

## **Policy Library Working Group Recommendations 5**

In the Policy Library webpage, the policies are grouped by subject area (although this entails some repetition, the same policy sometimes being listed under more than one sub-heading). However, for convenience we follow here the subject areas adopted in the Policy Library.

Within these categories, the policies are listed in alphabetical order. We refer to the content of policies posted on the webpage as of 19 March 2017.

The Working Group respectfully submits its recommendations to the University Senate as follows.

## Information Access & Technology Policies

The Senate should accept the following policies as they stand:

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### Information Access

- [Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff](#)
- [Confidentiality Agreement for Use of Alumni Information System](#)
- [Content Management System Policy](#)
- [Data Classification and Handling Policy](#)
- [Data Classification and Handling Procedures Guide](#)
- [Guest Access to Wireless Network](#)
- [Information Access Control Policy](#)
- [Internal Audit Charter](#)
- [Investigative Contact by Law Enforcement, Policy and Procedures](#)
- [KU Alumni Association E-mail Policy](#)
- [KU Card Center - Obtaining the KU Card](#)
- [KU Card Center - Request for Release of Photo](#)
- [KU Card Center - Terms and Conditions of the KU Card](#)
- [KU Libraries: Access, Circulation, and Request Services - Requirements for KU Students, Faculty, Staff, and Affiliates on the Lawrence and Edwards Campuses](#)
- [KU Libraries: Access, Circulation, and Request Services - Requirements for Other \(non-KU\) Library Users](#)
- [KU Libraries: Access, Circulation, and Request Services for KU Faculty, Staff, and Affiliates](#)
- [KU Libraries: Access, Circulation, and Request Services for KU Graduate Students](#)
- [KU Libraries: Access, Circulation, and Request Services for KU Medical Center Students, Faculty, and Staff in Lawrence Campus Libraries](#)
- [KU Libraries: Access, Circulation, and Request Services for KU Undergraduate and Law Students](#)
- [KU Libraries: Access, Circulation, and Request Services for Reciprocal \(non-KU\) Library Users](#)
- [KU Libraries: Access, Circulation, and Request Services for Resident \(non-KU\) Library Users](#)
- [KU Libraries: Access, Circulation, and Request Services for Students, Faculty, and Staff of Haskell Indian Nations University](#)
- [KU Libraries: Code of Conduct for Library Users](#)
- [KU Libraries: Off-campus Access to Licensed Electronic Resources](#)
- [Maintenance of Alumni Records](#)
- [Missing Residential Student Policy and Procedure: Vice Provost for Student Affairs](#)
- [Records Retention Schedule](#)
- [Requests for Alumni Records](#)

- Safety and Security of Funds
- Strategic Technology Council (STC)
- Student Record Policy Primary Records Custodians
- Student Records Policy: Office of the University Registrar
- Systems Development Life Cycle (SDLC) Policy
- Systems Development Life Cycle (SDLC) Standard
- Undergraduate Admission Records Retention Policy: Office of Admissions and Scholarships
- Virtual Private Network (VPN) Remote Access Procedure
- Virtual Private Network (VPN) Service on the University of Kansas Data Network

### **Information Technology**

- Acceptable Use of Educational Technologies: Guidelines for Faculty and Staff
- Content Management System Policy
- Data Center and Server Room Policy
- Data Center and Server Room Standards
- Internet-Based Credit Card Processing Policy
- Mobile Communication & Information Devices
- Network Policy
- Server Registration & Centralization
- Strategic Technology Council (STC)
- Telecommunications Physical Infrastructure
- Telecommunications Wiring Policy
- Unauthorized Peer-to-Peer File Sharing
- Visual Identity (Web Standards) Manual for the University of Kansas
- Wireless Local Area Network (LAN) Systems Policy

### **The following policies deserve consideration by the Senate:**

#### [Blackboard, Policies and Procedures Related to Use of, University of Kansas](#)

Rationale: the policy defines the online version as definitive. This should be modified to embody the Senate's recent determination that the hard copies of all policies, regularly deposited in the University Archives, are definitive.

#### [Open Access Policy for University of Kansas Scholarship](#)

Rationale: the policy claims that KU owns the copyright in all Faculty publications. This copyright may or may not have been granted to KU by individual Faculty members.

#### [Acceptable Use of Electronic Information Resources](#)

##### [Electronic Mail Policy](#)

Rationale: the Senate should consider the question of the privacy of email communications.

The Senate should accept the following policies as they stand:

## Personnel: Affiliates/Volunteers Policies

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### Benefits

- [Employee Eligibility Requirements for the Affordable Care Act \(ACA\)](#)
- [Independent Contractor vs. KU Employee](#)
- [Workers' Compensation](#)

### Childcare

- [Hilltop Child Development Center Handbook](#)

### Compensation

- [Additional Payment for Employees](#)
- [Affiliates & Volunteers](#)
- [Employee Payments](#)
- [Independent Contractor vs. KU Employee](#)
- [Moving Expenses](#)
- [Retroactive Funding Adjustment Procedures](#)
- [Workers' Compensation](#)

### Conflicts of Interest

- [Consenting Relationships Brochure](#)
- [Consenting Relationships, University of Kansas Policy on](#)
- [Institutional Conflict of Interest Policy](#)
- [Inventor Conflict of Interest Policy, Management of](#)
- [Political Activity](#)

### Departure

- [Financial Exigency \(USRR 7.0\)](#)
- [KU Card Center - Refunds](#)

### Grievance & Appeals

- [Complaint and Response - Judicial Board Appeal \(USRR 6.7.1\)](#)
- [Complaint and Response - Unit Level \(USRR 6.3.1\)](#)
- [Grievance Procedure for Graduate Studies](#)
- [Grievance Procedure for Research and Graduate Studies](#)
- [Grievance Procedure for the Office of the Provost](#)

- [Grievance Procedures, Office of the Vice Provost for Student Affairs](#)
- [Grounds for Appeal \(USRR 6.7.3\)](#)
- [Judicial Board \(USRR 5.3\)](#)
- [Judicial Board Hearing Procedures \(USRR 6.6.4\)](#)
- [Judicial Recommendations \(CODE 12.1\)](#)
- [Jurisdiction \(USRR 6.4.1\)](#)

## **Hiring**

- [Affiliates & Volunteers](#)
- [Independent Contractor vs. KU Employee](#)
- [KU Card Center - Obtaining the KU Card](#)
- [KU Card Center - Request for Release of Photo](#)
- [KU Card Center - Terms and Conditions of the KU Card](#)
- [Moving Expenses](#)
- [Retiree Rehire Policy](#)

## **Recruitment**

- [Accommodations](#)
- [Moving Expenses](#)
- [Workplace Accommodation Procedures](#)

## **Workplace Rules & Guidelines**

- [Academic, Professional and Scholarly Misconduct, School of Pharmacy](#)
- [Affiliates & Volunteers](#)
- [Alcohol & Drug Policy, University of Kansas](#)
- [Alcoholic Beverage and Reimbursement Pre-Approval Request Form](#)
- [Campus Community Emergency Response Team \(C-CERT\) Membership and Service](#)
- [Children in the Workplace](#)
- [Consenting Relationships Brochure](#)
- [Consenting Relationships, University of Kansas Policy on](#)
- [Crime Reporting](#)
- [Diversity & Inclusion, KU Statement on](#)
- [Fraud and Theft Prevention Policy](#)
- [Independent Contractor vs. KU Employee](#)
- [Intellectual Property Policy for the Lawrence Campus](#)
- [KU Edwards Inclement Weather & Class Cancellations](#)
- [Membership Policy: KU Recreation Services](#)
- [Mobile Communication & Information Devices](#)
- [Nondiscrimination, Equal Opportunity, and Affirmative Action](#)
- [Postdoctoral Researcher Employment](#)
- [Racial & Ethnic Harassment](#)
- [Racial and Ethnic Discrimination and Harassment Brochure](#)

- [Reimbursement of Entertainment Expenses](#)
- [Sexual Harassment](#)
- [Sexual Harassment and Sexual Violence](#)
- [Smoking](#)
- [Tobacco Products, Policy on Sale of \(All-University\)](#)
- [University of Kansas Compliance with Federal Lobbying Laws](#)
- [Visual Identity \(Web Standards\) Manual for the University of Kansas](#)
- [Weapons Approval Request Form](#)
- [Weapons on Campus \(Possession, Carry or Use\)](#)
- [Whistleblower Policy: Reporting Suspected Wrongdoing and Protection from Retaliation](#)
- [Winter Weather Policies and Procedures](#)
- [Workers' Compensation](#)
- [Workplace Violence Policy](#)

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**The following policies deserve consideration by the Senate:**

**Policies needing Minor Corrections/ Having Minor Comments:**

Suggest combining the following policy links:

- [Faculty, Staff and Retirees Men's Basketball Season Ticket Policy](#)
- [Faculty, Staff, Retirees Memorandum of Agreement for Men's Basketball Seating](#)

The following policy does not stipulate a particular consequence for faculty, staff, or students. This ambiguity may leave room nonstandard penalties for near equal offenses.

- [Discrimination Complaint Resolution Process](#)

**The following policies deserve consideration by the Senate:**

The following changes of wording are proposed in two policies.

Rationale: to give expression to the established principle of shared governance.

**University Policy Program**

*[New wording in italics.]*

**PURPOSE:**

~~To align operations and set expectations across the institution regarding the development and promulgation of policies.~~

*To provide a reliable online repository of shared governance documents, dated hard copies of which are also to be deposited in the University Archives at the beginning of each Fall Semester, such hard copies to be the copies of record.*

**APPLIES TO:**

All units that develop and promulgate policy at the University of Kansas.

**CAMPUS:**

Lawrence

Edwards

Parsons

Juniper Gardens

Yoder

Topeka

**CONTENTS:**

Criteria for Establishment of Policy

University-wide Policies

Campus-wide Policies

Unit-specific Policies

Policy ~~Hierarchy~~ *Compatibility*

Responsibilities

## **POLICY STATEMENT:**

~~It is anticipated and encouraged that all policies ultimately reside in the policy library.~~

*The Senate and the Chancellor shall together decide which policies reside in the online Policy Library. A complete list of such policies shall be displayed on the Policy Library webpage.*

### **Criteria for Establishment of a Policy**

*Policies must be approved by both the Chancellor and the University Senate in order to be valid.*

*The University Senate may initiate the development or amendment of a policy.*

Units may initiate the development of policies when warranted in order to (a) implement Board of Regents policy; (b) achieve compliance with *Federal or State* laws, rules, or regulations; or (c) ~~appropriately address institutional interests and promote efficiency and effectiveness.~~ *when units deems it appropriate.*

Campuses, schools, academic departments and programs, and non-academic units may ~~develop~~ *propose* policies to govern their operations in response to their unique needs ~~so long as they do not conflict with policies of superordinate bodies. Units may not develop policies that are inconsistent with, or less restrictive than, policies of a superordinate body.~~

Campus-specific or unit-specific policies may be developed and ~~adopted~~ *proposed* whether or not a superordinate policy exists, except where a Board of Regents or University-wide policy specifically prohibits units from establishing policies that differ from the corresponding superordinate policy.

### **University-wide Policies**

University-wide policies mandate or prohibit specific actions of faculty, staff, and/or students, as well as the actions of affiliated corporations or individuals who visit campus or otherwise use university resources or services.

The Chancellor *and the Senate* have final authority to establish university-wide policies. University-wide policies apply to all campuses and locations that report to campuses in the KU system.

### **Campus-specific Policies**

Campus-specific policies mandate or prohibit specific actions of faculty, staff, and/or students on a specific campus, as well as the actions of affiliated corporations or individuals who visit that campus or otherwise use its resources or services.



The appropriate provost or executive vice chancellor, or designee, ~~has final authority to may establish campus-specific policies by agreement with the Senate. Depending on the nature of the policy, the chancellor's approval may be sought.~~

### **Unit-specific Policies**

Unit-specific policies mandate or prohibit specific actions by members of the unit including faculty, staff, and/or students.

~~The appropriate provost or executive vice chancellor, dean, or designee, has final authority to establish unit-specific policies. Depending on the nature of the policy, approval from higher levels may be sought.~~

### **Policy ~~Hierarchy~~ Compatibility**

~~Policies of subordinate bodies must not be inconsistent with, or less restrictive than, the policies developed by higher bodies.~~

The Board of Regents promulgates administrative regulations and sets umbrella policies and procedures that apply to all schools within their system. The Board's regulations are found in the [Kansas Administrative Regulations](#) and the Board's policies are made available via the [Board of Regents Policy Manual](#).

### **Responsibilities**

~~Primary~~ policy contacts must consult with representatives from ~~target audiences~~ *the Senate* during the development phase of both new and significantly revised policies.

~~Primary~~ policy contacts are responsible for all activities and communications relevant during the implementation of a new or substantially revised policy. ~~Primary~~ policy contacts must periodically review and monitor their policies and procedures for accuracy, efficiency, and effectiveness. ~~Primary~~ policy contacts are responsible for communicating with relevant ~~stakeholders~~ *Governance bodies* when policies are created, revised, or retired; ~~they are also responsible for policy interpretation, with support from appropriate stakeholders and functional experts.~~ Primary policy contacts must also ensure that all monitoring, enforcement, and compliance activities are appropriate for the level of risk managed.

The subject matter expertise of the Policy Office is on the policy program at KU. Thus, it is not appropriate for the Policy Office to be ~~the primary policy contact for policies outside of those that are necessary for the establishment and operations of~~ *responsible for the content of the policy program.*

The Policy Office consults with the responsible unit (~~primary~~ policy contact) during the process of policy development and shepherds policies through the approval process ~~by the Senate and Chancellor. The Policy Office ensures that the final approver of the policy is aware of its development and, when appropriate, seeks advice from the Office of the General Counsel.~~ The Policy Office is available to assist units in determining ~~the appropriate stakeholder groups and contacts~~ who should be consulted during the creation

or revision process (click the following to view the [policy development and approval process](#) for the Lawrence campus and all reporting units).

The Policy Office is responsible for maintenance and oversight of the *online Policy Library*, ~~the university's official repository for policy~~ and for the deposit of dated hard copies of policies in the University Archives at the beginning of each Fall semester. The Policy Office shall draw to the attention of the Senate proposed policies that have not received the Senate's approval.

**CONTACT:**

Policy Office  
[policy@ku.edu](mailto:policy@ku.edu)  
 785-864-9600

**APPROVED BY:**

Chancellor; *the Senate*

**APPROVED ON:**

~~Tuesday, July 1, 2014~~ *[Date of the agreement by both Chancellor and Senate]*

**EFFECTIVE ON:**

~~Tuesday, July 1, 2014~~ *[Date to be determined]*

**REVIEW CYCLE:**

Annual (As Needed)

**RELATED STATUTES, REGULATIONS, AND/OR POLICIES:**

[Kansas Administrative Regulations](#)  
[Regents Policy Manual](#)

**RELATED PROCEDURES:**

[Policy Development](#)

**RELATED FORMS:**

[Policy Template](#)

**RELATED OTHER:**

[Policy Library](#)

**DEFINITIONS:**

**Administrative regulation:** Implements and supplements federal or state laws and has precedence over policies, guidelines, and procedures.

**Policy:** Mandates what one must do or what one is prohibited from doing.

**Guidelines:** Outlines best practices that individuals are encouraged to comply with, also an index-type document that outlines other policies or laws in place for a particular

topic/issue.

**Procedures:** Operational processes ~~necessary~~ *agreed on by the Senate and the Chancellor* to implement institutional policy or carry out specific institutional functions, provide details of who performs specific steps, when and how they should be performed.

**Unit-specific policy:** A policy developed by a university unit for members of that unit.

**Campus-specific:** A policy developed by a university unit that applies to members beyond the unit.

**Primary Policy Contact:** The unit with primary ~~subject matter~~ responsibility for ~~interpretation, review, and compliance with~~ *implementing and proposing revisions* to the policy.

### **KEYWORDS:**

policy, development, approval, ~~hierarchy~~

### **REVIEW, APPROVAL & CHANGE HISTORY:**

~~10/03/2016: Relocated/updated clarification of terms to definitions section and modified formatting.~~

~~08/26/2015: Corrected typos in final paragraph of policy statement.~~

~~04/03/2015: Fixed broken link to Board of Regents Policy Manual.~~

~~12/17/2014: Updated link to Board of Regents Policy Manual.~~

~~11/24/2014: Updated link to Board of Regents Policy Manual.~~

~~Prior to the Chancellor granting final approval to this policy, it was reviewed and endorsed by the Office of Institutional Compliance, the Office of the General Counsel, Vice Provosts and Vice Chancellors on the KU Lawrence and KUMC campuses, and the Executive Vice Chancellors on both campuses~~

*Approved by the Senate on [date] and by the Chancellor on [date]*

## Process for Developing a University Policy

[*New wording in italics.*]

### **PURPOSE:**

*To outline the procedure for formulating a policy and securing its approval.*

### **APPLIES TO:**

*All units that develop and promulgate policy at the University of Kansas.*

### **CAMPUS:**

*Lawrence*

*Edwards*

*Parsons*

*Juniper Gardens*

*Yoder*

*Topeka*

## **Step 1: Development**

### **Policy ~~Owner~~ Contact:**

- a. ~~Provides~~ *Coordinates with those who have subject matter expertise in researching need for the policy, identifies to identify issues and solutions.*
- b. *Drafts policy language.*
- c. ~~Coordinates with stakeholders and functional experts~~ *interested parties* for policy draft review.
- d. Works with ~~Policy Office to Governance~~ *determine if Governance review is appropriate to secure the agreement of the Senate.*

### **Policy Office:**

- e. Serves as consultant to Policy ~~Owner~~ *Contact* for all Step 1 functions.

## **Step 2: Review**

### **Policy ~~Owner~~ Contact:**

- a. Works with Policy Office to coordinate comment period.

- b. Makes edits to draft policy in response to comments.

**Policy Office:**

- c. Seeks input from General Counsel.
- d. Alerts appropriate executive sponsors of policy development.

**Step 3: Approval**

**Policy Office:**

- a. Submits final draft to *Senate*, provost, chancellor, or appropriate vice provost or vice chancellor.
- b. Receives policy approval *by Senate and Chancellor*.
- c. Communicates policy approval to Policy ~~Owner~~ *Contact*.

**Policy ~~Owner~~ Contact:**

- d. Uploads policy to *the online Policy Library, and at the beginning of each Fall semester deposits a dated hard copy of the text of new policies, or amended policies, in the University Archives, these hard copies to be the copies of record*.
- e. Announces policy, educates community, and encourages feedback.
- f. Reviews policy as appropriate.

This process map is intended to assist units ~~who~~ *that* generate policy applicable to faculty, staff, students, and visitors to campus in understanding the process and responsibility for policy-making at KU. ~~Specific policies may require adjustment of this process to ensure adequate review by stakeholders.~~

~~Appropriate review and approval groups will likely be unique for each policy. Those groups will be determined based on the campus to which the policy will apply and the nature of the policy. The approval of the Chancellor and the Senate is required for each policy to be in effect.~~ The Policy Office is available to assist units developing and revising policy to determine the appropriate groups and contacts.

For policies that will apply University - wide or that will apply to KU - Lawrence and reporting units (Edwards, Juniper Gardens, Parsons, Topeka, Yoder), contact the Policy Office at 785 - 864 - 9600.

For policies that will apply to KUMC and reporting units (Wichita and Salina), please contact the appropriate units on that campus.

**CONTACT:**

*Policy Office; University Governance*

*REVIEW, APPROVAL & CHANGE HISTORY:*

*Approved by Senate on [date] and by the Chancellor on [date]*