Institutional
Accreditation. Additionally, university officers would provide the SAL with any data, information, or
prospectus necessary to comply with SACSCOC policy as needed for policy compliance.

KSU’s SAL is responsible for informing and updating administration and academic officers on
SACSCOC substantive change requirements. The SAL is also responsible for:

- maintaining the University’s policy on substantive change;
- keeping administration and academic officers up to date on the substantive change policy;
- providing an annual update on substantive change to the president’s Cabinet;
- publishing on the liaison’s office website information on University actions and procedures
  concerning substantive change;
- collaborating with and advising University officials to determine whether a proposed change is
  substantive and what action may be required when a change is substantive;
- file the appropriate notice, prospectus, or proposal with SACSCOC and Board of Regents’
  (BOR) offices;
- coordinating with the SACSCOC or BOR staff and University officials on any required follow-
  up action.
7. Associated Policies/Regulations
   b. Southern Association of Colleges and Schools’ Commission on Colleges (SACSCOC), Principles of Accreditation, Comprehensive Standard 3.12, Substantive Change Procedure and Policy.
   c. SACSCOC policy “Substantive Change for Accredited Institutions of the Commission on Colleges.”
   d. SACSCOC policy “Agreements Involving Joint and Dual Academic Awards,”
   e. SACSCOC document, “The Accreditation Liaison.”
   f. Board of Regents, Policy Manual
      1) 3.3.3, Instructional Offered Externally
      2) 9.3, Off-Campus Instructional Sites
   g. University System of Georgia, Academic and Student Affairs Handbook, Section 2.3 Academic Programs

8. Procedures Associated with this Policy
   The KSU SAL will provide procedural information to the office(s) involved in the substantive change to ensure compliance with the most current policies and procedures.

9. Forms Associated with this Policy
   The KSU SAL will provide forms and instructions to the office(s) involved in the substantive change to ensure the use of the most current reporting documentation.

10. Violations
    If an accredited institution fails to follow the SACSCOC substantive change policy and procedures, it could be subject to special review and lose its federal financial aid (Title IV) funding or be required by the U.S. Department of Education to reimburse money received by the institution for programs related to an unreported substantive change. In addition, the institution’s case may be referred to the SACS Commission for the imposition of a sanction or for removal from membership.

11. Review Schedule
    The Substantive Change Policy is reviewed annually by the Office of Institutional Accreditation.
Appendix A: SACSCOC Glossary of Terms

Branch campus: a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is permanent in nature; offers courses in educational programs leading to a degree, certificate, or other recognized educational credential; has its own faculty and administrative or supervisory organization; and has its own budgetary and hiring authority.

Contractual agreement: typically is one in which an institution enters an agreement for receipt of courses/programs or portions of courses or programs (i.e., clinical training internships, etc.) delivered by another institution or service provider.

Consortial relationship: a consortial relationship typically is one in which two or more institutions share in the responsibility of developing and delivering courses and programs that meet mutually agreed upon standards of academic quality.

Correspondence education: a formal educational process under which the institution provides instructional materials, by mail or electronic transmission, including examinations on the materials, to students who are separated from the instructor. Interaction between the instructor and the student is limited, is not regular and substantive, and is primarily initiated by the student; courses are typically self-paced.

Degree completion program: a program typically designed for a non-traditional undergraduate population such as working adults who have completed some college-level course work but have not achieved a baccalaureate degree. Students in such programs may transfer in credit from courses taken previously and may receive credit for experiential learning. Courses in degree completion programs are often offered in an accelerated format or meet during evening and weekend hours, or may be offered via distance learning technologies.

Distance education: a formal educational process in which the majority of the instruction (interaction between students and instructors and among students) in a course occurs when students and instructors are not in the same place. Instruction may be synchronous or asynchronous. A distance education course may use the Internet; one-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices; audio conferencing; or video cassettes, DVDs, and CD-ROMs if used as part of the distance learning course or program.

Dual degree: separate program completion credentials, each of which bears only the name, seal, and signature of the institution awarding the degree to the student.

Educational program: a coherent course of study leading to the awarding of a credential (i.e., a degree, diploma, or certificate).

Geographically separate: an instructional site or branch campus that is located physically apart from the main campus of the institution.

Joint degree: a single program completion credential bearing the names, seals, and signatures of each of the two or more institutions awarding the degree to the student.

Unreported substantive change: substantive changes approved or acted upon by an accredited institution without prior notification or prior approval from its regional accreditor that may be discovered by the institution or by the regional accreditor during or between periods of formal review.
Action Log [for Policy Process Council action]

<table>
<thead>
<tr>
<th>Date</th>
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<tbody>
<tr>
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<td>March 17-2014</td>
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| President’s Cabinet                  | Pending – October 7, 2014                                      |            |
| Presidential Approval                | Date:                                                          |            |

† SGA review and comment if students are included in the policy scope statement.
1. Policy Purpose Statement

Kennesaw State University (KSU) is committed to providing a high-quality educational environment and opportunities that are central to an academic community of learning, teaching, research, scholarship, and service. As such, the University strives to be alert to the needs of the University community by maintaining an environment in which appeals, grievances, and complaints are addressed in an expeditious, fair, and collegial manner. This policy provides an overview of some of the University’s processes in place for faculty, students, staff, and third parties to follow in seeking resolution of a formal complaint or grievance.

2. Background

KSU recognizes its responsibility to address complaints by taking into consideration the interests of all involved — those raising a complaint and those against whom the complaint is raised, as well as others with a stake in the process. Concerns that lead to disputes are best addressed through direct discussions among the parties to the disputes. When such direct discussions fail to resolve a dispute or are not feasible, the parties are encouraged to seek assistance from the University Ombuds (faculty and staff) or the Dean of Student Success (students) for possible resolution before initiating a formal appeal or complaint process.

KSU's approach to resolving formal written appeals, grievances, or complaints is to direct the matter to the most appropriate office. The personnel of those offices possess the qualifications, experience, and knowledge to manage a formal resolution process as well as to work in a collaborative and confidential manner to reach a resolution for each individual based on the merits of his or her case.

3. Scope (Who is Affected)

This policy covers faculty, students, and staff of the University as well as third-party inquiry as applicable to federal or state law or regulation.

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1 Policies affecting students are provided to the Office of the Provost and the Division of Student Success to disseminate and publish according to their protocols in addition to publication on the Policy at KSU website.
4. Exclusions or Exceptions

Any exclusions or exceptions are noted within associated policies or procedures.

5. Definitions and Acronyms

Please refer to the policy or process associated with the type of appeal, complaint, or grievance for definitions. Additionally the office responsible for administering a policy or process for an appeal, complaint, or grievance can assist persons with those definitions.

6. Policy

Depending on the type of appeal, complaint, or grievance, faculty, students, and staff should select the appropriate policy or procedure provided within this section. If there is any question or concern about the appropriate resolution process, the University Ombuds are available for guidance.

Appeals, Complaints, and Grievance Resources

Policies and procedures regarding issues that are commonly inquired about are provided below. For more information about these or other issues, individuals should contact the University Ombuds Office.

a. Academic Matters
   1) Complaints Against Faculty
   2) Grade Appeal

b. Behavior and Conduct Matters
   1) Equal Opportunity Office
   2) Employment Policies
   3) Employment Relations Problem Resolution
   4) Handbooks
      i. Employee Handbook
      ii. Faculty Handbook
      iii. Student Handbook
      iv. University Handbook
   5) Hotlines
      i. Board of Regents Fraud, Waste and Abuse Reporting
      ii. KSU Ethics and Compliance Reporting Hotline
   6) Ombuds Office
   7) Reporting Academic and General Misconduct
   8) Sexual Misconduct/Sexual Discrimination
   9) Student Conduct and Academic Integrity

c. Financial Matters
   1) Financial Aid Eligibility and Appeals
   2) Parking Violations
      i. Faculty, Staff, and Visitors
      ii. Students
   3) Pay and Benefits
   4) Tuition and Fees - Rates and Refunds
   5) Military/Veteran Services
Kennesaw State University
Policy: Complaint Resolution Policy - Proposed New
KSU Policy Category: Governance; Faculty; Personnel [Students]
To Shared Governance: Review-Comment, April 16, 2014; Updates June 10, 2014; August 20, 2014

Page 3 of 4

7. Associated Policy(ies)/Regulations
   a. Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) policy, "Complaint Procedures Against SACSCOC or Its Accredited Institutions."
   b. Board of Regents (BOR) of the University System of Georgia (USG) Bylaws, VIII. Appeals
   c. BOR Policy Manual, 2.5.4 Agreements (Presidential Authority and Responsibilities)
   d. BOR Policy Manual, 4.7.1 Student Appeals
   e. BOR Policy Manual, 4.7.2 Appeals on Other Matters
   f. BOR Policy Manual, 8.2.2.1 Employment Appeals
   g. KSU University Handbook
   h. KSU Faculty Handbook
   i. KSU Employee Handbook
   j. KSU Student Handbook

8. Procedures Associated with this Policy

See Section 6 of this policy.

Procedures are specific to the type of appeal, complaint, or grievance; therefore, the office handling an appeal, complaint, or grievance will provide those procedures once contacted by an individual who wishes to file a formal appeal, complaint, or grievance.

9. Forms Associated with this Policy

See Section 6 of this policy.

Forms are specific to the type of appeal, complaint, or grievance; therefore, the office handling an appeal, complaint, or grievance will provide those forms once contacted by an individual who wishes to file a formal appeal, complaint, or grievance.

10. Violations

It is essential that all members of the University community—faculty, students, and staff—uphold their rights and responsibilities through an atmosphere of mutual respect. Any violation of these rights and responsibilities or failure to meet responsibilities in resolving a formal appeal, complaint, or grievance will be handled according to its applicable governing policy, regulation, or law.

11. Review Schedule

The Complaint Resolution Policy will be reviewed annually by the Office of Institutional Accreditation.
Action Log [for Policy Process Council action]

<table>
<thead>
<tr>
<th>Date</th>
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<tbody>
<tr>
<td>April 4, 2014</td>
<td>Sent to Distance Learning Center, EEO Office, VP for Diversity and Inclusion, and Ombuds for review.</td>
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KSU Governance Body

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President’s Cabinet

<table>
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<tr>
<th>Date</th>
<th>Approval Date</th>
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Presidential Approval

<table>
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<tr>
<th>Date</th>
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† SGA review and comment if students are included in the policy scope statement.
Policy Title: Tobacco and Smoke-Free Policy

Issue Date: January 1, 2006
Effective Date: October 1, 2014
Last Updated: August 11, 2014
Responsible Office: Office of the President

Contact Information:
For employees:
Human Resources
Phone: (770) 423-6030
Email: hr@kennesaw.edu

For students:
Office of the Vice President for Student Success
Phone: (770) 423-6310
Email: deanofstudents@kennesaw.edu

1. Policy Purpose Statement

The purpose of this policy is to create a tobacco and smoke-free campus at Kennesaw State University (KSU or the University); establish the KSU Tobacco Free and Smoke-Free Committee (the Committee); and designate responsibility to the Committee for developing, implementing, and overseeing tobacco and smoke-free policy, procedures, best practices, and activities for the University.

2. Background

Kennesaw State University (KSU or the University) is dedicated to maintaining a healthy working and learning environment for employees, students, and visitors. The former KSU Smoking Policy has been updated to align with the Board of Regents (BOR) of the University System of Georgia (USG) Tobacco and Smoke-Free Campus Policy, which takes affect October 1, 2014. The BOR policy is consistent with the state of Georgia’s Smoke Free Air Act of 2005, Title 31 Chapter 12A.

The BOR policy designates responsibility to the President of each institution to define any exceptions to the BOR policy. Further, the BOR policy designates overall enforcement and authority of the policy to the President of each institution; with the emphasis that enforcement is also a shared community responsibility that should involve all students, faculty and staff to help keep the campus tobacco-free.

3. Scope (Who is Affected)

For Shared Governance Review, August 11, 2014
This policy affects all KSU employees, students, visitors, and third parties.

4. Exclusions or Exceptions

There are no exclusions or exceptions to this policy.

5. Definitions and Acronyms

Tobacco products: cigarettes, cigars, pipes, all forms of smokeless tobacco, clove cigarettes and any other smoking devices that use tobacco such as hookahs or simulate the use of tobacco such as electronic cigarettes.

University property: all land and improvements owned, occupied, leased, or controlled by the University or the University System of Georgia. This includes, but is not limited to, buildings, offices, meeting rooms, residence halls (including private rooms), parking garages, parking lots, athletic fields, and stadium seating areas.

Visitors and third parties: contractors and subcontractor, spectators, and other individuals visiting, working, or attending activities and events on University property.

6. Policy

KSU prohibits the use of tobacco products on any University property. The use of tobacco products is prohibited in all vehicles—private or public—located on University property. Further, this policy prohibits any advertising, sale, or free sampling of tobacco products on University property unless specifically stated for research purposes.

The University President hereby establishes and designates responsibility to KSU Tobacco and Smoke-Free Committee (the Committee) for developing, implementing, and overseeing tobacco and smoke-free policy, procedures, best practices, and activities for the University. The University President designates the Associate Vice President for Operations as the Committee Chair, responsible for leading the Committee activities and identifying Committee members to include representation from faculty, staff, and students.

Procedures

KSU procedures related to this policy are managed by the Committee and various departments with related procedures and functional responsibilities. In addition to Human Resources and the Office of the Vice President for Student Success (see Contact Information above), the departments listed below also have functional responsibilities and maintain procedures related to this policy. All procedures and contact information are maintained on the KSU Tobacco Free website (see link provided below under Section 8, Associated Procedures).

For Shared Governance Review, August 11, 2014
7. Associated Policies/Regulations

a. BOR Policy Manual 9.1.7. Tobacco and Smoke-Free Campus Policy
b. Georgia Smoke Free Air Act of 2005, Title 31 Chapter 12A
c. KSU Employee Handbook
d. KSU Faculty Handbook
e. KSU Student Code of Conduct
f. KSU Study Abroad Faculty Handbook
g. KSU WellStar School of Nursing Faculty Handbook

8. Procedures associated with this policy

a. KSU Tobacco Free website
b. USG Tobacco Free website

9. Forms associated with this policy

None.

10. Violations

Violation of this policy may result in corrective action under the Student Code of Conduct or campus human resource policies. Visitors refusing to comply may be asked to leave campus.
11. Review Schedule

This policy is reviewed annually by The Office of the Vice President for Operations or a designee, Human Resources, and Office of the Vice President for Student Success.

Action Log [for Policy Process Council]

<table>
<thead>
<tr>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>March 25, 2014</td>
<td>The Board of Regents approved implementation of a Tobacco- and Smoke-Free Policy for all USG institutions and properties to be effective October 1, 2014.</td>
</tr>
<tr>
<td>April 8, 2014</td>
<td>Dr. Papp tasked the director of Institutional Effectiveness and KSU Policy Process Council to draft a proposed policy.</td>
</tr>
<tr>
<td>August 5, 2014</td>
<td>Per President Papp’s request, Ms. Maria Britt presented BOR requirement and proposed communication plan for KSU implementation to the President’s Cabinet.</td>
</tr>
<tr>
<td>August and September 2014</td>
<td>Proposed revised policy sent to the KSU University Council for information on BOR requirement and a request that this to be an information item at each of the meetings of each shared governance body in August and September 2014 so that we may implement as required by October 1, 2014.</td>
</tr>
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</table>

Responsible Office - Required Review and Approval Actions – as of September 9, 2014

<table>
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<tr>
<th>President Sign Off</th>
<th>Proposed revised policy provided as an initial view. Dr. Papp said to proceed with shared governance review.</th>
<th>August 5, 2014</th>
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† SGA review and comment if students are included in the policy scope statement.

For Shared Governance Review, August 11, 2014
KSU a Smoke/Tobacco-Free University

www.kennesaw.edu/smokefree/

Effective
Wednesday
October 1, 2014
Today’s Agenda

• Executive Sponsors
• Committee Purpose
• Committee Members
• KSU Smoke/Tobacco-Free Goals
• KSU Policy Draft Update (Discussion/Feedback)
• Policy Enforcement Approach
• Campus Education and Outreach Activities
KSU Smoke/Tobacco-Free
Executive Sponsors

Dr. Daniel Papp, KSU President and Professor of Political Science and International Affairs

Dr. Ken Harmon, KSU Provost and VP for Academic Affairs and Professor of Accounting

Dr. Randy Hinds, KSU VP for Operations and CIO and CBO and Professor of Computer Science and Information Systems
KSU Smoke/Tobacco-Free Committee Purpose

• Develop the plan
• Implement the policy
• Establish KSU as a Smoke/Tobacco-Free University by October 1, 2014
Goals to a Smoke/Tobacco-Free University

• Provide communications
• Sponsor community programs/events
• Remove existing smoking facilities/signage
• Install new signage
• Implement policy
• Execute enforcement procedures
• Conduct post-assessment and refine enforcement procedures if necessary
KSU Policy Draft Update

• The President’s Cabinet has reviewed the policy update.
• Committee members are presenting to KSU governance bodies for communications and feedback in August and/or September.
• The draft policy is an update to existing KSU Smoking Policy that includes:
  – Alignment with and references to the new Board of Regents University System of Georgia Tobacco and Smoke-Free Policy.
  – Dual organizational contacts (Human Resources for employees and Division of Student Success for students).
  – Additional department contacts to include Department of Public Safety, Environmental Health and Safety, and Center for Young Adult Addiction and Recovery (CYAAR).
  – Establishment of the Committee, designation of Committee leadership, and designation of responsibilities for developing, implementing and overseeing KSU Smoke/Tobacco-Free Policy, procedures, best practices, and activities for the University.
• Are there any questions or feedback regarding draft of the policy update?
Policy Enforcement Approach

- This is policy and requires compliance.
- Emphasis is on health!
- President’s Cabinet has approved a phased enforcement approach to the policy.
- This approach permits time for campus communication and enforcement with a SMILE to encourage a climate of acceptance within the campus community.
What is Enforcement with a SMILE?

- Building a Smoke/Tobacco-Free University requires KSU community participation.
- Enforcement is important, however all individuals on campus should be treated with respect.
- If someone violates the KSU Smoke/Tobacco-Free Policy, you are welcome to inform him/her of our policy.
- Try the **SMILE** approach:
  - Smile and be friendly when approaching someone on campus smoking or using a tobacco product.
  - Make the assumption that the person does not know about our policy.
  - Inform the person about our policy and resources available on campus for quitting tobacco (to be provided on our website [http://www.kennesaw.edu/smokefree/](http://www.kennesaw.edu/smokefree/)).
  - Let them know about the policy again.
  - Enforce by asking them to respect our policy and stop smoking or using tobacco on our campus.
“Soft” and Phased Enforcement

- Phase I: Implement Communications and Kick-off Activities: 08/14/2014-09/30/2014
  - Enforcement with a SMILE and no violation letters or tracking
- Phase II: Implement Communications and Cessation Activities: 10/01/2014-01/05/2015
  - Enforcement with a SMILE and no violation letters or tracking
- Phase III: Implement Full Enforcement of Violation and Enforcement Procedures: Effective 01/06/2015
  - Enforcement with a SMILE for visitors, employees, and students continues
  - Online tool for public and internal (employee/student) reporting
  - Violation tracking of employees and students begins
  - Violation letters to employees and/or students begins
- Future procedures are currently being developed by the Committee and will be posted on KSU Smoke/Tobacco-Free website on/or before October 1, 2014
Campus Education, Outreach and Cessation Activities

• Planning for employee and student activities is underway and events began in August and will continue throughout the semester!
• Information about the policy change provided during student/parent orientations.
• Additional printed, digital signage and KSU inform message communications will notify students and employees.
• Check the website http://www.kennesaw.edu/smokefree/ frequently, where activities and other information will be posted.
KSU a Smoke/Tobacco-Free University!

100% Smoke-Free Campuses

May-05 to Now