



POLICY TITLE:

Policy on Policies, Regulations, and Procedures

APPLIES TO:

Regents, Faculty, Staff, and Students

ADMINISTRATIVE AUTHORITY:

Kentucky State University Board of Regents

Office of the President

Office of General Counsel

APPROVED BY:

Kentucky State University Board of Regents

EFFECTIVE DATE:

August 8, 2025

NEXT REVIEW DATE:

August 8, 2028

POLICY STATEMENT:

Pursuant to KRS 164.350(2), each university's governing board has the power and duty to "adopt bylaws, rules, and regulations for the governance" of its institution. Similarly, Article II, Section 2(I) of the Kentucky State University Board of Regents' Bylaws ("The Gold Book") states that "[the Board of Regents acts] as a policymaking body by approving the University's policies of governance and operations."

As such, the Kentucky State University Board of Regents ("Board" or "Board of Regents") has declared that Kentucky State University (KSU) shall be governed by a structured hierarchy of Board-approved policies, President-approved regulations, and President-approved procedures. By way of this policy, the Board hereby establishes the official process for the development, approval, and management of all KSU governing documents. The Board retains full authority over the approval of policies and delegates to the President the authority to approve regulations and procedures, as well as policies on an interim basis.

DEFINITIONS:

Interim Policy

A provisional policy issued by the President when a directive is needed before the standard policy creation process can be completed due to exigent circumstances.

Interim Regulation

A provisional regulation issued by the President when a directive is needed before the standard regulation creation process can be completed due to exigent circumstances.

Non-Substantive Revision

A revision that does not have a material effect on employees, students, or KSU operations, or a revision that is necessary for a governing document to comply with duly approved amendments to other governing documents. Examples include corrections of grammar or spelling; technical revisions; updated names of employees, divisions, departments, or offices; or re-organized sections.

Policy

The highest level of governing document at KSU. A policy is approved by the Board of Regents and establishes principles, rules, or guidelines essential for KSU's mission, strategic direction, fiduciary duties, compliance with legal or accreditation requirements, or broader institutional governance.

Policy Committee

The committee tasked with facilitating the development, accessibility, and revision of policies and regulations. The President appoints Committee members as needed. The Committee's membership must provide representation for faculty and staff from all of KSU's major units.

President's Cabinet

The executive body of KSU's governance system and the advisory body to the President.

Procedure

A detailed, step-by-step directive for implementing a policy or regulation. Procedures are tactical documents that prescribe specific, sequential actions to be followed in the performance of KSU business. Procedures typically apply to specific units or areas and are approved by the President upon the recommendation of the appropriate sponsoring administrator.

Regulation

A substantive, institution-wide directive approved by the President that implements a policy or addresses significant institution-wide matters. A regulation provides the operational framework for major KSU functions and mandates specific actions or constraints necessary for compliance with Board-approved policies.

Sponsoring Administrator

A member of the President's Cabinet who sponsors a governing document.

Substantive Revision

A revision that has a material effect on employees, students, or KSU operations.

PROCESS:

Application

This Policy on Policies, Regulations, and Procedures applies to all such governing documents. However, portions of this policy do not apply to the Faculty Senate Constitution, the Student Government Association (SGA) Constitution, the Staff Senate Constitution, the Faculty Handbook (and policies within its scope), policies governing only the Board of Regents, or policies explicitly required by state or federal law. While the aforementioned documents are not subject to the same creation and approval procedures for most policies and regulations, as outlined in this document, they may not conflict with The Gold Book, policies, or regulations.

Per The Gold Book, the Board of Regents shall not withhold approval of the constitutions and bylaws of KSU's senate bodies unless they conflict with existing policies and regulations.

The Faculty Handbook, and policies and regulations falling within its scope, must be reviewed by the Faculty Senate before submission to the Board of Regents. Other academic policies and regulations do not require Faculty Senate review but should be reviewed by the Faculty Senate before submission to the Board of Regents whenever feasible.

Specific processes for each of the above documents are provided below.

Faculty Senate Constitution

The Faculty Senate is charged with drafting or amending the Faculty Senate Constitution and voting to approve it or amendments to it. Once approved by the Faculty Senate, the Faculty Senate Constitution or amendments to it shall be submitted to the Office of General Counsel for conflicts review. If the document does not conflict with existing policies or regulations, it shall be submitted to the Board of Regents for review and approval.

If a conflict exists, the Faculty Senate shall revise the document so that it complies with existing policies and regulations. Following such revisions, the document shall be submitted to the Board of Regents for review and approval. The same process applies for Faculty Senate bylaws.

Staff Senate Constitution

The Staff Senate is charged with drafting or amending the Staff Senate Constitution and voting to approve it or amendments to it. Once approved by the Staff Senate, the Staff Senate Constitution or amendments to it shall be submitted to the Office of General Counsel for conflicts review. If the document does not conflict with existing policies or regulations, it shall be submitted to the Board of Regents for review and approval.

If a conflict exists, the Staff Senate shall revise the document so that it complies with existing policies and regulations. Following such revisions, the document shall be submitted to the Board of Regents for review and approval. The same process applies for Staff Senate bylaws.

SGA Constitution

The SGA is charged with drafting or amending the SGA Constitution and voting to approve it or amendments to it. Once approved by the SGA, the SGA Constitution or amendments to it shall be submitted to the Office of

General Counsel for conflicts review. If the document does not conflict with existing policies or regulations, it shall be submitted to the Board of Regents for review and approval.

If a conflict exists, the SGA shall revise the document so that it complies with existing policies and regulations. Following such revisions, the document shall be submitted to the Board of Regents for review and approval. The same process applies for SGA bylaws.

Faculty Handbook

The Provost and Vice President of Academic & Student Affairs (“Provost”) is charged with drafting and recommending changes to the Faculty Handbook. The Provost, in consultation with the Faculty Senate President, shall draft new policies or amend existing ones. The Provost and Faculty Senate shall submit the proposed policies or amendments to the Faculty Senate for its review. The Faculty Senate may vote to endorse the proposed policies or amendments, or may instead provide proposed edits. The proposed edits, and the reasons for them, must be detailed in writing. The Provost may incorporate or decline the Faculty Senate’s proposed edits. If the Provost declines to include the proposed edits, he or she must draft a detailed memorandum that articulates the reasons for not incorporating the edits, which must be shared with the Faculty Senate. Following the Faculty Senate’s review, the Provost may recommend the approval of the proposed policies or amendments to the President.

If the Faculty Senate chose not to endorse the proposal, the Provost shall share both the Faculty Senate’s edits and his or her own memorandum with the President. After the President’s review, the proposed policies or amendments must be submitted to the Board of Regents for final approval. If the Faculty Senate chose not to endorse the proposal and the President decided not to incorporate the Faculty Senate’s proposed edits, the President shall submit the Faculty Senate’s proposed edits and the Provost’s memorandum to the Board of Regents for its review. The Board may approve the policies as presented or instruct the President to incorporate the Faculty Senate’s proposed edits and re-submit the policies for approval.

Board-Only Policies and Policies Required by Law

For policies applying only to the Board of Regents (e.g., Board Training Policy) or policies that must be approved by the Board pursuant to federal or state law (e.g., Student Code of Conduct required by KRS 164.370), only members of the Board of Regents or the General Counsel may draft proposed policies or amendments for the Board’s review. Once drafted, these policies or amendments shall be submitted directly to the Board of Regents for review and approval.

Templates

All policies and regulations must adhere to KSU’s official templates, which can be accessed from KSU’s policies webpage or by contacting the Office of General Counsel. Certain documents, such as bylaws, handbooks, and standard operating procedures (SOPs), do not need to adhere to the templates. Questions regarding the application of a template should be directed to the Office of General Counsel.

Creation and Approval

Each proposed policy, regulation, or procedure must be sponsored by a member of the President’s Cabinet. The sponsoring administrator, or his or her designee, is responsible for drafting the proposed document and circulating it throughout his or her respective unit for feedback. This process should include a consultation with personnel whose perspectives are relevant to the proposed document’s substance and to the constituencies the document will affect. This engagement process should be interactive and iterative.

For academic matters, the sponsoring cabinet member must be the Provost. Proposed academic policies or regulations, or amendments to them, should be circulated to the Faculty Senate whenever appropriate.

Process for Policies and Regulations

Proposed policies, regulations, and substantive revisions that have completed the initial review process shall then be submitted to the Policy Committee for its review. The Committee will work with the sponsoring administrator to confirm the need for the new document or substantive revisions, and to confirm the appropriate categorization. Once reviewed and approved by the Committee, the proposed policy, regulation, or substantive revisions shall be submitted to the General Counsel for legal and conflicts review.

If the Faculty Senate disagrees with aspects of a proposed academic policy, regulation, or substantive revision, the Provost must send the Faculty Senate's comments to the Committee for review and discussion. The Provost and the Committee shall then determine whether to incorporate the Faculty Senate's suggestions or leave the proposed policy, regulation, or substantive revision unchanged. If the Provost and the Committee decide to submit the policy, regulation, or substantive revision for approval without incorporating the Faculty Senate's suggestions, the Provost shall tender to the General Counsel and the President the Faculty Senate's suggestions and a detailed memorandum articulating compelling reasons for not incorporating the Faculty Senate's suggestions.

If a proposed policy, regulation, or substantive revision passes the legal and conflicts review, it shall be forwarded to the President for review.

For a regulation, the President may approve the regulation or regulation revision, thereby making it immediately effective. For a policy, the President may submit the proposed policy or policy revision to the Board of Regents for its final approval.

If the President has concerns about a particular policy, regulation, or substantive revision, he or she may share the proposal with the President's Cabinet for advisement or input, share the proposal with other stakeholders for feedback, or make edits to the proposal. If the President chooses to edit the proposal, he or she must submit the edited document to the Policy Committee, which restarts the approval process. The President may not unreasonably withhold his or her approval of a regulation, and he or she must submit proposed policies to the Board of Regents for review and approval except for good cause.

If the President approves an academic regulation, or submits a proposed academic policy to the Board of Regents, without incorporating the Faculty Senate's recommendations, the President shall tender to the Faculty Senate a detailed memorandum articulating his or her reasons for not incorporating the Faculty Senate's recommendations.

Once a policy or regulation is formally approved, it shall be posted on the appropriate page or pages of KSU's website.

Process for Procedures

Draft procedures that have completed the initial review process by the sponsoring administrator shall be submitted directly to the Office of General Counsel for legal and conflicts review. Following review by the General Counsel, the sponsoring administrator shall recommend the procedure to the President for final approval.

Periodic Review

Policies shall be reviewed at least once every three (3) years. Regulations and procedures shall be reviewed at least once every two (2) years. The department or unit possessing administrative authority is responsible for conducting the review. Policies, regulations, and procedures shall be reviewed for the following:

- Continued relevance to KSU's missions and values;
- Consistency with other KSU governing documents;
- Accordance with laws, regulations, accreditation standards, KSU practices, and educational practices;
- Errors in fact or language; and
- Any other potential errors

Revisions

Substantive revisions may arise by necessity or as a result of the regular review process. Substantive revisions must follow the procedures set forth in the "Creation and Approval" section of this policy.

Non-substantive revisions do not require any review beyond that of the pertinent department or unit.

Repeal of Governing Documents

If a policy or regulation is identified as no longer relevant or necessary, the policy or regulation may be repealed using the same procedures set forth in the "Creation and Approval" section of this policy. Repealed policies and regulations shall be removed from KSU's website as soon as possible. However, a copy of the repealed policy or regulation must be archived.

Procedures may be repealed upon the recommendation of the appropriate Vice President or Director of a unit or department. The Vice President or Director shall tender to the President a memorandum explaining why the procedure should be repealed. If the President approves of repealing the procedure, the Vice President or Director shall immediately notify his or her unit and remove the procedure from KSU's website. A copy of the procedure must be archived.

Interim Policies and Regulations

Under exigent circumstances, a sponsoring administrator may request the adoption of an interim policy or regulation when a new policy or regulation is required within a time frame much shorter than the period of time normally required to complete the procedures set forth in the "Creation and Approval" section of this policy. Exigent circumstances include, but are not limited to, external compliance deadlines and issues relating to the potential safety or wellbeing of the KSU community. An interim policy or regulation may also be established when a policy is quickly needed to facilitate orderly and efficient KSU operations.

The sponsoring administrator, or his or her designee, may draft a policy or regulation and seek approval from the President on an interim basis after review and approval by the General Counsel.

An interim policy or regulation will expire six (6) months from the President's approval, and it must include an expiration date under its "Effective Date" section. An interim policy or regulation will terminate on its expiration date without additional action. Alternatively, it may be extended for an additional six (6) months upon approval by the President, or it may be replaced by a standard policy or regulation.

Interim policies and regulations must be posted to KSU's policies webpage within 10 calendar days of their effective dates. KSU stakeholders may submit comments on interim policies and regulations for 30 calendar days following their postings. All comments should be sent to the General Counsel and/or the Chair(s) of the Policy Committee.

If an interim non-academic policy receives negative feedback from at least two (2) KSU departments or units during the 30-day comment period, the policy must be fully reviewed through the process described under the “Creation and Approval” section of this policy before it can be submitted to the Board of Regents.

If an interim academic policy receives negative feedback from a majority of the Faculty Senate during the 30-day comment period, the policy must be fully reviewed through the process described under the “Creation and Approval” section of this policy before it can be submitted to the Board of Regents for approval.

If an interim non-academic regulation receives negative feedback from at least two (2) KSU divisions or departments during the 30-day comment period, the regulation must be fully reviewed through the process described under the “Creation and Approval” section of this policy before it can be permanently approved by the President.

If an interim academic regulation receives negative feedback from a majority of the Faculty Senate during the 30-day comment period, the regulation must be fully reviewed through the process described under the “Creation and Approval” section of this policy before it can be permanently approved by the President.

If, at the conclusion of the 30-day comment period, an interim policy or regulation does not receive the amount of negative feedback necessitating a full review by the Policy Committee, it may be immediately approved by the President (if a regulation) or submitted to the Board of Regents for permanent approval (if a policy).

REFERENCES AND RELATED MATERIALS:

- The Gold Book
- KSU Policy Template

CONTACTS:

Subject	Office	Telephone	E-mail
Policy Questions	Office of General Counsel	(502) 597-6414	Zachary.Atwell@ksu.edu General.Counsel@ksu.edu

HISTORY:

Revision Type	Date of Issuance/Revision	Drafter(s)/Editor(s)
Issued (New Policy)	December 2018	Lisa Lang and Shuo Han
Substantive Revisions	July 2022	Lisa Lang and Shuo Han
Substantive Revisions	February 2024	Zach Atwell
Substantive Revisions (Renamed “Policy on Policies, Regulations, and Procedures”)	June 2025	Zach Atwell