

PERSONNEL POLICIES  
 MOREHEAD STATE UNIVERSITY  
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<b>Subject:</b> Definition of Academic Titles	<b>Section Number:</b> PAC - 1 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 1/29/88
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**EXCEPTIONS  
TO MINIMAL  
REQUIREMENTS:**

It is expected that the minimal requirements will be used in determining rank of regular faculty members. Requests for exceptions must be submitted to the President through the Tenure and Promotion Committee, Department Chair, the Dean, and the Vice President for Academic Affairs with the recommendations from each recommending party.

**CLINICAL FACULTY  
APPOINTMENTS:**

A Clinical Faculty Appointment is used for supervisor-instructors in such programs as Medical Technology, Nursing, and Radiologic Technology. Such individuals normally are professional staff employees of the off-campus clinical affiliates associated with such programs. They are not paid by the University; however, the title may be used to identify their role with University programs.

**VISITING  
APPOINTMENTS:**

Visiting appointment titles (see Types of Appointments PG - 3) are used to designate individuals from other institutions or employees who teach either full-time or part-time for a limited period of time (usually no more than a year). Titles used may be Visiting Professor, Visiting Associate Professor, or Visiting Assistant Professor.



Subject: Promotion Review	Section Number: PAC - 2
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**PURPOSE:**

To define the criteria, procedures, and conditions of the review of University academic personnel for granting promotion.

**PREAMBLE:**

The faculty adhere to the principle and purpose inherent in privilege in rank. Within each rank from instructor through professor, rank shall be a major determinant in administrative decisions regarding salaries, teaching responsibilities, release time, committee assignments, summer employment, and sabbatical leaves. Without this principle and purpose, promotion is meaningless and the system is without merit.

**I. GENERAL PRINCIPLES****ACADEMIC PRINCIPLES:**

Faculty members have an important responsibility in providing evaluations of peers in the promotion process. This responsibility involves the application of academic and professional judgments in a framework of shared authority among various levels of review and between faculty and academic administrators.

The promotion procedures consist of several levels of judgment and review: the department, the college, and the University. The initial reviews will take place at the levels of the department and college and will focus on professional and scholarly judgments of the quality of the individual's academic work. Subsequent levels of university review will bring broader faculty and administrative judgment to bear and will also monitor general standards of quality, equity, and adequacy of the procedures used. At each level, the review process will reflect the competence and perspective of the reviewing body.

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**EXPECTATIONS AND  
STANDARDS OF EACH  
UNIT:**

An important part of the whole promotion process for faculty members is that all parties to the process share common expectations and understandings. Since general statements of principles will be broad and inclusive, each academic unit may develop its own specific expectations and standards in addition to the broad, University-wide standards as the operational basis for promotion recommendations. Statements concerning these additional expectations and standards will be available and on file in the Office of the Vice President for Academic Affairs, and will be given to each faculty member.

The review process for promotion is concerned with the academic and professional merits of particular candidates, judged in reference to all alternative candidates, including prospective faculty members. Promotion standards, therefore, cannot be fixed and absolute but will reflect to some extent the varying competitive positions of the University in attracting faculty. Accordingly, evaluations will be influenced by such considerations of relative standing. Likewise, progressively more exacting scrutiny will take place as the faculty member advances in academic rank.

**II. CRITERIA FOR PROMOTION**

**GENERAL  
CRITERIA:**

Promotions shall be based on recognized performance in each of the following areas as appropriate to the particular responsibilities assigned to the faculty member. Promotion is neither an unqualified right nor an automatic consequence of having completed a certain period of service.



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The minimal requirements listed below are not the sole determinants in the process:

1. Teaching excellence--as recognized by colleagues, department chairs, and deans and as assessed by students. Other evidence may include, but not be limited to, the following: student contact activities (advisement, supervision of internships and theses); development of new courses, programs, or innovative instructional techniques; teaching awards and honors.
2. Professional achievement--as related to the teaching area may include, but not be limited to, the following: research, scholarly or creative achievements; attendance at professional meetings and leadership roles in professional organizations; participation in seminars and workshops; additional graduate study in the teaching field; work experience; and consulting.
3. Service to the institution and the community--may include, but not be limited to, the following: active participation on University, college, department, and Faculty Senate ad hoc and standing committees; service as an official representative of the University; sponsorship of approved co-curricular activities; coordination of and participation in University workshops, conferences, clinics, inservice, and special events; development of proposals; development of relationships with professional groups in business, industry, trade, education, and



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government; non-University service rendered as a citizen, not as a representative of Morehead State University.

### III. STATEMENTS REGARDING PROMOTION

#### PROMOTION PORTFOLIO:

The promotion portfolio must contain a curriculum vita, supporting documents, and a letter of intent. The letter of intent, addressed to the Department Chair, will state the desire to be considered for a promotion and should contain a summary of major responsibilities and activities since the last rank assignment that merit consideration for the promotion. The candidate's portfolio must document all qualifications, and it must be complete at the time of submission.

#### CURRICULUM VITAE:

The following are guidelines for constructing the curriculum vita. All categories will not apply to each candidate. Whenever appropriate, specific titles, dates, pages, and publishers should be included. A reasonable sample of items under numbers III and IV should be presented.

##### I. Personal Data

- A. Name
- B. Present rank, administrative title (if applicable), and department
- C. Dates of initial rank assignment and promotions at Morehead State University
- D. Field or fields of specialization
- E. Education completed: degrees, certifications, and/or licenses with institutions and dates awarded or granted





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- F. Teaching prior to Morehead State University or related work experience prior to Morehead State University
1. Institutions
  2. Dates
  3. Responsibilities
  4. Rank changes and dates
- G. Memberships in academic honor organizations
- II. Teaching--Note whenever reassigned time was given.
- A. Teaching load each semester
1. Numbers and titles of courses taught
  2. Credit hours/workload
- B. Student contact activities
1. Number of advisees: graduate, undergraduate
  2. Supervisor of internships
  3. Direction of theses and service on theses committees
  4. Direction of independent studies
  5. Service on oral examination committees
  6. Other
- C. New courses and programs developed
- D. Innovative instructional techniques developed
- E. Teaching awards and honors
- F. Other evidence of effective teaching



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III. Professional Growth

A. Scholarship

1. List of published articles
2. List of published books
3. List of published reviews
4. List of papers read at conferences
5. Editorship of or service on editorial boards of professional journals
6. Scholarly grants
7. Sabbaticals
8. Pure research completed
9. Applied research completed
10. Fellowships awarded
11. Awards for scholarship

B. Creative Productions--List of:

1. Exhibits
2. Musical compositions published
3. Poems, plays, stories, novels published
4. Artistic performances
5. Speaking engagements
6. Inventions
7. Awards for creative productions

C. Academic and/or professional organizations

1. Memberships
2. Leadership roles
3. Attendance at conferences
4. Awards for service



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D. Continuing education

1. Seminars attended and form of participation
2. Workshops attended and form of participation
3. Graduate study
  - a. Institution
  - b. Degree being pursued and anticipated date of completion
  - c. Credit hours completed

E. Relevant work experience and consulting

1. Institution/agency
2. Responsibilities
3. Dates

F. Other evidence of professional growth

IV. Service

- A. List of University, college, department, and Faculty Senate ad hoc and standing committees with level indicated in each case
- B. Sponsorship or advisor of University-approved extracurricular activities
- C. Service as official representative of the University
  1. Place
  2. Responsibility
  3. Date



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- D. Coordination of and participation in Morehead State University workshops, conferences, clinics, inservice, and special events
  - 1. Title
  - 2. Form of participation
  - 3. Date
- E. Development of proposals to benefit the University
  - 1. Title of proposal
  - 2. Date submitted
  - 3. Accepted or rejected.
- F. Development of relations with professional groups (business, industry, trade, education, and government)
- G. Honors and awards for service
- H. Other University service
- I. Non-University service

**SUPPORTING DOCUMENTS:**

The supporting documents should be arranged in the following categories:

- A. Documents which support personal data (for example)
  - copies of official transcripts
  - copies of official letters of promotion at other institutions



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B. Documents which support effectiveness of teaching (for example)

- copies of results of teacher ratings
- copies of descriptions of innovative instructional techniques
- copies of teaching awards and honors

C. Documents which support evidence of professional achievement (for example)

- copies of published articles, books, reviews
- copies of papers read at conferences
- copies, slides, tapes of, or patents for creative productions
- evidence of roles in academic organizations
- evidence of continuing education including transcripts of graduate work

D. Documents which support service (for example)

- copies of proposals to benefit the University
- copies of honors or awards for service

PROMOTION COMMITTEES:

Department, College, and University Promotion Committees will be formed and operate within the following structure and procedures:

1. No candidate for promotion, candidate's spouse, department chairs, or deans will serve on promotion committees.



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2. No faculty member will serve on more than one promotion committee.
3. Preference for committee membership shall be given to those who have undergone promotion review process.
4. The chairperson of each promotion committee shall be elected by the committee.
5. In academic areas where schools are the administrative unit above the department level, the peer review will be by the department, college, and University promotion committees.
6. The University Promotion Committee shall consist of nine (9) faculty members elected by the Faculty Senate from the tenured, full-time faculty and must include three representatives from each college and shall include both males and females. No two representatives should be from the same department/school. Committee members shall be full professors. In the event that full professors are unavailable, associate professors may serve; if no associate professors are available, assistant professors may serve. Term of service shall be three years, with one member from each college being replaced each year. A member may not hold successive terms.
7. The College Promotion Committee shall consist of one representative from each department of the college. These members should be tenured, full-time faculty members. Each department will elect by secret



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ballot, a representative to serve a two-year term on the college committee.

8. The Department Promotion Committee should consist of the department as a whole (if not excluded by conditions one and two above). Each department may choose to elect a Department Promotion Committee. All faculty who are not excluded by conditions one and two above are eligible for committee membership and are elected by secret ballot.
9. The quorum necessary for voting will be two-thirds of the total membership of a committee.
10. All voting on candidates will be by secret ballot. Recommendation for promotion requires an affirmative vote by a majority of committee members voting. There shall be no abstentions in the voting process. In all committee recommendations, the number of "yes" votes and the number of "no" votes must be recorded.
11. In all cases, promotion committees must state in writing on the appropriate form the rationales for the majority recommendation and a numerical rating of qualification for promotion. Those in the minority must also state their rationale in writing.
12. Promotion committees' deliberations must be treated confidentially and must not be discussed outside of promotion committee meetings.



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#### IV. PROMOTION PROCESS

##### GUIDELINES:

All prospective candidates for promotion may elect to attend an orientation workshop sponsored and presented by the Vice President for Academic Affairs and the previous year's chair of the University Promotion Committee that shall be held no later than October 15 of each year. Each candidate for promotion will receive peer review at the department, college, and University levels. In addition to peer review, each candidate will be reviewed by his/her Department Chair, Associate Dean (if applicable), College Dean, and the Vice President for Academic Affairs. The President makes the final recommendation to the Board of Regents.

##### INITIATION OF THE REVIEW PROCESS:

BY JANUARY 15: The candidate applying for promotion review has the responsibility for submitting the required promotion portfolio, which includes a letter of intent, curriculum vita, and supporting documents, to his/her college dean. The dean will place the portfolio in a secure area for review by the appropriate Department Promotion Committee, College Promotion Committee, Department Chair, Associate Dean (if applicable), and College Dean.

##### REVIEW OF PORTFOLIOS:

The review process will proceed as described below:

1. BY FEBRUARY 1: Department Promotion Committee, Department Chair, College Promotion Committee, Associate Dean (if applicable), and College Dean independently review the portfolios and make a determination regarding a positive or negative recommendation. The recommendation, supporting rationale, and numerical rating of qualification





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for promotion are documented on the appropriate form (see attached Forms A and B) and submitted to the College representatives of the University Promotion Committee.

2. BY FEBRUARY 5: As soon as these reviews are completed, the College Dean sends the portfolios to the Vice President for Academic Affairs, who places the portfolios in a secure area for review by the University Promotion Committee.
3. BY FEBRUARY 5: The two college representatives of the University Promotion Committee inform the candidates of the appropriate Department Promotion Committee's, Department Chair's, College Promotion Committee's, Associate Dean's (if applicable), and College Dean's recommendations through presentation of the summary form (see attached Form C).
4. If all recommendations are for promotion, the portfolio will automatically be reviewed by the University Promotion Committee. If any recommendation is against promotion, the candidate may withdraw the portfolio, request that it be sent on without responding, or request that it be sent on with a letter of response to any recommendation against promotion. If the candidate chooses to submit a letter of response, it must be submitted to the appropriate representative of the University Promotion Committee. To withdraw the portfolio, a candidate must submit a



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written request to the college representative of the University Promotion Committee, who will then return the portfolio to the candidate.

5. BY MARCH 1: The University Promotion Committee reviews the candidate's portfolio; the recommendations by the Department Promotion Committee, the Department Chair, the College Promotion Committee, Associate Dean (if applicable), and College Dean; and any letter of response and makes a determination regarding a positive or negative recommendation. The recommendation, supporting rationale, and numerical rating of qualification for promotion is documented on the appropriate form (see attached Form D).
6. BY MARCH 20: The two University Promotion Committee representatives from each college will inform their college's candidates for promotion of the University Promotion Committee's recommendation. If the recommendation is for promotion, the portfolio will automatically be made available for review by the Vice President for Academic Affairs, the President, and the Board of Regents. If the University Promotion Committee's recommendation is against promotion, a college representative will inform the candidate; and the candidate may withdraw the portfolio, request that it be sent on without responding, or request that it be sent on with a letter of response. If the candidate chooses to submit a letter of response, it must be



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submitted to the Vice President for Academic Affairs. To withdraw the portfolio, a candidate must submit a written request to the college representative of the University Promotion Committee, who will then return the portfolio to the candidate.

7. The Vice President for Academic Affairs reviews the portfolio, the recommendations, and the letters of response. The Vice President makes a recommendation on each portfolio to the President, who in turn recommends to the Board of Regents, who will make the final decision.
8. BY 1 WEEK AFTER BOARD'S DECISION: Within one week of the Board of Regents' decision, the President informs each candidate in writing of the decision. The promotion portfolio will be available for return.
9. BY 2 WEEKS AFTER BOARD'S DECISION: Each candidate who does not receive promotion will be invited to meet with the Vice President for Academic Affairs for further explanation. The candidate has the option to decline this invitation.

**FORM A: DEPARTMENT PROMOTION COMMITTEE RECOMMENDATION OR  
DEPARTMENT CHAIR OR ASSOCIATE DEAN RECOMMENDATION**

Candidate's name: \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Desires promotion from \_\_\_\_\_ to \_\_\_\_\_

Recommendation (circle one)                  PROMOTE                  DO NOT PROMOTE

Using a scale of 1 to 10 with 10 being the highest possible score, assign a numerical value to each of the following areas and multiply by the assigned factor. The sum of the three areas becomes the rating of qualification for promotion:

TEACHING    \_\_\_\_\_ X 60% = \_\_\_\_\_

SERVICE    \_\_\_\_\_ X 20% = \_\_\_\_\_

PROFESSIONAL ACHIEVEMENT                  \_\_\_\_\_ X 20% = \_\_\_\_\_

RATING OF QUALIFICATION FOR PROMOTION: \_\_\_\_\_

.....

Vote(s) FOR \_\_\_\_\_                          Vote(s) AGAINST \_\_\_\_\_

Please provide specific rationale which supports the final recommendation. Use the reverse side if needed.

Department Chair's or Associate Dean's name \_\_\_\_\_

OR List of Committee Members and Chairperson

FORM B: COLLEGE PROMOTION COMMITTEE RECOMMENDATION OR  
COLLEGE CHAIR OR ASSOCIATE DEAN RECOMMENDATION

Candidate's name: \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Desires promotion from \_\_\_\_\_ to \_\_\_\_\_

Recommendation (circle one)      PROMOTE      DO NOT PROMOTE

Using a scale of 1 to 10 with 10 being the highest possible score, assign a numerical value to each of the following areas and multiply by the assigned factor. The sum of the three areas becomes the rating of qualification for promotion:

TEACHING	_____	X 60% = _____
SERVICE	_____	X 20% = _____
PROFESSIONAL ACHIEVEMENT	_____	X 20% = _____

RATING OF QUALIFICATION FOR PROMOTION: \_\_\_\_\_

\*\*\*\*\*

Vote(s) FOR \_\_\_\_\_ Vote(s) AGAINST \_\_\_\_\_

Please provide specific rationale which supports the final recommendation. Use the reverse side if needed.

College Dean's name \_\_\_\_\_

OR List of Committee Members and Chairperson

**FORM C: SUMMARY OF RECOMMENDATIONS**

Candidate's name: \_\_\_\_\_ Highest degree held \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Desires promotion from \_\_\_\_\_ to \_\_\_\_\_

Time at Morehead \_\_\_\_\_ Time since last advancement \_\_\_\_\_

\*\*\*\*\*

Department Committee Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Promotion \_\_\_\_\_

Summary Rationale:

Department Chair's Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Promotion \_\_\_\_\_

Summary Rationale:

College Committee Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Promotion \_\_\_\_\_

Summary Rationale:

Associate Dean's Recommendation (if applicable) FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Promotion \_\_\_\_\_

Summary Rationale:

**FORM D: UNIVERSITY PROMOTION COMMITTEE RECOMMENDATION**

Candidate's name: \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Desires promotion from \_\_\_\_\_ to \_\_\_\_\_

Recommendation (circle one)      PROMOTE      DO NOT PROMOTE

Using a scale of 1 to 10 with 10 being the highest possible score, assign a numerical value to each of the following areas and multiply by the assigned factor. The sum of the three areas becomes the rating of qualification for promotion:

TEACHING    \_\_\_\_\_ X 60% = \_\_\_\_\_

SERVICE    \_\_\_\_\_ X 20% = \_\_\_\_\_

PROFESSIONAL ACHIEVEMENT                          \_\_\_\_\_ X 20% = \_\_\_\_\_

RATING OF QUALIFICATION FOR PROMOTION: \_\_\_\_\_

\*\*\*\*\*

Vote(s) FOR \_\_\_\_\_                          Vote(s) AGAINST \_\_\_\_\_

Please provide specific rationale which supports the final recommendation. Use the reverse side if needed.

List of Committee Members and Chairperson



<p><b>Subject:</b> Emeritus Rank</p>	<p><b>Section Number:</b> PAC - 3</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b></p>
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**PURPOSE:** To determine eligibility for and the privileges of Emeritus Rank upon retirement.

**NORMAL ELIGIBILITY:** Emeritus Rank is granted in recognition of meritorious service to Morehead State University.

Emeritus Rank is granted upon retirement to those holding the rank of full Professor if recommended by the President to the Board of Regents.

To be eligible, individuals in the above rank must have reached age 55 or have 30 continuous years of University service and have held that rank at Morehead State University for a period of at least five years prior to retirement from the University.

**PROCEDURE FOR GRANTING EMERITUS RANK:** Prior to the end of March each year, Department Chairs may recommend the names of eligible faculty members who are retiring by the end of the current fiscal year. Such names are submitted to the President with recommendations from the appropriate Dean and the Vice President for Academic Affairs.

**PRIVILEGES OF EMERITUS RANK:** In addition to those privileges normally available to any retired faculty member, an Emeritus Professor is provided with an office if feasible. Arrangements may be made by the President for the Emeritus Professor to participate in part-time teaching, research, and/or service to the University.

**OTHER FACULTY EMERITI:** Faculty members not holding the rank of Professor at the time of retirement may be named Faculty Emeriti in rank by the procedures outlined above. Faculty Emeriti under this provision will be listed in official University catalogs and will be invited special guests to all major University functions.





Subject: Sick Leave	Section Number: PAC - 4 Approval Date: 7/1/85 Revision Date:
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**PURPOSE:**

To provide the conditions for continuation of pay for a regular full-time or continuing part-time faculty member who is unable to continue employment due to illness or injury.

**INITIAL GRANT OF SICK LEAVE:**

Upon appointment, a regular, full-time faculty member is credited with a sick leave accumulation balance of 12 days. Those who are designated as continuing part-time (see PG - 1) will be granted a balance of six days upon appointment.

**SUBSEQUENT SICK LEAVE ACCUMULATION:**

Beginning with the second school year the regular, full-time faculty member accumulates one day of sick leave per calendar month (12 days per year) which is added to any sick leave balance from the first year; after 10 full years of service the rate shall increase to one-and-one-half ( $1\frac{1}{2}$ ) days per month (18 days per year). The continuing part-time faculty member accumulates one-half ( $\frac{1}{2}$ ) day of sick leave per calendar month the first 10 full years of continuous employment and three-quarters ( $\frac{3}{4}$ ) per month thereafter. Sick leave not used may be accumulated indefinitely.



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ILLNESS OR INJURY:

A faculty member may utilize sick leave for personal illness (including maternity) or injury. A Department Chair may request documentation of the circumstances, if extended time off for illness or injury is anticipated or if it appears that the conditions for the time missed may not be appropriate. A Department Chair also may request documentation indicating when it is anticipated the faculty member will return to service. Upon request, up to three days of accumulated sick leave may be charged per calendar year as emergency leave for illness or injury of an immediate family member (spouse, child, parent, brother, sister, or other relative living in the faculty member's household). A Department Chair may request documentation of the need for such emergency time off. Absence is charged in at least half-day units. When a University holiday occurs during absence chargeable to sick leave, that day is not charged as sick leave.

MEDICAL OR DENTAL ALLOWANCES:

Paid sick leave may be used to cover absences because of dental or medical appointments. such time shall be charged against the sick leave accumulation. Short absences shall be accumulated and charged in half-day units.

SICK LEAVE AT TERMINATION OF EMPLOYMENT, RETIREMENT, OR DEATH:

Unused sick leave will not be paid off upon termination of employment, retirement, or death. However, a member of a Kentucky Retirement System may receive certain service credit in the retirement system for some of the sick leave balance at time of retirement. such credit shall be applicable only for retirement service as provided by law and shall not apply for any University policies.



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**WHEN ALL PAID  
SICK LEAVE  
IS USED:**

When a faculty member has used all of his/her accumulated sick leave, a leave of absence without pay shall be granted upon request up to the limits of the policy on leave of absence without salary.

**NOTIFICATION  
OF SUPERVISOR:**

A faculty member is responsible for notifying his/her Department Chair as soon as possible after it is determined that an absence to be charged as sick leave will occur because of illness, in order to provide maximum time to cover the scheduled responsibilities. Failure to do so within 24 hours of the beginning of the absence may be cause for denial of sick leave for the period of the absence unless the faculty member was physically unable to provide such notice.

**SICK LEAVE  
RECORDS:**

The official sick leave record shall be maintained in the Office of Personnel Services for a period of five years.



<b>Subject:</b> Consulting	<b>Section Number:</b> PAC - 5 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To outline the conditions governing private consulting by faculty members and academic administrators. To qualify under this policy, the activity must be in the individual's field and be of a professional nature.

**PHILOSOPHY:**

As an agency of the Commonwealth of Kentucky, Morehead State University is charged with responsibilities for instruction, research, and public service. These responsibilities often involve University faculty members and academic administrators in activities which are beyond the campus and in addition their formally assigned duties. The University views professional consulting whether private or as a representative of the University as an activity to be encouraged. This policy is an outgrowth of the following institutional concerns: (1) the need to comply with federal regulations concerning time and effort reporting for federally-funded grants and contracts; (2) the need to safeguard the University's primary educational mission from possible conflicts of interest; and (3) the need to clarify those circumstances when a University faculty member or academic administrator may be gainfully employed by a third party.

**DEFINITION:**

1. This policy is limited to instruction, research, professional and/or public service consulting activities for which remuneration is received from a third party and which occur during the time when the employee would normally be assigned to duties by the University. Excluded are vacation periods, weekends, holidays, and other times when the employee is not assigned duties by the University.



Subject: Consulting	Section Number: PAC - 5 Approval Date: 7/1/85 Revision Date:
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2. University faculty members and academic administrators must request authorization to perform instruction, research, and public service activities for a third party during their work period. Work periods may vary widely due to individual faculty assignments. Such expectations should not be so restrictive as to make private consulting prohibitive. A written proposal must be submitted and permission secured from the individual's supervisor and Dean prior to performing any private consulting activity with notification to the Vice President for Academic Affairs. The proposal should indicate the nature of the work to be performed, the estimated time per week involved, and the duration of the assignment. The proposal and administrative decision shall be kept as a matter of record by the appropriate Department Chair and Dean with notification to the Vice President for Academic Affairs. A Dean's personal proposals are approved by the Vice President for Academic Affairs.
3. Those administrative officers who approve the proposal are instructed to be assured that regularly assigned duties of the employee will continue to be performed satisfactorily.

**DUTY:**

A faculty member or academic administrator is expected to perform his/her University duties in the most effective manner of which he/she is capable. The individual's first duty and first responsibility is to the University. Outside service should not be undertaken, whether with or without pay, that might interfere with the discharge of this paramount obligation. Administrative officers are responsible for seeing that the regular University duties are accomplished.



<p><b>Subject:</b> Consulting</p>	<p><b>Section Number:</b> PAC - 5  <b>Approval Date:</b> 7/1/85  <b>Revision Date:</b></p>
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**REQUIRED ADVANCE APPROVAL:**

An individual must request approval in advance of accepting a consulting assignment. A written proposal outlining the nature of the work to be performed, the estimated schedule of absences, and whether the work is undertaken for compensation or otherwise shall be given to the next level of administration. Such request shall be submitted through the Dean to the Vice President for Academic Affairs provided there is concurrence at each previous level. The final approval authority is the appropriate Dean for faculty members and Department Chairs and the Vice President for Academic Affairs for Deans.

**CONSULTING TIME:**

Time off from the regular work schedule for consulting shall be limited to four days per month. Time not used is noncumulative except by special permission of the Department Chair and Dean.

**USE OF UNIVERSITY FACILITIES:**

Activities that involve significant use of other University personnel, facilities, or equipment must be performed on a contractual basis with the University.

**TIME AND EFFORT REPORTING:**

All individuals performing consulting services relating to externally-funded projects are required to comply with Time and Effort Reporting regardless of when the services are performed.

**RESPONSIBILITY FOR PRIVATE PROFESSIONAL SERVICES:**

The University assumes no responsibility for private professional services performed by members of its faculty. The name of the University is not in any way to be connected with the service rendered or the results obtained. The faculty member or academic administrator must make it clear that his/her consulting work is a personal matter. He/she must not use the official stationery of the University nor stationery having a University address or a University telephone number.



<p>Subject: Consulting</p>	<p>Section Number: PAC - 5 Approval Date: 7/1/85 Revision Date:</p>
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A faculty member shall not accept or retain employment which would bring him/her as an expert, or in any other capacity, into conflict or in competition with the interests and purposes of the University.



<b>Subject:</b> Membership on Graduate Faculty	<b>Section Number:</b> Pac - 6 <b>Approval Date:</b> 7/1/83 <b>Revision Date:</b> 8/6/83
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**PURPOSE:**

To outline the criteria and procedures for appointment to the graduate faculty.

**CRITERIA FOR FULL MEMBERSHIP:**

The following criteria must be met to be considered for Full Membership on the graduate faculty:

1. An earned terminal degree as defined in PAC - 1, in the appropriate teaching discipline from an accredited institution.
2. Competency and experience at the graduate level in teaching, committee work, student advisement, and directing student research as defined in the Procedure for Appointment.
3. Evidence of recent professional growth and/or research and publications.
4. A departmental teaching need at the graduate level (500- or 600-level courses).
5. Associate membership for at least one year at Morehead State University.

**CRITERIA FOR ASSOCIATE MEMBERSHIP:**

The following criteria must be met to be considered for Associate Membership on the graduate faculty:

1. Either an earned terminal degree as defined in PAC - 1 in the appropriate teaching discipline or an earned master's degree plus 15 hours in the appropriate teaching discipline from an accredited institution or, in the absence of this degree, an exceptionally high level of scholarly productivity, competency, and





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experience as determined by the University Graduate Committee.

2. Potential for competency at the graduate level in teaching, committee work, student advisement, and directing student research as defined in the Procedure for Appointment.
3. Evidence of recent professional growth and/or research and publications.
4. A department teaching need for 500-level graduate courses. With the terminal degree, 600-level courses may be taught with the approval of the University Graduate Committee.
5. In the absence of available graduate faculty with Full Membership, the Associate Member may teach courses restricted to graduate students, if he/she is recommended by the departmental graduate faculty, department chair, and the college dean as being highly competent in the teaching discipline, with the approval of the Dean of Graduate and Special Academic Programs.
6. All Associate Memberships shall be one academic year appointments.

**APPOINTMENT PROCEDURE:**

The following procedure shall be used for nomination and review of candidates:

1. When the department chair of an academic department determines that he/she needs to assign a graduate course to a faculty member who is not already a full member of the graduate faculty, he/she shall gain the



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- concurrence of the departmental graduate faculty and then nominate the individual faculty member for Associate Membership to the graduate faculty.
2. The department chair forwards the nomination, with supporting documentation (curriculum vita) to the College Graduate Committee. The supporting documentation shall provide evidence of teaching excellence, professional activities, and university/community service.
  3. Upon approval of the College Graduate Committee, the nomination and supporting documentation are forwarded to the University Graduate Committee. If the nomination is rejected, justification shall be provided to the nominee and the department chair.
  4. The University Graduate Committee will make the final determination regarding the nominee's appointment as an Associate Member of the graduate faculty.
  5. The Dean of Graduate and Special Academic Programs will inform the nominee, department chair, and the Vice President for Academic Affairs of the decision of the University Graduate Committee.
  6. The University Graduate Committee must approve the appointment of Associate Members at least two weeks before scheduled graduate courses begin.



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**TEMPORARY  
APPOINTMENTS:**

When, due to extraordinary circumstances, a member of the graduate faculty is unavailable to teach a previously scheduled course and circumstances will not permit appointment under normal procedures, the Dean of Graduate and Special Academic Programs may temporarily appoint a faculty member to temporary status on the graduate faculty.

Temporary appointments are for one semester only. At the time of the temporary appointment, the department chair requesting the appointment must initiate the regular appointment procedure.

In all other respects, a temporary appointee must meet the qualifications and expectations of a graduate faculty member.

The Dean of Graduate and Special Academic Programs will inform all appropriate persons of his/her decision and direct that the procedure for nomination for Associate Membership be initiated.

**REVIEW OF  
MEMBERSHIPS:**

Reviews of membership are made in accordance with the following schedule and principles:

1. Associate Members of the graduate faculty will be reviewed by the appropriate College Graduate Committee and the University Graduate Committee after the first year of membership to determine if an individual should be granted Full Membership on the graduate faculty.
2. Full Members of the graduate faculty will be reviewed by the appropriate College Graduate Committee and the University Graduate Committee every



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fifth year of membership to determine if an individual should continue on the graduate faculty.

3. In the review process, faculty will be evaluated according to the criteria in the section Criteria for Membership.
4. In response to the review process, the University Graduate Committee can:
  - a. Grant Full Membership to the Associate Member
  - b. Deny Full Membership to the Associate Member
  - c. Downgrade the Full Member to an Associate Member
  - d. Renew Full Membership for five years.
5. The Dean of Graduate and Special Academic Programs will inform in writing all appropriate persons of the decisions of the University Graduate Committee within 30 working days after the decision.



<b>Subject:</b> Teaching Load Expectations	<b>Section Number:</b> PAC - 7 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:** To outline the teaching load expectations of faculty members and academic administrators (Deans and Department Chairs).

**NINE-MONTH FACULTY MEMBERS:** The teaching load per semester is 12 semester hours for undergraduate classes and nine semester hours for full graduate load or a mix of graduate and undergraduate semester hours.

A number of factors are considered in determining reductions to the teaching load including, for example, the number of new preparations, class size, and contact hours.

Variations from the teaching load may be granted upon recommendation by the Dean of the college with the approval of the Vice President for Academic Affairs. Reassigned time may be approved for such activities as administrative duties associated with program coordination, preparation of special instructional materials, video tapes, research, community service and special services to the University, committee assignments, advising, or the sponsoring of a major student activity or group.

**DEPARTMENT CHAIRS:** The teaching load for a Department Chair is six semester hours during each semester and three semester hours during the summer.

Exceptions to the teaching load may be granted by the Vice President for Academic Affairs upon the recommendation of the Dean when other conflicting assignments merit such adjustments.

**COLLEGE DEAN:** The teaching load for an academic Dean is three semester hours per academic year.

Exceptions to the teaching load may be granted by the Vice President for Academic Affairs.



<p><b>Subject:</b> Faculty Attendance Responsibilities-- Office Hours &amp; Classes</p>	<p><b>Section Number:</b> PAC - 8 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:** To outline responsibilities of faculty members for office hours and class schedules.

**OFFICE HOURS:** Each faculty member is expected to observe a regular schedule of office hours, which will vary from person to person depending on other activities and duties. Each faculty member shall post a schedule on his/her office door and a copy shall be filed with the Dean of his/her college at the beginning of each term. It is generally expected that faculty members will be available in their offices throughout the day unless they are engaged in other University duties.

**MEETING CLASS SCHEDULES:** A faculty member is expected to meet all of his/her classes and other University responsibilities. Classes are expected to begin and end on time. When a faculty member knows in advance that he/she will miss a class, he/she should inform the Department Chair who will in turn notify the Dean of the college. Such notification shall be given as far in advance of the absence as is feasible. In the case of a sudden illness or emergency, the faculty member should notify the Department Chair that he/she will not be able to meet his/her class. If the Department Chair is unavailable, the Dean of the college should be notified. Arrangements for substitute instructors or the rescheduling of classes must have prior approval of the Department Chair and the Dean, with notification to the Vice President for Academic Affairs.



<p><b>Subject:</b> Faculty Attendance Responsibilities-- Commencements</p>	<p><b>Section Number:</b> PAC - 9 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**SPRING  
COMMENCEMENT:**

All faculty members are expected to attend the Spring Commencement.

**OTHER  
COMMENCEMENTS:**

Each academic department shall be represented by at least two faculty members at commencements held at other times of the year. Each Department Chair shall have the responsibility to see that two members are so designated.

**ATTIRE AT  
COMMENCEMENTS:**

Academic attire is required for graduation processions and for other occasions where appropriate. Each faculty member must furnish his/her own academic attire.



<p><b>Subject:</b> Extraordinary Faculty Compensation</p>	<p><b>Section Number:</b> PAC - 10 <b>Approval Date:</b> 7/1 '85 <b>Revision Date:</b> 8/6/88</p>
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**PURPOSE:** To outline pay policies for services rendered in excess of those covered in the basic contract for services.

**SUMMER COURSES:** Nine-month faculty contracted for instructional purposes during summer terms will receive compensation equal to 2 percent per credit hour of his/her previous year's contract.

A faculty member's summer compensation is not to exceed 24 percent of his/her previous contract unless approval is granted by the President.

**TELECOURSES:** University faculty supervising/teaching credit telecourses offered over the Kentucky Educational Television network should have the telecourse scheduled as part of the faculty member's regular teaching load. If scheduling the class is not feasible as part of the faculty member's regular workload and the telecourse requires an additional workload assignment, the faculty member will be paid \$70 per student up to a maximum of 12 students in a three-semester-hour telecourse.

In circumstances where there are fewer than 12 students, teaching load will be calculated at the rate of four students equal one credit hour.

In addition, faculty will be paid \$100 for preparation of telecourse material. This compensation is a one-time payment per course, not contingent upon the enrollment of the course.





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**COURSES TAUGHT  
BY PART-TIME  
FACULTY OR BY  
APPROVED MEMBERS  
OF THE UNIVERSITY  
STAFF:**

Compensation shall be paid on a per semester credit hour basis. Additionally, such faculty who reside outside the county where the course is taught may be reimbursed for travel and food expenses. The rate of expense reimbursement is that fixed by the State. A receipt may be required for expenses other than food. Except in the case of an emergency, there is no provision to reimburse such faculty for overnight lodging expenses.

Each college Dean will submit a request to the Vice President for Academic Affairs for the number of such faculty needed each semester. This request should be submitted only after a check is made to determine if qualified faculty in other departments or colleges at the University are available to teach the needed courses. The Vice President for Academic Affairs will respond to the requests of the Deans by memorandum in which the number of positions available for each is designated. If requested positions are not used in a given college, the Vice President for Academic Affairs can make them available to another college.

**COURSES TAUGHT  
BY REGULAR  
FACULTY IN THE  
REGION:**

Compensation shall be paid on a per semester credit hour basis. Lecturers who live outside the county where a regional course is taught will receive additional compensation based on the distance between place of residence and the workplace (time on road). The formula for determination of the amount of time-on-road pay will be the same as that used for full-time faculty with place of residence used instead of campus. Additionally, such faculty who reside outside the county where the course is taught may be reimbursed for travel and food expenses. The rate of expense reimbursement is that fixed by the State. A receipt may be required for



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expenses other than food. Except in the case of an emergency, there is no provision to reimburse such faculty for overnight lodging expenses. Distance will be determined by the official mileage chart that is maintained in the Office of Business Services.

Each college Dean will submit a request to the Vice President for Academic Affairs for the number of such faculty needed each semester. This request should be submitted only after a check is made to determine if qualified faculty in other departments or colleges at the University are available to teach the needed courses. The Vice President for Academic Affairs will respond to the requests of the Deans by memorandum in which the number of positions available for each is designated. If requested positions are not used in a given college, the Vice President for Academic Affairs can make them available to another college.

**COURSES TAUGHT  
BY REGULAR OR  
PART-TIME  
UNIVERSITY  
FACULTY IN  
THE REGION:**

The compensation for teaching in the region is based entirely upon the factor of distance from the campus (time-on-road). The compensation is based on the official miles for one round trip between the campus and the center. The formula to be used is:

1. \$6.00 per mile for the first 50 miles.
2. \$5.00 per mile for the next 50 miles or fraction thereof.
3. \$4.00 per mile for all remaining miles.

This formula is for a three-semester hour course requiring a minimum of 15 class sessions. For one- and two-semester hour courses, the formula is reduced to one-third



<p>Subject: Extraordinary Faculty Compensation</p>	<p>Section Number: PAC - 10 Approval Date: 7/1/85 Revision Date: 8/6/88</p>
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and two-thirds of the base amount, respectively. Also, if a three-hour course is in the nature of a workshop and thus requires less than 15 sessions or trips, the formula is reduced accordingly.

Each faculty member who teaches in the region will be compensated for one course per term whether it is taught as in-load or as overload. Deans should not schedule a faculty member for more than one regional course per term. If, because of extenuating circumstances, it is necessary for a faculty member to be assigned two regional courses during a given term, it must be approved in advance by the Vice President for Academic Affairs. There will be no time-on-road compensation for the second class.

Mileage expense and food allowance will be disbursed according to State regulations.

Distance will be determined by the official mileage chart that is maintained in the Office of Business Services.

Faculty who reside in counties where they are scheduled to teach an off-campus class will not receive time-on-road pay or travel expenses for that class.

**CORRESPONDENCE COURSES:**

Correspondence course instructors are paid \$3.50 per correspondence course lesson graded and \$12.00 per final examination grade.

A faculty member who revises an existing course is paid \$400.00 for the course revision.



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**COURSES TAUGHT  
IN FOREIGN  
OR IN DISTANT  
PARTS OF THE  
UNITED STATES:**

The compensation for a faculty member teaching a course in foreign countries or within the United States but at a considerable distance from the University shall be determined by the formula used for faculty members who teach in the summer.

In the event travel expenses are not provided by any other agency, the University will reimburse the instructor's travel expenses in accordance with University travel regulations.

**COURSES TAUGHT  
WITHOUT  
COMPENSATION:**

Administrators (other than Department Chairs and Deans) who hold tenure and academic rank shall teach one course per calendar year when requested. Failure to accept the teaching assignment shall result in the loss of faculty status. In very unusual circumstances the President may grant a one-year exception if other unusual conflicting assignments merit such an adjustment.

The course shall be taught without extra compensation.



<p>Subject: Faculty Research</p>	<p>Section Number: PAC - 11 Approval Date: 7/1/85 Revision Date:</p>
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**PURPOSE:**

To outline the process to be followed by faculty members interested in undertaking research projects.

**THE PROCESS:**

Faculty members are encouraged to seek and participate in opportunities for research. Those interested in applying for a University research grant should contact a member or the Chairperson of the University Research Committee.

If there is an interest in applying for a grant to be funded by an external agency, the individual should contact the Office of Research, Grants and Contracts.



<b>Subject:</b> Professional Ethics	<b>Section Number:</b> PAC - 12 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

The University, as an institution of learning and a community of persons with a special purpose, accepts its obligation to provide for its members an atmosphere which protects and promotes its educational mission and which guarantees its orderly and effective operation. To accomplish these goals, the University must require certain standards of conduct. University standards of conduct do not replace or relieve the requirements of civil or criminal laws.

The University has established standards of conduct related to its special educational mission. Specifically, members of the University community charged or convicted of violations under civil or criminal law may be subject to University discipline procedures and sanctions for the same conduct when the conduct occurs on campus or when the conduct occurs off campus and is a threat to the continuing protection of other members of the University community or the safeguarding of the educational process.

The faculty member assumes responsibilities in many areas.

**AS PROFESSORS:**

Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end they devote their energies to developing and improving scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interest, these interests must never seriously hamper or compromise their freedom of inquiry.



Subject: Professional Ethics	Section Number: PAC - 12 Approval Date: 7/1/85 Revision Date:
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**AS TEACHERS:**

As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly standards of their discipline. They demonstrate respect for the student as an individual and adhere to this proper role as intellectual guide and counselor. They make every reasonable effort to foster honest academic conduct and to assure that their evaluation of students reflects true merit. They respect the confidential nature of the relationship between professors and students. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them. They protect their academic freedom.

**AS COLLEAGUES:**

As colleagues, professors have obligations that derive from common membership in the community of scholars. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of the institution.

**AS MEMBERS OF  
THE UNIVERSITY  
COMMUNITY:**

As members of the University community, professors seek above all to be effective teachers and scholars. Although they observe the stated regulations of the institution, provided they do not contravene academic freedom, they maintain their right to criticize and seek revision. They determine the amount and character of the work they do outside the institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their service, they recognize the effect of that decision upon the program of the institution and give due notice of their intentions.



<b>Subject:</b> Professional Ethics	<b>Section Number:</b> PAC - 12 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**AS CITIZENS:**

As members of their community, professors have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, to students, to their profession, and to the institution. When they speak or act as private persons they avoid creating the impression that they speak or act for the University. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry.





<b>Subject:</b> Faculty Counseling	<b>Section Number:</b> PAC - 13 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To define the role of faculty members as student counselors.

**COUNSELING OBLIGATIONS:**

Counseling of students is an integral part and obligation of each faculty member.

**OTHER COUNSELING SERVICES AVAILABLE:**

Students may be referred to professionals in the University Counseling Center for special assistance.



Subject: Academic Freedom  
& Responsibility

Section Number: PAC - 14

Approval Date: 11/4/85

Revision Date:

PURPOSE:

To outline the conditions of academic freedom and responsibility for faculty and staff members who teach or perform research.

RIGHTS AND RESPONSIBILITIES:

Academic freedom is the right of members of the academic community freely to study, discuss, investigate, teach, conduct research, publish or administer as appropriate to their respective roles and responsibilities. It is the responsibility of administrators to protect and assure these rights within the governing framework of the institution. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful to present the various scholarly views related to their subject and to avoid introducing into their teaching controversial or other matter which has no relation to their subject. Teachers are entitled to full freedom in research and in the publication of the results therefrom, subject to the adequate performance of their other academic duties.

ASSURANCES:

However, academic freedom should be distinguished clearly from constitutional freedom, which all citizens enjoy equally under the law. Academic freedom is an additional assurance to those who teach and pursue knowledge, and, thus, properly should be restricted to rights of expression pertaining to teaching and research within their areas of recognized professional competencies. Beyond this, expressions by members of the academic community should carry no more weight or protection than that accorded any other citizen under the guarantee of constitutional rights: that is, outside of one's professional field, one must accept the same responsibility which all other individuals bear for their acts and utterances. In these cases, there is and should be no guaranteed immunity from



Subject: Academic Freedom  
& Responsibility

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possible criticism under the guise of academic freedom; however, when members of the academic community speak or write as citizens, they should be free from institutional censorship or discipline, but as persons of learning they should remember that the public may judge their profession and their institution by their utterances so they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others and should indicate that they are not institutional spokespersons.

The concept of academic freedom must be accompanied by an equally demanding concept of academic responsibility. The concern of the institution and its members for academic freedom safeguards must extend equally to requiring responsible service, consistent with the objectives of the institution.

INSTITUTIONAL  
COMMITMENTS:

Institutions of higher education are committed to open and rational discussion as a principal means for the clarification of issues and the solution of problems. In the solution of certain difficult problems, all members of the academic community must take note of their responsibility to society, to the institution and to each other and must recognize that at times the interests of each may vary and will have to be reconciled. The use of physical force, psychological harassment, or other disruptive acts, which interfere with institutional activities, freedom of movement on the campus, or freedom of all members of the academic community to pursue their rightful goals, is the antithesis of academic freedom and responsibility. So, also, are acts which, in effect, deny freedom to speak, to be heard, to study, to teach, to administer and to pursue research. It is incumbent upon members of the academic community to be



Subject: Academic Freedom & Responsibility	Section Number: Pac - 14  Approval Date: 11/4/85 Revision Date:
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acquainted with their individual responsibilities, as delineated by appropriate institutional statements.

**FACULTY  
COMMITMENTS:**

The universal responsibility of the teaching faculty member is effective teaching. A proper academic climate can be maintained only when members of the academic community meet their fundamental responsibilities regularly, such as preparing for and meeting their assignments, conferring with and advising students, evaluating fairly and reporting promptly student achievement and participation in group deliberations which contribute to the growth and development of students and the institution. All members of the academic community also have the responsibility to accept those reasonable duties assigned to them within their fields of competency, whether curricular, cocurricular or extracurricular. Additionally, the concept of "institutional loyalty" still has a proper place within the academic community and imposes the further responsibility on all members of the academic community to attempt, honestly and in good faith, to preserve and defend the institution and the goals it espouses, without restricting the right to advocate change.

**PROTECTION,  
DEFENSE &  
PROMOTION OF  
ACADEMIC FREEDOM:**

Administrators must protect, defend and promote academic freedom, must assure that members of the academic community fulfill their responsibilities and, in addition, must recognize that they have special responsibilities for which they are held accountable--namely, the marshaling of human, physical and financial resources in order to realize institutional goals. (Source: American Association of State Colleges and Universities, adopted November 9, 1971)



<b>Subject:</b> Time & Effort Reporting	<b>Section Number:</b> PAC - 15 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:** To provide for reports on time and effort on externally funded projects.

**PROCEDURE:** Recognizing the need to comply with OMB Circular A-21 and the Education Division General Administrative Regulations (EDGAR), Morehead State University shall account for the time and effort of University personnel working on externally funded projects. University personnel, where all or part of their total compensation (including consulting, overload, etc.) is paid by external sources and/or where their time and effort are donated by Morehead State University to an externally sponsored project, shall complete periodically a "University Personnel Activity Report" which documents their time and effort. Personnel Activity Report Forms shall be obtained from the Division of Administrative and Fiscal Services, Office of Business Services.



<b>Subject:</b> Support for Editorships of Journals & Offices Held in Professional Organizations	<b>Section Number:</b> Pac - 16 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To encourage faculty members to assume editorship of professional journals or offices in professional organizations.

**INFORMING THE UNIVERSITY:**

If a faculty member assumes an editorship of a professional journal or an office in a professional organization, that individual shall inform his/her Department Chair about such activity.

**REQUESTS FOR UNIVERSITY FINANCIAL SUPPORT:**

In addition, if there is need for institutional support in the form of a special telephone line, mailing privileges (costs), paper costs, convention budgets, and so forth, the faculty member shall include in the report information about the organization and its impact upon the region or the nation, the types of responsibilities being assumed, and a proposed budget to cover the requested funds.

That request shall be forwarded through channels to the Vice President for Academic Affairs.

The Department Chair and Dean shall comment on the value to the institution when reviewing the request. The Vice President for Academic Affairs is responsible for approving or disapproving such requests.

**FOLLOW UP REPORTS:**

If approved, the program shall be reported on at least annually by the faculty member. Such reports shall be sent through channels to the Vice President for Academic Affairs.



<b>Subject:</b> Sabbatical Leave of Absence	<b>Section Number:</b> PAc - 17 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To provide a leave of absence with pay for research and independent study, professional education preparation programs such as institutes and workshops, and travel related to the applicant's professional interests.

A sabbatical is a privilege which may be granted to an individual who has demonstrated by publication, teaching, exhibition or performance an above average ability in scholarship, research, or other creative accomplishment.

**ELIGIBILITY:**

Standing appointment, full-time, tenured faculty members and academic administrators who hold tenure in an academic rank, meeting the following conditions:

1. They hold the rank of Professor, Associate Professor, or Assistant Professor.
2. They have served the University for a minimum of six consecutive contract years of full-time service. Time spent on any type of leave of absence is not counted as full-time service.
3. They are tenured (if they are paid through the University) or if paid with funds provided by an agency other than the University, and in a non-tenured position, they have served at least seven years in one of the ranks listed above. In these cases, the use of restricted funds for sabbatical must be allowed by the granting agency.

**AGE LIMITATIONS:**

A sabbatical leave will not be granted to an individual who, because of mandatory retirement age requirements, cannot provide two contract years of full-time service to the University following return from leave.



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**CRITERIA FOR CONSIDERATION:**

Factors considered in evaluating an application for sabbatical leave are:

1. The validity of purpose.
2. The potential value of the leave to Morehead State University.
3. The quality of service by the applicant.
4. The distribution of approved leaves among the University's departments and colleges.
5. The length of service of the applicant.
6. The availability of institutional funds.
7. The means required to handle the workload of the applicant during the leave period.
8. The determination of whether or not the applicant has previously been granted a sabbatical leave.

**GUIDELINES FOR PRIORITIES FOR GRANTING LEAVES:**

The following guidelines shall be considered in considering applicants for sabbatical leaves:

1. Sabbatical leave priorities shall be based primarily upon factors which are felt to be most valuable and useful to the institution as stated specifically above.
2. Priority shall be awarded to those persons who can receive the sabbatical without the necessity of





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3. Priority shall be awarded to those faculty who are in need of training in another field in order to remain in employment with the University and meet the University's needs.

**SUBMISSION OF  
REQUEST FOR  
SABBATICAL  
LEAVE:**

The faculty member is responsible for submitting his/her application for a sabbatical leave on a form provided by the University. Such applications should be submitted to the Department Chair by the February 1 preceding the fiscal year during which the leave is to begin.

The application must be accompanied by the following:

1. A statement giving full details concerning the purpose of the leave and plans for its use;
2. A vita giving full details of the applicant's educational preparation, work history, and accomplishments at Morehead State University.

**THE REVIEW  
PROCESS:**

The applications shall be reviewed by the Department Chair, the Dean, the University Sabbatical Leave Committee, the Vice President for Academic Affairs, and the President. The findings of each review level shall be recorded and passed along to each higher level of review.

**THE APPROVAL  
PROCESS:**

Sabbatical leave applications which are recommended by the President are sent to the Board of Regents for approval.

**SALARY PAYMENT  
WHILE ON LEAVE:**

Persons granted leaves may receive full salary for up to one semester or one-half salary for up to two semesters. The salary will be based upon that which would have been earned during the time of the sabbatical leave.



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**FACULTY RIGHTS  
DURING THE LEAVE:**

The successful applicant will enjoy the following rights regarding time spent on a sabbatical leave of absence:

1. The recipient may share in the salary increases awarded by the University.
2. Leave time will be credited as active service for retirement purposes. University and faculty contributions will continue on the basis of full salary.
3. The leave period counts toward requirements for promotion.
4. The recipient may return to his/her former position with the University unless otherwise agreed to by the employer and employee.
5. The recipient who is a member of the University insurance coverages shall continue in those plans at the same rates while on a sabbatical leave. This applies to dependents as well.

**FACULTY  
OBLIGATIONS  
REGARDING  
THE LEAVE:**

The successful applicant will have the following obligations regarding the sabbatical leave of absence:

1. The recipient of a leave will submit the following reports to the appropriate college Dean:
  - a. An interim report during the sabbatical leave indicating how the leave is being spent. This report will consist of a description of activities or coursework being taken and credit being earned.



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- b. The final report consisting of a description of how the leave was spent and supporting documents such as transcripts.
2. Return to service at Morehead State University for at least two years after the sabbatical leave expires or repay the amount of compensation received while on leave. If the recipient of a sabbatical leave returns to the University for a period less than two years, the amount repayable shall be prorated in relation to the amount of return service given. For example, if he/she returns for one year, the repayable amount shall be one-half the compensation received while on leave.
3. The recipient of a paid sabbatical leave must not be gainfully employed during the period of the leave. This restriction, however, is not to be construed to mean that an individual who has been awarded a scholarship, assistantship, or other honorary stipend be deprived of the sabbatical leave if the scholarship, assistantship, or stipend does not involve duties separate from the purpose for which the leave is granted.



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4. An agreement will be drawn up between the recipient and the University stating the approved activities during the sabbatical and the recipient's rights and obligations. Failure to comply with the contracted provisions of the sabbatical will result in cancellation of the sabbatical, repayment of all salaries received as a result of being granted the leave, and forfeiture of all rights specified in the sabbatical agreement. The cost of legal proceedings will be borne by the party breaking the agreement.

**SUBSEQUENT  
SABBATICAL  
LEAVES:**

An individual becomes eligible to apply for a subsequent sabbatical leave under the terms and conditions specified above, provided that a minimum of six contract years of full-time service has elapsed since ending a previous sabbatical leave. (Time spent on any leave is not counted as a part of the six contract years of full-time service.)

**EXCEPTIONS:**

The President has the option of making exceptions to the above stated policy when deemed in the best interest of the University.

MORRHEAD STATE UNIVERSITY

The University Committee on Rights and Responsibilities

PETITION FOR REVIEW OF A COMPLAINT

Name of Petitioner \_\_\_\_\_ Date \_\_\_\_\_

Department \_\_\_\_\_ College \_\_\_\_\_

Position \_\_\_\_\_ Phone \_\_\_\_\_

Grounds for Complaint Petition Related to Violation of:

\_\_\_\_\_ Academic Freedom

\_\_\_\_\_ Professional Ethics

\_\_\_\_\_ Discrimination

\_\_\_\_\_ Due Process

\_\_\_\_\_ Other (please state clearly)

Complaint

Relief Expected

Party Complained Against \_\_\_\_\_

Channels Used Prior to this Petition

Signature \_\_\_\_\_



<b>Subject:</b> Faculty Rights & Responsibilities	<b>Section Number:</b> PAC - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 5/22/87
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**PURPOSE:**

To define the procedures to be followed when issues involving faculty rights and responsibilities have not been resolved successfully through the normal channels of administrative responsibility and procedure.

**ELIGIBILITY:**

All individuals in the academic classification category plus those individuals in the administrative category who have tenure-eligible academic rank and who have grievances of an academic nature.

**SCOPE:**

The Committee on Faculty Rights and Responsibilities established by these procedures may review petitions from all faculty members (described under Eligibility above) in any situation in which a faculty member asserts that he/she has suffered a substantial injustice resulting from a violation of academic freedom, professional ethics, or procedural fairness, discrimination or due process.

Disputes about the dismissal of a probationary tenure eligible faculty member or a fixed-term appointee before the end of the term of appointment or of a tenured faculty member are covered under Kentucky Revised Statutes (KRS 164.360 - KRS 164.365).

Faculty members, who have been employed full time at Morehead State University for seven or more consecutive years and are untenured, shall be afforded the same rights of Academic Freedom and Due Process as a tenured faculty member, upon the recommendation of the President and approval of the Board of Regents.

Any issue to be reviewed under these procedures must be presented by the particular faculty member who has the issue.



<p><b>Subject: Faculty Rights &amp; Responsibilities</b></p>	<p><b>Section Number: PAC - 18</b> <b>Approval Date: 7/1/85</b> <b>Revision Date: 5/22/87</b></p>
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**COMMITTEE ON FACULTY RIGHTS AND RESPONSIBILITIES:**

The Committee on Faculty Rights and Responsibilities shall consist of seven members: two tenured faculty members from each college.

Nominees for faculty representatives for each college shall be made by the Faculty Senate and voted on by the tenured members of the faculty in that college. The Faculty Senate will elect a voting chair from the faculty at large. The term of the chair shall be for one year.

Terms of faculty members from each college shall be for three years and shall be staggered to provide continuity of membership. No member may serve for more than two consecutive terms.

**OPERATION OF THE COMMITTEE:**

A quorum of the Committee will be a majority of those remaining after any member is disqualified because of blood or marriage relationship to the aggrieved party or because of a member's personal involvement in the case.

Upon receiving a petition, the Committee will make a preliminary determination as to the extent of its review of the matter. The Committee will reserve the right not to take up a complaint that it judges without merit or where it appears that other remedies should be sought before coming to the Committee.

The Committee may decide to have an informal review or to establish a Hearing Board. If a Hearing Board is not established, the Committee may attempt to bring about a satisfactory settlement.



<b>Subject:</b> Faculty Rights & Responsibilities	<b>Section Number:</b> PAC - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 5/22/87
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A Hearing Board will be established only on the vote of a majority of membership of Committee upon a determination that a prima facie basis for the complaint has been shown and may not reasonably be dealt with through an informal resolution process.

The burden of proof in establishing a prima facie case will be on the complaining party.

The Committee on Faculty Rights and Responsibilities should attempt to settle matters brought to it as quickly as possible without sacrificing fairness to all parties. Only in extraordinary circumstances should there be a time span longer than 30 days between the receipt of a complaint by the Committee and a decision as to whether there will be a formal hearing.

The Committee shall not consider the substantive academic judgment aspects of such matters as promotion, tenure, compensation, and evaluation of performance. In such matters as these, academic freedom, professional ethics, discrimination, or due process may be reviewed.

**THE HEARING BOARD:**

For a particular case, a Hearing Board, consisting of all eligible members of the Committee will be established to hear the case. Members will remove themselves from a case if they deem themselves disqualified by reason of bias or interest.

If a specific hearing is scheduled, notice will be served with a specific statement of the complaint at least 20 days prior to the hearing. The party complained against may waive a hearing or may respond to the complaint in writing at any time before the hearing.





<b>Subject:</b> Faculty Rights & Responsibilities	<b>Section Number:</b> PAC - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 5/22/87
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Hearings before a Hearing Board will not be public. Publicity and public statements about the case by either the complaining party or the Hearing Board will be avoided until the proceedings have been completed. The Hearing Board and both parties may have present at the hearing such assistance as they deem necessary.

During the proceedings the parties will be entitled to have an advisor and counsel of their own choice. The Hearing Board will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available and to avoid excessively legalistic procedures.

A tape recording of the hearings will be made and will be available to both parties.

The parties will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The University administration will make reasonable efforts to cooperate with the Hearing Board in securing witnesses and making available documentary and other evidence.

Parties will have the right to confront and cross-examine all witnesses.

The Hearing Board's findings of fact and conclusions will be based solely on the hearing record.

The Hearing Board shall not consider the substantive academic judgment aspects of such matters as promotion, tenure, compensation, and evaluation of performance. In such



<p><b>Subject:</b> Faculty Rights &amp; Responsibilities</p>	<p><b>Section Number:</b> PAC - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 5/22/87</p>
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matters as these, academic freedom, professional ethics, discrimination, or due process may be reviewed.

The Hearing Board may not review any petitions which are being or have been processed in the courts or through affirmative action.

The Hearing Board shall reach its conclusions by majority vote and shall submit these conclusions to the President of the University through the Chairperson of the Committee on Faculty Rights and Responsibilities. The President shall notify the Chairperson of the decision that has been reached. In the event that the President's decision is not in accord with the conclusions of the Hearing Board, the reasons for that decision shall be specified to the Chairperson of the Committee on Faculty Rights and Responsibilities who will inform the Committee and the parties directly involved.



<p><b>Subject:</b> Faculty Attendance at Faculty Meetings</p>	<p><b>Section Number:</b> PAC - 19 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:**

To outline responsibilities of faculty members for attendance at faculty meetings.

**POLICY:**

Faculty members are expected to attend all faculty meetings unless they have compelling reasons for not being able to do so. A faculty member shall inform his/her Department Chair or immediate supervisor if unable to attend a faculty meeting. Preferably that notification shall be prior to the meeting but, in any case, if unable to provide advance notice, the faculty member shall provide such information after the meeting.



<b>Subject:</b> Vacation Leave for Faculty Members on Twelve-Month Appointments	<b>Section Number:</b> PAC - 20 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:** To define conditions for vacation leave for regular, full-time faculty members on twelve-month appointments.

**ACCUMULATION:** Vacation shall be accumulated at the rate of one-and-one-quarter (1 $\frac{1}{4}$ ) work days for each month of regular employment during the first 10 years of continuous employment and one-and-one-half (1 $\frac{1}{2}$ ) work days thereafter. A 12-month faculty member accumulates vacation in any month in which he/she is paid for 11 days, except that pay received for accumulated vacation at time of leave without pay, termination of employment, death, or retirement will not be credited toward the 11 days.

**MAXIMUM ACCUMULATION:** The maximum accumulation of vacation for a 12-month faculty member earning at the rate of one-and-one-quarter (1 $\frac{1}{4}$ ) work days per month shall be 30 work days. The maximum accumulation of vacation for a 12-month faculty member earning at the rate of one-and-one-half (1 $\frac{1}{2}$ ) work days per month shall be 30 days.

**VACATION USAGE:** Only days on which the faculty member normally would have worked are charged against accumulated vacation. Vacation leave must have been earned to be taken.

**PAYOFF OF ACCUMULATED VACATION:** The cash equivalent of unused vacation is paid off when a faculty member on a 12-month appointment terminates employment, dies, retires, or commences a leave of absence without salary. The cash equivalent is determined by dividing the annual salary by 1,950 times seven and one-half (7 $\frac{1}{2}$ ) times the number of unused days. There is no other cash settlement for accumulated vacation.



<p><b>Subject:</b> Salary Increase upon Promotion in Rank</p>	<p><b>Section Number:</b> PAC - 21 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:** To outline the salary considerations when promotion in rank occurs.

**POLICY:** An individual who is promoted in academic rank is entitled to two increases, as follows:

1. A fixed amount to recognize the promotion in rank. This amount is established each year by the President.
2. A merit increase based on the same published criteria used in determining merit increases for other faculty members.



<b>Subject:</b> Suspension	<b>Section Number:</b> PAC - 22 <b>Approval Date:</b> <b>Revision Date:</b>
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**PURPOSE:** To establish the right of the President to suspend an employee.

**SUSPENSION:** Before suspending a faculty member, pending an ultimate determination of the faculty member's status through the institution's hearing procedures, the administration will make reasonable effort to consult with the Faculty Rights and Responsibilities Committee concerning the propriety, the length and the other conditions of the suspension. A suspension which is intended to be final is a dismissal and will be treated as such. Salary may continue during the period of the suspension. (Source: American Association of University Professors)



<p><b>Subject:</b> Compensation Determination for Reassigned Administrators</p>	<p><b>Section Number:</b> PAC - 23  <b>Approval Date:</b> 6/15/85  <b>Revision Date:</b> 6/19/87</p>
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**PURPOSE:** To outline the pay and reassignment policy for administrators who either return or are reassigned to the faculty, full time teaching.

**FACULTY APPOINTMENT**

**NONTENURED ADMINISTRATORS RETURNING TO FACULTY:**

Administrators with or without academic rank, nontenured, may return to a full time teaching, research and/or service contract so long as they qualify and successfully compete for an existing vacancy.

**TENURED ADMINISTRATORS RETURNING TO FACULTY:**

Tenured administrators with academic rank may return to a full time teaching, research, and/or service contract upon the approval of the appropriate dean and/or vice president. If no vacant position exists, one will be created.

Administrators with tenure, who hold no rank, will be given the same employment retention consideration as faculty with tenure, upon the approval of the appropriate dean and/or vice president. These administrators will not necessarily be reassigned to classroom teaching.

**SALARY DETERMINATION:**

Administrators with academic rank reassigned or returning to a nine-month full time teaching, research, and/or service contract shall be paid thereafter their base salary plus merit earned.

**COMPENSATION:**

Base faculty salary for returning or reassigned administrators shall reflect salary increments which would have occurred had they served in a faculty position during the same time.

**CALCULATION:**

The Vice President for Academic Affairs will be responsible for the calculation of salaries for administrators, with rank, returning to the faculty and entering full time teaching. Salary proposals shall be submitted to the President for approval and presentation to the Board of Regents.



<p><b>Subject:</b> Compensation and Faculty Assignment of Administrators Holding Rank</p>	<p><b>Section Number:</b> PAC 24 <b>Approval Date:</b> 6/13/86 <b>Revision Date:</b></p>
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**PURPOSE:** To outline the pay and faculty assignment policy for administrators who hold academic rank.

**ASSIGNMENT:** Administrators who qualify may receive academic rank and tenure eligibility upon recommendation of the President in consultation with the appropriate departmental faculty and the Vice President for Academic Affairs and approval of the Board of Regents.

Administrators who hold academic rank may apply for promotion and/or tenure through normal promotion and tenure channels.

Those tenure eligible administrators who hold rank are governed by the same rules and regulations for tenure eligible faculty. (See Pac - 2.)

No administrators without academic credentials will be given rank or tenure.

**COMPENSATION:** Individuals, present and prospective, hired into administrative positions in which it is possible to acquire faculty rank and/or tenure shall be paid a base salary comparable to faculty of similar rank, experience, and education plus an additional sum for an extended contract and an administrative stipend to bring total compensation to a competitive administrative salary level. In the event and at such a time as that administrator may be reassigned to faculty status, the supplement for the extended contract and the administrative stipend shall be removed. (See Pac - 23.)

**CALCULATION:** The Vice President for Academic Affairs will be responsible for the calculation of salaries for administrators with rank to be submitted to the President for approval and presentation to the Board of Regents.





**Subject:** Faculty and Academic Administrators Early Retirement

**Section Number:** PAC -125

**Approval Date:** 7/18/86

**Revision Date:**

**PURPOSE:**

To provide regular full-time faculty and regular full-time academic administrators, eligible for retirement under the Kentucky Teachers Retirement System, an opportunity to retire earlier than the age required to qualify for Social Security benefits or the mandatory age of retirement from the University, but to continue in a part-time teaching or other capacity with the University.

**ELIGIBILITY:**

Any faculty member or academic administrator eligible for retirement under either the regular Kentucky Teachers' Retirement System or Kentucky Employees' Retirement System may apply for early retirement. Request to take early retirement by eligible regular full-time faculty and regular full-time academic administrators must be submitted by September 1 if retirement is to be effective December 31 and by March 1 if retirement is to be effective by June 30. A request to retire early is to be made by the retiring member directly to the requesting member's Department Chair in which he/she holds academic rank. A decision on whether to grant the early retirement request will be made by the appropriate academic administrators (Department Chair, Dean, and Vice President for Academic Affairs) and will be based upon the staffing needs (present and future) of the affected department. If early retirement does not adversely affect the academic function of the Department or Division of Academic Affairs, then upon a favorable recommendation of the Department Chair, Dean, and Vice President for Academic Affairs, the President may recommend final approval to the Board of Regents at the next scheduled meeting of the Board. Prior to the recommendation to the President, a fixed term contract not to exceed four years will have been negotiated between the faculty member



<b>Subject:</b> Faculty and Academic Administrators Early Retirement	<b>Section Number:</b> PAC - 25 <b>Approval Date:</b> 7/18/86 <b>Revision Date:</b>
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and the University, the provisions of which should mutually meet the needs of the contracting parties, and to become binding must be recommended by the President and approved by the Board of Regents.

**PROGRAM:**

Under the early retirement program as permitted by KTRS, the faculty member has the opportunity to teach a minimum of six and a maximum of twelve semester hours per fiscal year (July 1-June 30). For each credit hour taught, compensation shall be at a rate of 3.33 percent of the retiring member's last base salary. Nine-month faculty teaching the equivalent of a half-time teaching load for an academic year (see PAC - 7) qualify for the maximum compensation under this plan (40 percent of the last contract base salary). Twelve-month academic administrators will have their salary converted to a 9-month basis in accordance with PAC - 23 as approved by the Board of Regents on June 13, 1986, before the 3.33 percentage rate per credit hour is applied. The faculty member's base salary from which to calculate the 3.33 percentage will increase in accordance with salary distribution guidelines adopted by the institution each year. During the early retirement period, the retired faculty member may elect to purchase life insurance from the University life insurance carrier under the University's group plan. Single and family health insurance may also be purchased at the group rate; however, the Office of Personnel Services and the Office of Budgets and Management Information Services will annually review the decision to continue to offer health and life insurance as a part of the early retirement plan. Year-to-year continuation of the health and life plan for faculty in the early retirement program is contingent upon budgetary impact.



<p><b>Subject:</b> Faculty and Academic Administrators Early Retirement</p>	<p><b>Section Number:</b> PAC - 25 <b>Approval Date:</b> 7/18/86 <b>Revision Date:</b></p>
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Retired faculty teaching under the provision of this plan may retain the appropriate faculty rank from which they retire but do not retain faculty voting rights in their academic department. Nor will the retired faculty member be eligible for promotion or sabbatical leave as outlined in PAC - 2 and PAC - 17.

This special employment faculty appointment category carries with it the expectations, duties, and responsibilities of a faculty position. Sick leave will be permitted in accordance with PAC - 4, office space will be made available and library and special purchase privileges (bookstore, athletic tickets, etc.) will be available in accordance with University policies and procedures. The faculty member's performance will also be evaluated utilizing the same evaluation instrument as used to evaluate regular faculty. This special appointment category carries with it no less responsibility for classroom performance, attendance, and professional ethics and responsibilities than that of regular faculty, and will be governed by the University Personnel Policies with the exceptions as defined previously.

Faculty opting for early retirement are given priority in receiving summer teaching assignments during the summer before the year of retirement.

Faculty must retire fully from the University in accordance with current Personnel Policy at age 70.

**BACKGROUND:**

The University Faculty Senate recommended that an early retirement plan be established and provided a report on which the above policy is based.



**Subject:** Faculty and Academic  
Administrators Early  
Retirement

**Section Number:** PAC - 25

**Approval Date:** 7/18/86

**Revision Date:**

Some faculty members expressed interest in taking early retirement and such a program offered advantages to both the faculty member and the University.

This program does not carry automatic participation. Each applicant case will be considered on the basis of such factors as eligibility, University resources, and needs of the faculty member's department.



<b>Subject:</b> Termination of Faculty for Cause, Financial Exigency, and Discontinuance of Program	<b>Section Number:</b> PAC - 26 <b>Approval Date:</b> 5/22/87 <b>Revision Date:</b>
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**GENERAL POLICY:**

The Board of Regents has a paramount statutory duty to the people of Kentucky to maintain a quality educational program consistent with the mission statement and within available financial resources as determined by the Council on Higher Education, the Governor, and the General Assembly. Accordingly, determination of the existence of cause, financial exigency, or discontinuance of program based essentially on educational considerations, that may involve the termination of tenured faculty members, is a prerogative reserved for the Board and will not be delegated.

The Board of Regents is fully aware of the fact that adjustments due to a financial crisis or discontinuation of a program that include the termination of tenured faculty members are matters of gravity and require thoroughly considered balancing of the public and private interests. These actions are to be taken under exacting criteria and with assurance of requisite safeguards of academic due process to maintain a quality education program consistent with the mission statement and available financial resources.

Upon a documented report of the University needs and available fiscal resources and recommendation of the President that a case of financial exigency or need to discontinue a program exists, faculty termination decisions will be made by the Board of Regents. The President's report to the Board of Regents shall result from and reflect the advice and written recommendations of the Faculty Senate and the ad hoc committees which are listed in the specific procedures which follow.

In making specific recommendations for termination of individual tenured faculty



<b>Subject:</b> Termination of Faculty for Cause, Financial Exigency, and Discontinuance of Program	<b>Section Number:</b> PAC - 26 <b>Approval Date:</b> 5/22/87 <b>Revision Date:</b>
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appointments, the President shall take into account the following:

1. If funded vacancies exist, an offer will be made to the tenured faculty members concerned existing positions for which they are qualified by education and/or experience. If any faculty members are unqualified by education or experience, the University will grant the maximum of a one-year period of sabbatical leave during which the faculty member will retrain and prepare for the specific vacancy. Financial support will be granted in accordance with the sabbatical leave policy.
2. In the event of the termination of a tenured faculty member, that faculty member will not be replaced for a period of three years:
  - a. By another person of comparable qualifications at the same or higher salary without first offering reinstatement to the terminated tenured faculty member and allowing thirty calendar days for acceptance;
  - b. By another person at a reduced level of compensation without first offering reinstatement to the terminated tenured faculty at the faculty member's most recent compensation and allowing thirty calendar days for acceptance.
3. In the event of the termination of all tenured faculty members in a particular area or discipline for discontinuance of program, that area



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or discipline will not be reinstated at the University for a period of five years.

4. Faculty members, who have been employed full time at Morehead State University for seven or more consecutive years and are untenured, shall be afforded the same rights of Academic Freedom and Due Process as a tenured faculty member, upon recommendation of the President and approval of the Board of Regents.

**PROCEDURE FOR FACULTY TERMINATION FOR CAUSE:**

This procedure will be used when it is recommended by the President that the University terminate a faculty member for cause. Reasons for cause to dismiss will be limited to (1) Incompetency, (2) Neglect of Duty, (3) Refusal to Perform Duties, and/or (4) Immoral Conduct. It specifically outlines the rights and academic due process that are accorded a faculty member on a continuing contract and does not attempt to deal with other staff and University personnel procedures. It is recommended that, in the general interest of Morehead State University, a procedure be developed for these employees and that a process be set up to reconcile the interests of the University as a whole.

**IDENTIFICATION OF A CASE OF TERMINATION FOR CAUSE:**

Recognizing that the President has the authority to initiate termination charges, for cause, against a faculty member, the University will generally rely though upon the Dean of the College in which a faculty member resides to identify that a case of termination for cause exists at Morehead State University. Once a case of termination for cause is identified by the Dean of the College, the Dean will inform the Vice President for Academic Affairs and the



<p><b>Subject:</b> Termination of Faculty for Cause, Financial Exigency, and Discontinuance of Program</p>	<p><b>Section Number:</b> PAC - 26  <b>Approval Date:</b> 5/22/87  <b>Revision Date:</b></p>
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President in a written, signed statement of the facts relied upon to support one or more of the statutory grounds for dismissal for cause. The stated formal charge(s) against the faculty member will be only on the grounds of (1) Incompetency, (2) Neglect of Duty, (3) Refusal to Perform Duties, and/or (4) Immoral Conduct. This provision preserves a Dean's discretion to handle complaints against one of his/her faculty members informally before initiating formal charges for the termination for cause.

STEP ONE. The President, after consultation with the Vice President for Academic Affairs, the Dean preferring the charges, the Department Chair of the department in which the faculty member resides, and the Chair of the Faculty Rights and Responsibilities Committee, will determine whether to prefer charges against the faculty member or to refer the matter back to the Dean for further consideration. Absolute discretion is essential in this process to protect the rights and privacy of the individuals involved.

STEP TWO. If the President decides to prefer charges against the faculty member, the Vice President for Academic Affairs will meet with the faculty member and hand a copy of a written statement, signed by the President, specifying in detail the charge or charges against the faculty member to the faculty member. Every effort shall be made at this point to outline the case being preferred against the faculty member and to advise the faculty member of the procedure which will be followed and the faculty member's academic and civil rights in the proceedings. Upon receipt of the written statement specifying charge(s) at the meeting, the faculty member shall have thirty calendar days in which to





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file with the Vice President for Academic Affairs a written, signed response to the charges within the written statement. If the faculty member wishes to decline his/her right to a hearing, he/she has the option of submitting a letter of resignation to the Vice President of Academic Affairs within thirty days following the meeting. The Vice President for Academic Affairs will forward the letter of resignation along with copies of all pertinent materials to the President of the University for recommendation to the Board of Regents.

**STEP THREE.** If the faculty member fails or refuses to file a response within the thirty-day period, or if the faculty member files an answer denying any or all of the charges outlined in the written statement, the Vice President for Academic Affairs shall convene a five-member ad hoc Termination for Cause Hearing Board and will provide the faculty member with a written, signed notice of a hearing of record to take place not less than thirty calendar days nor more than sixty calendar days, excluding the day notice is received by the faculty member. The ad hoc Termination for Cause Hearing Board will consist of one member of the Faculty Rights and Responsibilities Committee elected by the Faculty Rights and Responsibilities Committee, three faculty members elected by the Faculty Senate, and the Faculty Regent, who will serve as Chair. The Vice President for Academic Affairs, the Chair of the Faculty Senate, and the Chair of the Faculty Rights and Responsibilities Committee may serve as nonvoting, ex officio members of the ad hoc Termination for Cause Hearing Board.

1. The ad hoc Termination for Cause Hearing Board, in consultation with the charged faculty member, will



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exercise its judgments as to whether the hearing should be public or private and the expressed wishes of the charged faculty member shall take precedence;

2. Entry into the written record of appearances and testimony of the concerned parties and witnesses;
3. Entry into the written record of the written statement specifying the charge or charges against the faculty member and the faculty member's response to them;
4. Presentation of witnesses, documents, and other pieces of evidence by the Dean who initiated charges;
5. An opportunity for the faculty member or his/her counsel to call and cross-examine witnesses, and to present documents, and other pieces of information reputing the charges in the written statement;
6. The University and faculty member will have the right to confront and cross-examine each others witnesses;
7. An opening statement on behalf of the University;
8. An opening statement by the faculty member or his/her counsel;
9. A verbatim record of the hearing will be taken, and a transcribed copy will be made available, without cost to the faculty member.



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10. The burden of proof that cause for termination exists rests with the University;
11. A recommendation with findings of facts and conclusions based upon the record considered as a whole will be made in an open session as to whether cause for termination of the faculty member exists. The Hearing Board may go into closed session to discuss the evidence presented at the hearing.
12. The recommendation of the ad hoc Termination for Cause Hearing Board will be sent to the President and copies of the recommendation will be sent to the Vice President for Academic Affairs, the Dean preferring the charges, the Department Chair of the faculty member, the charged faculty member, and the Faculty Regent. Dissenting minority reports shall be included in the final report.
13. The President and the faculty member will be given a copy of the transcribed hearing and record within five calendar days of the Hearing Board's recommendation.

**STEP FOUR.** If the recommendation of the ad hoc Termination for Cause Hearing Board is that cause exists for termination of the faculty member's contract, or for the application of another appropriate action, the faculty member has thirty calendar days excluding the day the recommendation of the Hearing Board is received to file a written, signed exceptions to the Hearing Board's recommendation to the President of the



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University. A copy of the exceptions will be sent to the Vice President for Academic Affairs, the Dean preferring the charges, the Department Chair of the faculty member, the charged faculty member, and the Faculty Regent.

If the faculty member feels that he/she has not received due process, he/she has the right to file an appropriate grievance with the Faculty Rights and Responsibilities Committee which will investigate the matter within four weeks and submit a recommendation to the President. A copy of the report will be sent to the Vice President for Academic Affairs, the Dean preferring the charges, the Department Chair of the faculty member, the charged faculty member, and the Faculty Regent. Dissenting minority reports shall be included in the final report.

STEP FIVE. If the recommendation of the ad hoc Termination for Cause Hearing Board is that cause does not exist for termination of the faculty member's contract and, if the President rejects the recommendation of the ad hoc Termination for Cause Hearing Board that adequate cause for dismissal has not been established by the evidence of the record considered as a whole, the President will state the reasons for doing so, in writing, to the ad hoc Termination for Cause Hearing Board and the faculty member. The President will provide an opportunity for written exceptions by the faculty member within fifteen calendar days before making any recommendation to the Board of Regents.



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STEP SIX. After a review of the facts and the procedures followed, if it is the decision of the President to make a recommendation of termination of employment for cause to the Board of Regents, prior to final action of the Board of Regents, the Board shall consider any written exceptions and responses to the Hearing Board's recommendation and the recommendation of the President, and at the request of a party or on its own, permit oral argument before the full Board of Regents. The Board of Regents shall review the transcript of the hearing and the record of evidence, and recommendations, exceptions, and response, and may discuss same in closed session. In open session, the Board of Regents, will determine whether or not to terminate the faculty member's contract. This ends the formal process of academic appeal but does not preclude the possibility of seeking redress through the legal system for perceived injury and harm.

**PROCEDURE  
FOR FACULTY  
TERMINATION  
FOR FINANCIAL  
EXIGENCY:**

This procedure will be used when it is proposed by the President that the University reduce the total number of faculty positions on a campuswide basis due to a case of financial exigency. It specifically outlines the rights and academic due process that are accorded a faculty member on a tenured or non-tenured contract and does not attempt to deal with other staff and University personnel procedures. It is recommended that, in the general interest of Morehead State University, a procedure be developed for these employees and that a process be set up to reconcile the interests of the University as a whole.



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**IDENTIFICATION  
OF A CASE OF  
FINANCIAL  
EXIGENCY:**

The Vice President for Administrative and Fiscal Services will identify that a case of financial exigency exists at Morehead State University and will inform the President of the situation with supporting documentation.

**STEP ONE.** The President will submit a written report to the Faculty Senate which states that a case of financial exigency exists and give budgetary and financial information which would support that position. The President should also give a personal assessment of the situation and preliminary recommendations for solving the situation. The emphasis at this point in the process is to identify the number of faculty positions which are proposed to be eliminated and/or the dollar amount of savings in faculty salaries which are necessary to deal with the situation. The preliminary recommendations should also outline what other cuts are being proposed.

**STEP TWO.** Following notification by the President, the Faculty Senate will determine whether or not a case of financial exigency exists. If the Senate decides that the President's case for financial exigency has not been sufficiently documented, the President will be invited by the Chair of the Faculty Senate to make a presentation to the Senate at a regularly scheduled Faculty Senate meeting to present more supporting evidence for the position. If the Faculty Senate determines that a reasonable case for financial exigency exists, the matter will be referred to the three independent ad hoc committees listed in STEP THREE. The Senate may also choose at this time to prepare an independent and more comprehensive report for submission to the Faculty Regent and the President.



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If the Senate decides that a case of financial exigency has not been adequately demonstrated, the Senate will submit a dissenting opinion to the President with a copy to the Faculty Regent.

If after receiving a Faculty Senate dissenting opinion, the President feels that a case of financial exigency does exist, the President may proceed to develop a full report to the Board of Regents regarding the financial condition of the University. The report will include, but not be limited to, information and reports from the Faculty Senate and a recommended procedure to be followed regarding the termination and due process rights of tenured faculty affected by the financial exigency.

STEP THREE. The Faculty Senate will elect the nine faculty members who are to serve on the three ad hoc committees listed below. Every effort will be made to have an equitable representation from nontenured as well as tenured faculty, since it is the former who are likely to bear the brunt of the reduction. There will also be a faculty representative from each of the three colleges on each ad hoc committee. The committees will work independently on the determination of financial exigency and will propose possible solutions and alternative courses of action. Faculty positions to be eliminated, but not specific faculty members, may be identified at this point in the process.

1. AD HOC COMMITTEE CHAIRED BY VICE PRESIDENT FOR ADMINISTRATIVE AND FISCAL SERVICES. The seven-member committee will consist of the Deans of the three academic colleges and one faculty member from each of the three colleges appointed by the



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Faculty Senate as outlined above, and will be chaired by the Vice President for Administrative and Fiscal Services.

2. AD HOC COMMITTEE CHAIRED BY VICE PRESIDENT FOR ACADEMIC AFFAIRS. The seven-member committee will consist of the Faculty Regent, the Faculty Senate Chair, the Chair of the Faculty Senate Fiscal Affairs Committee and one faculty member from each of the three colleges appointed by the Faculty Senate as outlined above, and will be chaired by the Vice President for Academic Affairs.
  
3. AD HOC COMMITTEE CHAIRED BY FACULTY RIGHTS AND RESPONSIBILITIES CHAIR. The seven-member committee will consist of three Department Chairs and one faculty member from each of the three colleges appointed by the Faculty Senate as outlined above, and will be chaired by the Chair of the Faculty Rights and Responsibilities Committee. The Department Chairs will be appointed by the President, and every effort should be made to choose Chairs that will be most adversely affected by the proposed eliminations of faculty positions.

STEP FOUR. The three ad hoc committees will present written reports to the President within 120 calendar days from the time the committees are convened. Copies of the reports will be sent to the Faculty Senate, the Faculty Regent, and the chairs of the other ad hoc committees. Dissenting minority reports shall be included in the final reports.





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STEP FIVE. The President, after receiving the reports of the three ad hoc committees and the final recommendations of the Faculty Senate, will make recommendations regarding the specific faculty positions and faculty members who will be terminated for a case of financial exigency. The President will follow the Order of Termination Sequence in determining the faculty members to be terminated.

ORDER OF  
TERMINATION  
SEQUENCE:

1. Tenured faculty members will have the preference of retention over nontenured faculty members.
2. A faculty member who has attained tenure prior to another faculty member will have preference of retention.
3. If the time of tenured service is equal, then tenured faculty of superior academic rank will have preference of retention.
4. If service and rank considerations are the same for two faculty members, the faculty member with the longer period of employment at the University will have preference of retention.

These specific recommendations will be submitted to the Vice President for Academic Affairs who will notify in writing, within five business days, those faculty members whose positions are proposed to be eliminated. The Vice President for Academic Affairs will also convene the ad hoc Committee on Reconciliation listed in STEP SIX.



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STEP SIX. AD HOC COMMITTEE ON RECONCILIATION. The seven-member committee will consist of the Vice President for Academic Affairs, the Vice President for Administrative and Fiscal Services, the Chair of the Faculty Senate, one faculty member elected by the Faculty Senate from each of the three committees listed in STEP THREE, and the Faculty Regent who will serve as Chair. There should be a faculty member from each College represented on the committee. The committee will meet individually with each affected faculty member and will make every effort to reach some accommodation with the individual regarding his/her rights and possible courses of alternative action. Such advice may include, but not be limited to, proposing such alternatives as a reassignment of work duties, sabbatical leave for the purpose of retraining or re-adapting teaching skills towards a new position, and informed of any early retirement incentive programs available. The faculty member affected will be afforded the opportunity to present documentation or other evidence in support of his/her objection to the proposed elimination of position due to financial exigency and the resulting intention to terminate the faculty member's contract. If the faculty member and the ad hoc Committee on Reconciliation can reach a mutually agreeable solution, the faculty member and the Committee will submit a written proposal of settlement to the President outlining the conditions of acceptance.

If the matter cannot be resolved successfully with the faculty member, the ad hoc Committee on Reconciliation will issue a written report to the President within five business days from the time of the final meeting with the affected faculty member. The report will outline the areas of disagreements. A copy



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of the report will be sent to the Chair of the Faculty Senate and the Faculty Regent. Dissenting minority reports shall be included in the final report.

If the faculty member feels that he/she has not received due process, he/she has the right to file an appropriate grievance with the Faculty Rights and Responsibilities Committee which will investigate the matter within four weeks and submit a recommendation to the President. A copy of the report will be sent to the Vice President for Academic Affairs, the Chair of the Faculty Senate, and the Faculty Regent. Dissenting minority reports shall be included in the final report.

STEP SEVEN. The President will meet personally with the faculty member and will attempt to reconcile the areas of disagreement regarding the termination of the faculty member. The President, after consultation with the Vice President for Administrative and Fiscal Services, the Vice President for Academic Affairs, the Faculty Regent, the Chair of the Faculty Rights and Responsibilities Committee, and a person of the faculty member's choosing will then make a final recommendation regarding the position of the faculty member which will be submitted to the Board of Regents for consideration and action. A written copy of the formal recommendation will be given to the faculty member within five business days of the final meeting. This ends the formal process of academic appeal but does not preclude the possibility of seeking redress through the legal system for perceived injury and harm.



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**PROCEDURES FOR FACULTY TERMINATION FOR DISCONTINUANCE OF PROGRAM:**

This procedure will be used when the President proposes that the University eliminate all faculty positions in a particular department, discipline, or program area (hereafter referred to only as Program) for a case of discontinuance of program which is based essentially on educational considerations. It specifically outlines the rights and academic due process that are accorded a faculty member on a continuing contract and does not attempt to deal with other staff and University personnel procedures. It is recommended that, in the general interest of Morehead State University, a procedure be developed for these employees and that a process be set up to reconcile the interests of the University as a whole.

**NOTE:** "Educational considerations" do not include cyclical or temporary variations in enrollment. They must reflect long-range judgments that the educational mission of the institution as a whole will be enhanced by the discontinuance.

**INITIAL DETERMINATION FOR THE NEED TO TERMINATE TENURED FACULTY POSITIONS FOR DISCONTINUANCE OF PROGRAM:**

Recognizing that the President has authority for program discontinuance, the University will generally rely upon the Vice President of Academic Affairs to determine whether it would be desirable and in the best interests of the University as a whole, based essentially on educational considerations, to discontinue a Program and to eliminate all of the tenured faculty positions in that Program. After consultation with the appropriate Dean(s) and Department Chair(s), the Vice President will inform the President in writing of the situation with supporting documentation.

**STEP ONE.** The President will submit a written recommendation to the Faculty Senate



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which states that the President intends to propose to the Board of Regents that a particular Program be discontinued and that all tenured faculty positions in that Program be terminated due to the changing program needs of the University. The recommendation will include, but not be limited to, the rationale for discontinuing the Program, the perceived effect that the elimination of the Program will have on the University as a whole, and the number of faculty positions that will be terminated. The President will also submit copies of the recommendation to the Dean of the College in which the Program is located, the specific Program Chair, and the Chair of the appropriate University curriculum committee. Graduate and undergraduate programs in the same Program will be handled as separate recommendations.

STEP TWO. The President will convene a seven-member ad hoc Committee on Program Elimination to report on the effects that the elimination of the Program will have on University curricula. The ad hoc Committee on Program Elimination will consist of the two college representatives on the appropriate graduate or undergraduate University curriculum committee from the College in which the Program is located; two members from the Educational Standards Committee of the Faculty Senate elected by the Faculty Senate; two faculty members from the affected Program elected by faculty within the Program; and the Dean of the College in which the Program is located who will serve as Chair. The Program Chair(s) may serve as nonvoting, ex officio member(s) of the committee. The ad hoc Committee on Program Elimination will have at least 120 calendar days in which to prepare and submit its finished report to the President with a



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copy to the Faculty Senate Chair and Faculty Regent. The appropriate graduate or undergraduate University curriculum committee and the Faculty Senate shall also prepare separate reports and recommendations for the President.

STEP THREE. If the ad hoc Committee on Program Elimination recommends that elimination of the Program and its faculty positions is in the best interest of the University based essentially upon educational considerations, and if the appropriate University curriculum committee and the Faculty Senate concur in this recommendation, the President will ask the Vice President for Academic Affairs to convene an ad hoc Committee on Reconciliation as constituted in STEP FOUR.

If the Faculty Senate and the appropriate University curriculum committee concur with an opinion from the ad hoc Committee on Program Elimination that the discontinuance of the Program(s) and its faculty positions is not in the best interest of the University, and if the President feels that the need for a program(s) discontinuance exists, the President may proceed to develop a full report to the Board of Regents regarding Program discontinuance. The report will include, but not be limited to, information and reports from the Faculty Senate, the appropriate University curriculum committee, and the ad hoc Committee on Program Elimination; and a recommended procedure to be followed regarding the termination and due process rights of tenured faculty affected by the Program discontinuance.



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STEP FOUR. AD HOC COMMITTEE ON RECONCILIATION. If the President decides to convene the seven-member ad hoc Committee on Reconciliation, the seven-member committee will consist of the Vice President for Academic Affairs, the Vice President for Administrative and Fiscal Affairs, the Chair of the Faculty Senate, and three members elected by the Faculty Senate, and will be chaired by the Faculty Regent. There shall be a faculty member from each College represented on the committee.

The committee will meet individually with each affected faculty member and will make every effort to reach some accommodation with the individual regarding their rights and their possible courses of alternative action. Such advice would include, but not be limited to, proposing such alternatives as a reassignment of work duties, sabbatical leave for the purpose of retraining or re-adapting teaching skills towards a new position, and informed of any early retirement incentive programs available. The faculty member affected will be afforded the opportunity to present documentation or other evidence in support of his/her objection to the proposed elimination of position due to financial exigency and the resulting intention to terminate the faculty member's contract. If the faculty member and the committee can reach a mutually agreeable solution, the faculty member and the committee will submit a written proposal of settlement to the President outlining the conditions of acceptance.

STEP FIVE. If the matter cannot be resolved successfully with the faculty member, the ad hoc Committee on Reconciliation will issue a written report to the President within five business days from the time of the final



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meeting with the affected faculty member. The report will outline the areas of disagreements. Dissenting minority reports shall be included in the final report.

If the faculty member feels that he/she has not received due process, he/she has the right to file an appropriate grievance with the Faculty Rights and Responsibilities Committee which will investigate the matter within four weeks and submit a recommendation to the President. A copy of the report will be sent to the Vice President for Academic Affairs, the Chair of the Faculty Senate, and the Faculty Regent. Dissenting minority reports shall be included in the final report.

STEP SIX. The President will meet personally with the faculty member and will attempt to reconcile the areas of disagreement regarding the termination of the faculty member. The President, after consultation with the Vice President for Administrative and Fiscal Services, the Vice President for Academic Affairs, the Faculty Regent, the Chair of the Faculty Rights and Responsibilities Committee, and a person of the faculty member's choosing will then make a final recommendation regarding the position of the faculty member which will be submitted to the Board of Regents for consideration and action. A written copy of the formal recommendation will be given to the faculty member within five business days of the final meeting. This ends the formal process of academic appeal but does not preclude the possibility of seeking redress through the legal system for perceived injury and harm.





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**PURPOSE:**

To define the criteria, procedures, and conditions of the review of University academic personnel for the awarding of tenure.

**I. GENERAL PRINCIPLES**

**ACADEMIC PRINCIPLES:**

Faculty members have an important responsibility in providing evaluations of peers in the tenure process. This responsibility involves the application of academic and professional judgments in a framework of shared authority among various levels of review and between faculty and academic administrators.

The tenure procedures consist of several levels of judgment and review: the department, the college, and the University. The initial reviews will take place at the level of the department and college and will focus on professional and scholarly judgments of the quality of the individual's academic work. Subsequent levels of University review will bring broader faculty and administrative judgment to bear and will also monitor general standards of quality, equity, and adequacy of the procedures used. At each level, the review process will reflect the competence and perspective of the reviewing body.

**EXPECTATIONS AND STANDARDS OF LACH UNIT:**

An important part of the whole tenure process for faculty members is that all parties to the process share common expectations and understandings. Since general statements of principles will be broad and inclusive, each academic unit may develop its own specific expectations and standards in addition to the broad, University-wide standards as the operational basis for tenure recommendations. Statements concerning these additional



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expectations and standards will be available and on file in the Office of the Vice President for Academic Affairs, and will be given to each faculty member.

The review process for tenure and promotion is concerned with the academic and professional merits of particular candidates, judged in reference to all alternative candidates, including prospective faculty members. Tenure standards, therefore, cannot be fixed and absolute but will reflect to some extent the varying competitive positions of the University in attracting faculty. Accordingly, evaluations will be influenced by such considerations of relative standing. Likewise, progressively more exacting scrutiny will take place as the faculty member advances in academic rank.

**CHANGING NEEDS  
AND PRIORITIES:**

Although the tenure process is geared, narrowly and properly, to evaluating individual performance, the changing needs and priorities of the institution may also affect the decision to grant tenure. Both equity and the long-range interests of the institution, however, require directing primary attention to University needs and priorities at the time of appointment and careful intermediate and longer range academic personnel planning.

**TENURE DEFINED:**

Tenure is a system by which competent, productive faculty members who meet certain stated criteria are informed that they have successfully completed their probationary period and are recognized as continuing members of the faculty free to pursue their academic interests and responsibilities with the confident knowledge that termination of their appointment can be only for cause (see Section III).



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## II. CRITERIA FOR TENURE

### GENERAL CRITERIA:

Tenure shall be based on the potential for future advancement in each of the areas as indicated by performance during the probationary period.

The minimal requirements listed below are not the sole determinants in the process:

1. Teaching excellence--as recognized by colleagues, department chairs, and deans and as assessed by students. Other evidence may include, but not be limited to, the following: student contact activities (advisement, supervision of internships and theses); development of new courses, programs, or innovative instructional techniques; teaching awards and honors.
2. Professional achievement--as related to the teaching area may include, but not be limited to, the following: research, scholarly or creative achievements; attendance at professional meetings and leadership roles in professional organizations; participation in seminars and workshops; additional graduate study in the teaching field; work experience; and consulting.
3. Service to the institution and the community--may include, but not be limited to, the following: active participation on University, college, department, and Faculty Senate ad hoc and standing committees; service as an official representative of the University; sponsorship of approved



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co-curricular activities; coordination of and participation in University workshops, conferences, clinics, inservice and special events; development of proposals; development of relationships with professional groups in business, industry, trade, education, and government; non-University service rendered as a citizen, not as a representative of Morehead State University.

III. STATEMENTS REGARDING TENURE

TO WHOM TENURE PROVISIONS APPLY:

Provisions for holding academic tenure apply to all faculty members of Morehead State University holding full-time, regular Standing Appointments to the rank of Professor, Associate Professor, and Assistant Professor. Academic tenure is granted only in an academic program area.

PROBATIONARY OR PRE-TENURE

The probationary appointment period in the University is five years of continuous employment, beginning with the first full-time regular standing appointment to any rank. However, up to three years of equivalent professional service at other accredited institutions of higher education or an earlier appointment at Morehead State University may be applied toward this five-year probationary period upon appointment. Criteria for awarding equivalent professional service will be established by the Vice President for Academic Affairs.

A faculty member will not be retained beyond a total of six years of full-time employment in regular standing appointments without attaining tenure. To be tenured, a faculty member must make application for tenure



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through the appropriate tenure review structure, be recommended for tenure by the President of the University, and be approved by the Board of Regents for tenure.

This requirement will apply to eligible faculty members hired by the University who did not hold full-time regular Standing Appointments for the 1986-1987 academic year.

A faculty member who holds tenure-eligible rank must be reviewed for the awarding of tenure no later than the fifth year of probationary status.

**NON-TENURABLE  
ACADEMIC  
APPOINTMENTS:**

The tenure provisions defined herein do not apply to the following academic appointments:

1. Appointments designated as Standing II, Fixed-Term I, Fixed-Term II, or Visiting.
2. Appointments without remuneration.
3. Academic appointments to ranks other than Professor, Associate Professor, or Assistant Professor.

**NOTE:** Fixed-Term Appointments are discontinued automatically at the stated ending date or for cause during the term of the appointment but may be renewed. Standing II Appointments and Standing I Appointments in nontenure-eligible ranks are terminable under the conditions of termination stated in PAC - 26.

**TRANSITION  
PROVISIONS:**

Faculty who held full-time regular Standing Appointments for the 1986-1987 academic year are subject to the following transition provisions:



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The probationary period for these faculty shall be no less than five years in a tenurable rank or five years beginning with the 1987-1988 academic year, whichever comes first.

Untenured faculty who by the fifth year of probationary status have been employed as faculty by the University for seven or more consecutive years shall not be required, but may elect, to undergo tenure review. (See PAC - 26, page 2, statement 4.) Faculty so exempted who do not request review for tenure within five years of attaining tenure-eligible rank forfeit the right to request tenure review in any subsequent year.

Those exempted faculty electing to apply for academic tenure forfeit their exempted status and shall undergo the same process with the same benefits/consequences as other faculty who apply for tenure.

**NOTIFICATION  
ABOUT  
PROBATIONARY  
PERIOD FOR  
NEW FACULTY:**

Each new faculty member is given a Contract for Academic Service on which the starting amount of probationary credit is stipulated.

A faculty member granted credit for probationary years upon appointment or promotion to a tenure eligible rank may request part or all of that time to be rescinded if he/she needs more time to develop credentials for tenure. However, such request may not be made after the tenure review process has started in the fifth probationary year.

A document signed by the Dean and the faculty member confirming the change in years of probationary status shall be executed.



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COMPUTING A YEAR OF CREDIT TOWARD TENURE:

In order to facilitate the administration of tenure review procedures, there shall be a common tenure anniversary date of July 1. This tenure anniversary date does not necessarily coincide with the faculty member's date of initial appointment. A year of credit toward tenure is earned in any year in which the tenure-eligible faculty member has full-time active employment status of no less than half of the July 1 through June 30 year (one semester if he/she normally is appointed for two semesters).

Since the purpose of the probationary period is to provide opportunity for observing the faculty member, time spent on leave of absence will not be counted as active employment, except for leave of absence for education purposes (see PG - 9).

NOTICE OF NONREAPPOINTMENT AND TERMINATION:

I. Standards for notice of non-reappointment for tenure-eligible positions are as follows:

A. Dates

1. Not later than March 1 of the first academic year of service.
2. Not later than December 15 of the second academic year of service.
3. After two or more years of service in the University, twelve months.

B. The President notifies the faculty member to be nonreappointed after consultation with the appropriate Academic Administrators.

II. All full-time and part-time faculty members of Morehead State University whose appointments are not being renewed



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have the right to a written statement of reasons for nonrenewal upon request to the President. A faculty member must request the written statement of reason(s) within thirty (30) calendar days of notice of nonreappointment. Such reasons for nonreappointment will be given by the President within thirty (30) calendar days following the request. All faculty members have the right to appeal to the Faculty Rights and Responsibilities Committee.

**ANNUAL PERFORMANCE REVIEWS:**

Annual performance reviews are made of all faculty members.

**TENURE PORTFOLIO:**

The tenure portfolio must contain a curriculum vita and supporting documents.

The candidate's portfolio must document all qualifications, and it must be complete at the time of submission.

**CURRICULUM VITAE:**

The following are guidelines for constructing the curriculum vita. All categories will not apply to each candidate. Whenever appropriate specific titles, dates, pages, and publishers should be included. A reasonable sample of items under numbers III and IV should be presented.

I. Personal Data

- A. Name
- B. Present rank, administrative title (if applicable), and department
- C. Dates of initial rank assignment and promotions at Morehead State University
- D. Field or fields of specialization





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- E. Education completed: degrees, certifications, and/or licenses with institutions and dates awarded or granted
- F. Teaching prior to Morehead State University or related work experience prior to Morehead State University
  - 1. Institutions
  - 2. Dates
  - 3. Responsibilities
  - 4. Rank changes and dates
- G. Memberships in academic honor organizations
- II. Teaching--Note whenever reassigned time was given.
  - A. Teaching load each semester
    - 1. Numbers and titles of courses taught
    - 2. Credit hours/workload
  - B. Student contact activities
    - 1. Number of advisees: graduate, undergraduate
    - 2. Supervisor of internships
    - 3. Direction of theses and service on theses committees
    - 4. Direction of independent studies
    - 5. Service on oral examination committees
    - 6. Other
  - C. New courses and programs developed



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- D. Innovative instructional techniques developed
- E. Teaching awards and honors
- F. Other evidence of effective teaching

III. Professional Achievement

A. Scholarship

- 1. List of published articles
- 2. List of published books
- 3. List of published reviews
- 4. List of papers read at conferences
- 5. Editorship of or service on editorial boards of professional journals
- 6. Scholarly grants
- 7. Sabbaticals
- 8. Pure research completed
- 10. Fellowships awarded
- 11. Awards for scholarship

B. Creative Productions--List of:

- 1. Exhibits
- 2. Musical compositions published
- 3. Poems, plays, stories, novels published
- 4. Artistic performances
- 5. Speaking engagements
- 6. Inventions
- 7. Awards for creative productions



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C. Academic organizations

1. Memberships
2. Leadership roles
3. Attendance at conferences
4. Awards for service

D. Continuing education

1. Seminars attended and form of participation
2. Workshops attended and form of participation
3. Graduate study
  - a. Institution
  - b. Degree being pursued and anticipated date of completion
  - c. Credit hours completed

E. Relevant work experience and consulting

1. Institution/agency
2. Responsibilities
3. Dates

F. Other evidence of professional growth

IV. Service

- A. List of University, college, department, and Faculty Senate ad hoc and standing committees with level indicated in each case
- B. Sponsorship or advisor of University-approved extracurricular activities



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- C. Service as official representative of the University
  - 1. Place
  - 2. Responsibility
  - 3. Date
- D. Coordination of and participation in Morehead State University workshops, conferences, clinics, inservice, and special events
  - 1. Title
  - 2. Form of participation
  - 3. Date
- E. Development of proposals to benefit the University
  - 1. Title of proposal
  - 2. Date submitted
  - 3. Accepted or rejected
- F. Development of relations with professional groups (business, industry, trade, education, and government)
- G. Honors and awards for service
- H. Other University service
- I. Non-University service

**SUPPORTING DOCUMENTS:**

The supporting documents should be arranged in the following categories:

- 1. Documents which support personal data (for example):
  - copies of official transcripts
  - copies of official letters of promotion at other institutions



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2. Documents which support effectiveness of teaching (for example)
  - copies of results of teacher ratings
  - copies of descriptions of innovative instructional techniques
  - copies of teaching awards and honors
  
3. Documents which support evidence of professional growth (for example)
  - copies of published articles, books, reviews
  - copies of papers read at conferences
  - copies of conference programs
  - copies, slides, tapes of, or patents for creative productions
  - evidence of roles in academic organizations
  - evidence of continuing education including transcripts of graduate work
  - programs identifying speaking engagements
  
4. Documents which support service (for example)
  - copies of proposals to benefit the University
  - copies of honors or awards for service

**TENURE COMMITTEES:**

Department, College, and University Tenure Committees will be formed and operate within the following structure and procedures:



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1. No candidate for tenure, candidate's spouse, department chairs, or deans will serve on tenure committees.
2. No faculty member will serve on more than one tenure committee.
3. Preference for committee membership shall be given to those who have undergone the tenure process.
4. The chairperson of each tenure committee will be elected by the committee.
5. In academic areas where schools are the administrative unit above the department level, the peer review will be by the department, college, and University tenure committees.
6. The University Tenure Committee shall consist of nine (9) faculty members elected by the Faculty Senate from the tenured, full-time faculty and must include three representatives from each college and shall include both males and females. No two representatives should be from the same department/school. Committee members shall be full professors. In the event that full professors are unavailable, associate professors may serve; if no associate professors are available, assistant professors may serve. Term of service shall be three years, with one member from each college being replaced each year. A member may not hold successive terms.
7. The College Tenure Committee shall consist of one representative from



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each department of the college. These members should be tenured, full-time faculty members. Each department will elect, by secret ballot, a representative to serve a two-year term on the college committee.

8. The Department Tenure Committee should consist of the department as a whole (if not excluded by conditions 1 and 2 above). Each department may choose to elect a Department Tenure Committee. All faculty who are not excluded by conditions 1 and 2 above are eligible for committee membership and are elected by secret ballot.
9. The quorum necessary for voting will be two-thirds of the total membership of a committee.
10. All voting on candidates will be by secret ballot. Recommendation for tenure requires an affirmative vote by a majority of the committee membership voting. There shall be no abstentions in the voting process. In all committee recommendations the number of "yes" votes and the number of "no" votes must be recorded.
11. In all cases, tenure committees must state in writing on the appropriate form the rationales for the majority recommendation and a numerical rating of qualification for tenure. Those in the minority must also state their rationale in writing.



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12. Tenure committees' deliberations must be treated confidentially and must not be discussed outside of tenure committee meetings.

**IV. TENURE PROCESS**

**GUIDELINES:**

All prospective candidates for tenure review may elect to attend an orientation workshop sponsored and presented by the Vice President for Academic Affairs and the previous year's chair of the University Tenure Committee that shall be held no later than April 15 of each year. Each candidate for tenure will receive peer review at the department, college, and University levels. In addition to peer review, each candidate will be reviewed by his/her Department Chair, Associate Dean (if applicable), College Dean, and the Vice President for Academic Affairs. The President makes the final recommendation to the Board of Regents.

**INITIATION OF THE REVIEW PROCESS:**

**BY SEPTEMBER 15:** The candidate applying for tenure review has the responsibility for submitting the required tenure portfolio, which includes the curriculum vita and supporting documents, to his/her college dean. The dean will place the portfolio in a secure area for review by the appropriate Department Tenure Committee, College Tenure Committee, Department Chair, Associate Dean (if applicable), and College Dean.

**REVIEW OF PORTFOLIOS:**

The review process will proceed as described below:

1. **BY OCTOBER 1:** Department Tenure Committee, Department Chair, College Tenure Committee, Associate Dean (if applicable), and College Dean independently review the portfolios





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and make a determination regarding a positive or negative recommendation. The recommendation, supporting rationale, and numerical rating of qualification for tenure are documented on the appropriate form (see attached Forms A and B) and submitted to the College representatives of the University Tenure Committee.

2. BY OCTOBER 5: As soon as these reviews are completed, the College Dean sends the portfolios to the Vice President for Academic Affairs, who places the portfolios in a secure area for review by the University Tenure Committee.
3. BY OCTOBER 5: The two college representatives of the University Tenure Committee inform the candidates of the appropriate Department Tenure Committee's, Department Chair's, College Tenure Committee's, Associate Dean's (if applicable), and College Dean's recommendations through presentation of the summary form (see attached Form C).
4. BY OCTOBER 10: If all recommendations are for tenure, the portfolio will automatically be reviewed by the University Tenure Committee. If any recommendation is against tenure, the candidate may withdraw the portfolio, request that it be sent on without responding, or request that it be sent on with a letter of response to any recommendation against tenure. If the candidate chooses to submit a letter of response, it must be



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submitted to the appropriate representative of the University Tenure Committee. To withdraw the portfolio, a candidate must submit a written request to the college representative of the University Tenure Committee, who will then return the portfolio to the candidate.

5. BY NOVEMBER 1: The University Tenure Committee reviews the candidate's portfolio; the recommendations by the Department Tenure Committee, the Department Chair, the College Tenure Committee, Associate Dean (if applicable), and College Dean; and any letter of response; and makes a determination regarding a positive or negative recommendation. The recommendation, supporting rationale, and numerical rating of qualification for tenure is documented on the appropriate form (see attached Form D).
6. BY NOVEMBER 20; The two University Tenure Committee representatives from each college will inform their college's candidates for tenure of the University Tenure Committee's recommendation. If the recommendation is for tenure, the portfolio will automatically be made available for review by the Vice President for Academic Affairs, the President, and the Board of Regents. If the University Tenure Committee's recommendation is against tenure, a college representative will inform the candidate; and the candidate may withdraw the portfolio, request that it be sent on without responding, or



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request that it be sent on with a letter of response. If the candidate chooses to submit a letter of response, it must be submitted to the Vice President for Academic Affairs. To withdraw the portfolio, a candidate must submit a written request to the college representative of the University Tenure Committee, who will then return the portfolio to the candidate.

7. The Vice President for Academic Affairs reviews the portfolio, the recommendations, and the letters of response. The Vice President makes a recommendation on each portfolio to the President, who in turn recommends to the Board of Regents, who will make the final decision.
8. BY 1 WEEK AFTER BOARD'S DECISION: Within one week of the Board of Regents' decision, the President informs each candidate in writing of the decision. The tenure portfolio will be available for return.
9. BY 2 WEEKS AFTER BOARD'S DECISION: Each candidate who does not receive tenure will be invited to meet with the Vice President for Academic Affairs for further explanation. The candidate has the option to decline this invitation.

FORM A: DEPARTMENT TENURE COMMITTEE RECOMMENDATION OR  
DEPARTMENT CHAIR OR ASSOCIATE DEAN RECOMMENDATION

Candidate's name: \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Recommendation (circle one)      TENURE      DO NOT TENURE

Using a scale of 1 to 10 with 10 being the highest possible score, assign a numerical value to each of the following areas and multiply by the assigned factor. The sum of the three areas becomes the rating of qualification for tenure:

TEACHING      \_\_\_\_\_ X 60% = \_\_\_\_\_

SERVICE      \_\_\_\_\_ X 20% = \_\_\_\_\_

PROFESSIONAL ACHIEVEMENT      \_\_\_\_\_ X 20% = \_\_\_\_\_

RATING OF QUALIFICATION FOR TENURE: \_\_\_\_\_

\*\*\*\*\*

Vote(s) FOR \_\_\_\_\_ Vote(s) AGAINST \_\_\_\_\_

Please provide specific rationale which supports the final recommendation. Use the reverse side if needed.

Department Chair's or Associate Dean's name \_\_\_\_\_

OR List of Committee Members and Chairperson



FORM C: SUMMARY OF RECOMMENDATIONS

Candidate's name: \_\_\_\_\_ Highest degree held \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Time at Morehead \_\_\_\_\_ Time since last advancement \_\_\_\_\_

\*\*\*\*\*

Department Committee Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Tenure \_\_\_\_\_

Summary Rationale:

Department Chair's Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Tenure \_\_\_\_\_

Summary Rationale:

College Committee Recommendation FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Tenure \_\_\_\_\_

Summary Rationale:

Associate Dean's Recommendation (if applicable) FOR \_\_\_\_\_ AGAINST \_\_\_\_\_

Rating of Qualification for Tenure \_\_\_\_\_

Summary Rationale:

FORM D: UNIVERSITY TENURE COMMITTEE RECOMMENDATION

Candidate's name: \_\_\_\_\_

Department: \_\_\_\_\_ College: \_\_\_\_\_

Recommendation (circle one)      TENURE      DO NOT TENURE

Using a scale of 1 to 10 with 10 being the highest possible score, assign a numerical value to each of the following areas and multiply by the assigned factor. The sum of the three areas becomes the rating of qualification for tenure:

TEACHING      \_\_\_\_\_ X 60% = \_\_\_\_\_

SERVICE      \_\_\_\_\_ X 20% = \_\_\_\_\_

PROFESSIONAL ACHIEVEMENT      \_\_\_\_\_ X 20% = \_\_\_\_\_

RATING OF QUALIFICATION FOR TENURE:      \_\_\_\_\_

\*\*\*\*\*

Vote(s) FOR \_\_\_\_\_ Vote(s) AGAINST \_\_\_\_\_

Please provide specific rationale which supports the final recommendation. Use the reverse side if needed.

List of Committee Members and Chairperson



<b>Subject:</b> "Regular" and "Nonregular" University Employment	<b>Section Number:</b> PG - 1 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:** To define regular and nonregular faculty and staff members.

**REGULAR EMPLOYEES**  
**DEFINED:** A regular faculty or staff member is a person who is appointed to a full-time position that will exist for more than six consecutive calendar months with the expectation of continuance.

**NONREGULAR**  
**EMPLOYEES DEFINED:** A nonregular faculty or staff member is a person who works less than full-time or who works full-time but is not appointed to a position that will last more than six consecutive months.

**CONTINUING**  
**PART-TIME EMPLOYEE**  
**DEFINED:** A continuing part-time faculty or staff member is a person who is appointed to a position that is at least half time but less than full time, that will last for at least nine months, and that has an expectancy of continuation. Such positions are considered nonregular in that they are not eligible for University insurance benefits. However, they are eligible for some specific paid time-off conditions as designated in policies.

**NOTE:** Any continuing part-time faculty or staff member participating in the University's insurance benefits at the time this policy becomes effective shall be permitted to continue such coverages.

**CONDITIONS OF**  
**EMPLOYMENT FOR**  
**EACH CATEGORY:**

1. Each regular faculty or staff member is subject to the provisions of:
  - a. University personnel policies that apply to regular employees in his or her classification category.
  - b. Applicable insurance benefits offered by the University.





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- c. Regulations regarding participation in a retirement plan.
  - d. Applicable federal and state laws including workers' compensation and unemployment compensation.
  - e. University regulations regarding employment at retirement age.
2. Each nonregular faculty or staff member is subject to the provisions of:
- a. University regulations regarding employment and retirement age.
  - b. Applicable federal and state laws including workers' compensation and unemployment compensation.
3. Each continuing part-time faculty or staff member is subject to the provisions of:
- a. University regulations regarding employment and retirement age.
  - b. Applicable federal and state laws including workers' compensation and unemployment compensation.
  - c. Applicable regulations regarding the retirement plans.
  - d. Those parts of the University personnel policies specifically designated for continuing part-time personnel such as prorated vacation and sick leave.



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**EXCESSIVE HOURS  
WORKED BY A  
NONREGULAR  
EMPLOYEE:**

If an individual employed on a nonregular basis works a schedule that meets regular employment conditions, the supervisor shall: (a) reduce the individual's work schedule to a nonregular load, or (b) request that the position be established as a regular position, or (c) terminate the employment of the incumbent. If a position is established, that position shall be filled in accordance with normal search and/or promotion procedures. The nonregular employee shall not be given preference for the position.



<b>Subject:</b> Payroll Classification Categories	<b>Section Number:</b> PG - 2 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:** To define the general payroll classification categories used for faculty and staff members.

**DEFINITIONS OF CLASSIFICATION CATEGORIES:** Each regular faculty and staff member of the University is classified in one of the following categories.

1. Academic--Those individuals whose primary responsibility is teaching and who are qualified for the titles of Professor, Associate Professor, Assistant Professor, or Instructor. Designation in this category is the responsibility of the Vice President for Academic Affairs.
2. Administrative--Those individuals whose primary responsibility is the administration of the institution or an academic or institutionwide nonacademic unit or function of major scope. It includes the President; those with the title of Vice President, Dean, and Department Chair; and others designated by the President including, but not limited to, Directors and assistants to the President.
3. Staff Exempt--Those individuals whose primary responsibilities are the performance of professional, administrative, and supervisory work as defined by the Fair Labor Standards Act. Designation in this category is the responsibility of the Director of Personnel Services.



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4. Staff Nonexempt--Those individuals who perform technical, paraprofessional, secretarial, clerical, service, maintenance, and/or skilled trades work and who are designated as nonexempt under the Fair Labor Standards Act. Designation in this category is the responsibility of the Director of Personnel Services.



<p><b>Subject:</b> Types of Appointments</p>	<p><b>Section Number:</b> PG - 3</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

The purpose of this policy is to list and define the types of appointments which may be made to faculty or staff members of the University.

**STANDING I APPOINTMENT:**

Standing I Appointment designates those appointments which are full-time and for which no ending date is specified. Such appointments are terminable in accordance with the appropriate University policy. Standing Appointments are regular (see PG - 4) and must be backed by permanent budgeted funds. The position for each Standing Appointment appears as a line item of a departmental budget salary schedule and is assigned a budget position number on the payroll record. Standing Appointments may be used for all four payroll classification categories (see PG - 2).

Standing appointments may be specified for seven, eight, nine, ten, eleven, or twelve months per fiscal year.

**STANDING II APPOINTMENT:**

Standing II Appointment designates those appointments which qualify as continuing part-time (see PG - 1). Such appointments are terminable in accordance with the appropriate policy.

**FIXED-TERM I APPOINTMENT:**

Fixed-Term I Appointment designates those appointments which are full-time for a fixed period of time of at least six calendar months. Such appointments are regular. The position does not have to be backed by permanent funds.

Fixed-Term I appointments may be used for all payroll classification categories including Instructors and any other individual in the academic payroll classification category not covered by the tenure regulations.



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Fixed-Term I appointments may be used when an individual is designated to serve in an Acting or Interim capacity. In such cases, the individual will:

1. Be granted a Leave of Absence with the mutual consent of both the losing and gaining administrative units, or
2. If mutual agreement cannot be obtained, relinquish any claim to the position from which he/she is departing.

Fixed-Term I Appointments may be made for up to four years. Such appointments are discontinued automatically at the stated ending date or for cause during the term of the appointment at the discretion of the President. These appointments may be renewed.

**FIXED-TERM II  
APPOINTMENT:**

Fixed-Term II Appointment designates those academic appointments which are full-time for less than six calendar months or for less than full-time for up to one year. Such appointments are nonregular and are for a fixed period of time. Such appointments are discontinued automatically at the stated ending date or for cause during the term of the appointment. These appointments may not be renewed.

1. If full-time for less than six months, until a period of six months has elapsed; or
2. If less than full-time for a period of up to one year, until a period of twelve months has elapsed.



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**VISITING  
APPOINTMENT:**

Visiting Appointment designates an appointment in which "visiting" is part of the title. Such an appointment is nonregular, whether full-time or part-time. Visiting Appointments apply to academic personnel only. Such appointments are normally limited up to one year. The position does not have to be backed by budgeted funds.

**SUPPLEMENTARY  
APPOINTMENT:**

Supplementary Appointments designate those appointments which are supplementary to Standing Appointments and have the effect of providing additional contractual obligation beyond the terms of the Standing Appointment. For example, a Supplementary Appointment is used if an individual whose standing contractual obligation is for nine months but is employed temporarily for one to three additional months.

Supplementary Appointments are also used to designate those appointments which are supplementary to Standing or Fixed-Term I Appointments to compensate for approved additional services provided during the same weeks of service of those appointments. For example, a Supplementary Appointment is used if an eligible employee whose standing contractual obligation is for twelve months and is employed to teach a course for additional compensation.

**APPOINTMENT WITHOUT  
REMUNERATION:**

Appointment without remuneration designates an appointment of an individual who does not receive remuneration for the academic position held in the University. Such individuals include those designated as Clinical Faculty Appointments outlined in PAC - 1 or those visiting faculty who are not being paid by the University. The position does not appear as a line item on the departmental budget salary schedule and is not assigned a budget position number on the payroll record.



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**WAGE PAYROLL:**

All other employees of the University who are not specifically appointed to budgeted positions are considered wage payroll employees. As such, they are nonregular and may be terminated upon notice. A Personnel Action Request is submitted on which the time frame for the appointment and the rate of pay are designated. Actual hours worked are submitted on biweekly time sheets.

Wage Payroll appointments are used for:

1. Temporary positions which are positions for a period of time not to exceed six (6) months in any event and are not renewable; or
2. Part-time positions which are positions that may be permanent in duration, but which require less than an annual or fiscal year average of one hundred (100) hours of work per month.



TYPE OF APPOINTMENT	DEFINITION	COVERAGE	STATUS	BENEFITS	TYPE OF ACTIONS	TYPE OF CONTRACT
Standing I Appointment	No Ending Date Full-Time Permanent Budget Funds	Faculty Administrative Exempt and Non-Exempt Staff	Regular	Fully Covered	Appointment	For Faculty and Administrative: Standing I upon Initial Employment For Exempt and Non-Exempt; Letter of Offer upon Initial Employment Thereafter, PAR's or Letters of Continued Employment
Standing II Appointment	No Ending Date Part-time Permanent Budget Funds	Faculty Exempt and Non-Exempt Staff	Non-Regular	May Be Partial Coverage by Law	Appointment	Standing II for Each Period of Employment
Fixed-Term I Appointment	Ending Date More Than 6 Months Soft Money* Full-Time Terminable After Specified Time	Faculty Administrative Exempt and Non-Exempt Staff	Regular	Fully Covered	Appointment	Fixed-Term I for Each Period of Employment
Fixed-Term II Appointment	Specify Ending Date Soft Money* Full-Time up to 6 months or Part-time up to One Year Terminable After Specified Time	Faculty	Non-Regular	Not Covered	Appointment Special Project	Fixed-Term II or Visiting for Each Period of Employment
Visiting Appointment	Visiting Part of Title Specify Ending Date Soft Money* Limited to One Year Can be Full- or Part-Time	Faculty	Non-Regular	Not Covered	Appointment	Fixed-Term II or Visiting for Each Period of Employment

(continued)

TYPE OF APPOINTMENT	DEFINITION	COVERAGE	STATUS	BENEFITS	TYPE OF ACTIONS	TYPE OF CONTRACT
Supplementary Appointment	Must Be Standing I or II Appointments Providing an Additional Contract Obligation in Supplement to Original Agreement (Adds Calendar Time); or Must Be Standing I, II, or Fixed-Term I Appointments within Same Contractual Period: (Adds Duties) Should Not Handle Overtime	Faculty Administrative Exempt and Non-Exempt Staff	Regular	Fully Covered	Summer I and II Appointments 9 Month Appointment Extended to 10, 11, or 12 Month Appointment; or Administrators Teaching Night Classes "On the Road" Payment	Supplemental for Each Extended Period of Employment or for Added Duties
Wage Payroll	Specify Ending Date Soft Money* Full-Time up to 6 Months or Part-Time up to One Year Terminable after Specified Time	Exempt and Non-Exempt Staff	Non-Regular (See PG 1, 2, and 4)	Not Covered	Temporary Assignment Special Project	None

\*Soft money is defined as non-recurring funds from University or external sources.



<p>Subject: Contracts for Services</p>	<p>Section Number: PG - 4                  Approval Date: 7/1/85                  Revision Date: 3/26/87</p>
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PURPOSE:

To define the uses of contracts.

CLASSIFICATIONS FOR WHICH CONTRACTS ARE APPLICABLE:

The University uses contract forms for appointments in the academic and administrative classification categories. Contracts are not used for other appointments. Letters of offer (or other means) are used for appointments for other categories of employees.

CONTRACT ISSUED UPON FIRST APPOINTMENT:

A contract is provided upon first employment in a Standing I Appointment in either the academic and/or administrative category. With the exception of Fixed-Term Appointments and Standing I appointments for administrative personnel as defined by PG - 2, only one contract form is executed for an individual.

SUBSEQUENT CHANGES IN CONDITIONS:

Subsequent changes in conditions of employment for individuals such as a promotion in rank, the granting of tenure, an increase in salary, and so forth are accomplished by letter. A schedule of dates for issuing letters of continuing employment shall be published by December 1.

FIXED-TERM APPOINTMENTS:

Contracts are written for the first appointment and for each subsequent appointment of an individual appointed on a fixed-term basis.

CONTRACT FORMS:

The attached samples of Contracts for Services forms are used in accordance with this policy:

- A. Standing I Appointment - This form is used for: (1) individuals in the Administrative category who have direct responsibility for academic units such as Deans and Academic Department Chairs (see PG - 2 and 3),



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(2) individuals in the Administrative category who are not directly responsible for an academic unit and who are not granted regular academic rank (see PG - 2 and 3), and (3) those classified as academic who meet the requirements of Standing I Appointments (see PG - 2 and 3).

- B. Standing II Appointment (Continuing Part-Time) - This form is used for those who meet the requirements of continuing part-time (see PG - 1, 2, and 3).
- C. Fixed-Term I Appointment - This form is used for all classifications of faculty and staff members who meet the requirements of Fixed-Term I appointments (see PG - 2 and 3).
- D. Fixed-Term II or Visiting Appointment (not eligible for benefits) - This form is used for those classified as academic who do not meet the definition of regular employment (see PG - 1, 2, and 3).
- E. Supplementary Appointment - This form is used to extend the time or the duties of a Fixed-Term I or a Standing Appointment for faculty or staff members beyond the terms of the current contract. (see PG - 2 and 3).

# Contract for Services



## Standing Appointment

The President of Morehead State University, subject to approval by the Board of Regents, has recommended your appointment as follows:

Name \_\_\_\_\_

Organizational Administrative Unit \_\_\_\_\_

Title and, if applicable, Rank \_\_\_\_\_

Effective date of appointment \_\_\_\_\_

Annual salary and service Annual salary of \$ \_\_\_\_\_ composed of:  
\$ \_\_\_\_\_ base salary for \_\_\_\_\_ months of service plus (if applicable)  
\$ \_\_\_\_\_ adjustment for \_\_\_\_\_ additional months of service plus  
\$ \_\_\_\_\_ administrative supplement payable in \_\_\_\_\_ monthly or \_\_\_\_\_ semi-monthly installments.

Applicable tenure status  
 Tenured  
 Probationary status with \_\_\_\_\_ years of academic service credit  
 This is not a tenure eligible appointment.

In accepting this appointment, you are entitled to University benefits and you agree to abide by the applicable regulations affecting University personnel.

Misrepresentation of vitae and/or application information can be cause for denial or termination of employment.

If you agree to these terms of your appointment, please sign on the line below and return all copies, except the gold copy, to the Office of Personnel Services by \_\_\_\_\_.

**Additional conditions:**

\_\_\_\_\_  
appropriate vice president/date

Accepted \_\_\_\_\_  
signature

date \_\_\_\_\_

Social Security No. \_\_\_\_\_

- Distribution
- white—Personnel Services Office
  - blue—Payroll
  - green—Appropriate vice president
  - yellow—College dean/supervisor of office director
  - pink—Department chair/office director
  - gold—Individual



# Contract for Services

## Standing II Appointment (continuing part-time)

The President of Morehead State University, subject to approval by the Board of Regents, has recommended your appointment as follows:

Name \_\_\_\_\_

Organizational Administrative Unit \_\_\_\_\_

Title and, if applicable, Rank \_\_\_\_\_

Effective date of appointment \_\_\_\_\_

Annual salary and service \$ \_\_\_\_\_ for \_\_\_\_\_% of full-time  
service for \_\_\_\_\_ months per year.

This is not a tenure-eligible appointment. You are not eligible for the insurance benefits of the University. This appointment is terminable in accordance with notice procedures under University policy.

In accepting this appointment, you agree to abide by the applicable regulations affecting University personnel. Misrepresentation of vitae and/or application information can be cause for denial or termination of employment.

If you agree to these terms of your appointment, please sign on the line below and return all copies, except the gold copy, to the Office of Personnel Services by \_\_\_\_\_

### Additional conditions

\_\_\_\_\_  
appropriate vice president/date

Accepted \_\_\_\_\_  
signature

date \_\_\_\_\_

Social Security No \_\_\_\_\_

- Distribution
- white—Personnel Services Office
  - blue—Payroll
  - green—Appropriate vice president
  - yellow—College dean/supervisor of office director
  - pink—Department chair/office director
  - gold—Individual



# Contract for Services

## Fixed-term | Appointment

The President of Morehead State University, subject to approval by the Board of Regents, has recommended your appointment as follows:

Name \_\_\_\_\_

Organizational Administrative Unit \_\_\_\_\_

Title and, if applicable, Rank \_\_\_\_\_

Period of appointment \_\_\_\_\_

Salary for period of appointment \_\_\_\_\_

**Note:** Notice of nonrenewal of this appointment is not required.

This is not a tenure-eligible appointment.

In accepting this appointment, you are entitled to University benefits and you agree to abide by the applicable regulations affecting University personnel.

Misrepresentation of vitae and/or application information can be cause for denial or termination of employment.

If you agree to these terms of your appointment, please sign on the line below and return all copies, except the gold copy, to the Office of Personnel Services by \_\_\_\_\_

### Additional conditions

\_\_\_\_\_  
appropriate vice president/date

Accepted \_\_\_\_\_  
signature

date \_\_\_\_\_

Social Security No \_\_\_\_\_

- Distribution
- white—Personnel Services Office
  - blue—Payroll
  - green—Appropriate vice president
  - yellow—College dean/supervisor of office director
  - pink—Department chair/office director
  - gold—Individual



# Contract for Services

## Fixed-term II or Visiting Appointment (not eligible for benefits)

The President of Morehead State University, subject to approval by the Board of Regents, has recommended your appointment as follows:

Name \_\_\_\_\_

Organizational Administrative Unit \_\_\_\_\_

Title and, if applicable, Rank \_\_\_\_\_

Period of appointment \_\_\_\_\_

Salary for period of appointment \_\_\_\_\_

**Note:** Notice of nonrenewal of this appointment is not required.

This is not a tenure-eligible appointment. You are not eligible for benefits of the University.

In accepting this appointment, you agree to abide by the applicable regulations affecting University personnel. Misrepresentation of vitae and/or application information can be cause for denial or termination of employment.

If you agree to these terms of your appointment, please sign on the line below and return all copies, except the gold copy, to the Office of Personnel Services by \_\_\_\_\_.

### Additional conditions

\_\_\_\_\_  
appropriate vice president/date

Accepted \_\_\_\_\_ signature \_\_\_\_\_ date \_\_\_\_\_

Social Security No. \_\_\_\_\_

- Distribution
- white—Personnel Services Office
  - blue—Payroll
  - green—Appropriate vice president
  - yellow—College dean/supervisor of office director
  - pink—Department chair/office director
  - gold—Individual



# Contract for Services



## Supplementary Appointment

The President of Morehead State University, subject to approval by the Board of Regents, has recommended your Supplementary Appointment as follows:

Name \_\_\_\_\_

Organizational Administrative Unit \_\_\_\_\_

Title and, if applicable, Rank \_\_\_\_\_

Current appointment salary plan \_\_\_\_\_ months

Current annual salary \_\_\_\_\_

Period of supplementary appointment—  
dates and number of weeks from \_\_\_\_\_ to \_\_\_\_\_  
date date

number of weeks \_\_\_\_\_

Salary payment for supplementary appointment \_\_\_\_\_

At the conclusion of this Supplementary Appointment, you revert to the terms of your Standing Appointment or Fixed-Term Appointment.

In accepting this appointment, you agree to abide by the applicable regulations affecting University personnel.

If you agree to these terms of your appointment, please sign on the line below and return all copies, except the gold copy, to the Office of Personnel Services by \_\_\_\_\_.

### Additional conditions:

\_\_\_\_\_  
appropriate vice president/date

Accepted \_\_\_\_\_  
signature

date \_\_\_\_\_

Social Security No. \_\_\_\_\_

- Distribution: white—Personnel Services Office  
blue—Payroll  
green—Appropriate vice president  
yellow—College dean/supervisor of office director  
pink—Department chair/office director  
gold—Individual



<p><b>Subject:</b> Affirmative Action/ Equal Opportunity in Employment</p>	<p><b>Section Number:</b> PG - 5  <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To specify terms and conditions under which the University's policy of equal employment opportunity through affirmative action shall be implemented and to identify responsibility and accountability for actions in support of a positive program to meet legal and moral commitments to affirmative action.

**POLICY:**

The policy of Morehead State University is to provide equal opportunity and affirmative action in all University programs, activities, facilities, and employment practices for all persons without regard for race, color, religion, sex, age, handicap, national origin, or marital status.

Morehead State University is committed to the premise that it is a societal as well as an institution of higher education's obligation to have respect for human dignity and epitomize the principle that all persons are entitled to equal treatment before the law. Morehead State also recognizes that equal opportunity is a fundamental goal in a democratic society, and it shares the responsibility for achieving equality which ultimately provides the advancement of society.

Because of these tenets, it is the policy of Morehead State University that, morally and legally, affirmative action will be taken to recruit and employ in compliance with the principles of equal employment opportunity; through good faith efforts and within reasonable time periods, a representation of minorities, women, and handicapped. In conjunction with this effort, the institution has been encouraged by the Department of Education's Office of Civil Rights to take positive and constructive efforts to recruit and employ qualified black individuals in



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faculty, administrative, and staff positions. Therefore, positive and unmistakable efforts must be made to fulfill our goals. Morehead State University's desire is to overcome any effects of past discrimination, if any, whether it resulted from overt acts or from unconscious, systematic exclusion of minorities and women from certain jobs or programs.

It is the University's intention to achieve a representation of minorities, women, and handicapped in each major job classification, which reflects the current availability and merit of such individuals and the University's capability to attract them. The Affirmative Action Plan is aimed at reducing any under representation and under utilization of members of protected classes.

In addition, Morehead State University is dedicated to the principles that all benefits and opportunities afforded by the institution shall be accorded students based upon individual merits, accomplishments, and needs, and to the promotion of nondiscrimination in every phase of the University's operations.

Morehead State University expects its suppliers and contractors to ensure maximum opportunity for the participation of the handicapped, minorities, and women. Each contractor is expected, if required, to follow an affirmative action program that is in accordance with federal and state regulations.

Finally, the University is committed to taking necessary affirmative action steps to remove barriers and systematically discriminatory practices and to ensure that



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we take positive steps not only to comply with the letter of the law but the intent of affirmative action and equal opportunity.

**LEADERSHIP/  
GUIDANCE:**

The Affirmative Action Officer in conjunction with the Affirmative Action Committee shall provide leadership and guidance to units in the conduct of their programs affecting all faculty and staff and applicants for employment. The Affirmative Action Officer shall review and evaluate unit program operations periodically, obtain such reports as deemed necessary, and report as appropriate on overall progress. The Affirmative Action Officer will consult from time to time with such individuals, groups, or organizations as may be of assistance in improving and realizing the University's program and objectives.

**AFFIRMATIVE ACTION  
COMMITTEE:**

The Morehead State University Affirmative Action Committee membership is appointed by the President from recommendations made by the Faculty Senate, the staff, and the Student Association. The President designates the chairperson. The Committee consists of:

- One chairperson
- One affirmative action officer
- Two faculty members; one male, one female
- Two support staff; one male, one female
- Two administrative staff; one male, one female
- Two students; one male, one female

The Affirmative Action Committee is usually composed of cultural diversity which emphasizes good black-white and male-female relationships. A major effort is made to establish a fair representation of black



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individuals on the Committee. The Committee meets at least once quarterly and may conduct special meetings with minorities, women, handicapped, and others when appropriate. The Committee is charged with:

- A. Assisting in reviewing, including fact-finding if necessary:
  - 1. Reports on recruitment, appointments, promotion, tenure, transfer, and termination;
  - 2. Proposed changes in University policies and procedures recommended by deans, directors, department chairpersons, unit heads, women, minority groups, veterans groups, employee organizations, and others;
  - 3. Proposed changes in the Affirmative Action Plan recommended by the President, President's Office staff, or the Affirmative Action Officer;
  - 4. Compliance with audits conducted by federal and state agencies; and
  - 5. The summaries of the annual report generated on recruitment, appointments, promotions, tenure, transfer, and termination.
- B. Advises the Affirmative Action Officer on sensitive subjects and procedures.



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- C. Makes recommendations to the Affirmative Action Officer for programs to effectuate purpose(s) of affirmative action and equal employment opportunity.
- D. Acts as a review board on affirmative action, sexual harassment complaints, and equal employment opportunity policy violations submitted for disposition where recommendations will be made to the President.
- E. Reviews structural requests and makes recommendations to the President.
- F. Assists the Affirmative Action Officer in developing approaches and efforts in the recruitment and hiring of minorities, women, and handicapped candidates.

Names and addresses of the Committee members are available in the Office of Personnel Services and the Office of the Vice President for Academic Affairs.

**RESOLUTION OF COMPLAINTS:**

The University shall provide for the prompt, fair, and impartial consideration of all complaints of discrimination in violation of this policy. Each unit shall provide access to counseling for employees and/or students who feel aggrieved and shall encourage the resolution of problems on an informal basis.

Complaints frequently are founded in simple misconceptions or misunderstandings. It is believed to be in the best interests of the University and the complainant for grievances to be resolved in the following manner:



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First Step

The aggrieved individual shall direct a complaint regarding alleged discriminatory acts or sexual harassment by preparing a written explanation of the complaint and the relief that is sought to the Affirmative Action Officer (AAO). The AAO may schedule a meeting with the complainant for the purpose of understanding the complaint and to gather investigatory materials. The AAO will conduct a thorough investigation within seven (7) working days of receipt of the written complaint.

Within fourteen (14) working days following receipt of the written complaint, a meeting will be held by the AAO with the complainant and others believed by the AAO capable of assisting in the resolution of the complaint in the best interests of all concerned. Within three (3) working days following the meeting on the complaint, the AAO will prepare written findings of fact which will be forwarded by registered mail, return receipt, to the complainant as well as those other individuals who participated in the meeting on the matter. The AAO shall make such recommendations in writing as is believed warranted by the results of his or her investigation and meeting regarding each written complaint alleging discrimination or sexual harassment.

Second Step

The aggrieved party can appeal the First Step by serving a written statement of appeal by registered mail, return receipt, to the AAO within ten (10) working days after delivery of the AAO's findings of fact and written recommendations to the address of record for the complainant. Within seven (7) working



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days after receipt of the written statement of appeal, an Affirmative Action Grievance Review Board will be selected by the AAO from the standing Affirmative Action Committee on a rotating appointment. The membership shall be composed of a black member, a female member, and a male member. In cases where students are involved, a student member will always participate on the Board. The committee chairperson will designate the Board Chairperson.

The responsibilities of the Affirmative Action Grievance Review Board will include, but not be limited to:

1. The Affirmative Action Grievance Review Board will review all documents received or prepared as the complaint was processed through the First Step.
2. The Affirmative Action Grievance Review Board Chairperson will schedule a hearing to be held not later than twenty (20) working days after the appointment of the Board designating the time, place, and date for the hearing.
3. The Affirmative Action Grievance Review Board Chairperson will notify in writing by registered mail, return receipt, both the AAO and the complainant of the time, place, and date of the hearing, including the right of representation. Nothing contained herein shall be construed to require any representation to be an attorney-at-law. If the complainant desires to be represented at the hearing, then he/she will give notice of that intention in writing to the Affirmative Action Grievance





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Review Board and the AAO not less than six (6) working days prior to the hearing date.

4. The Affirmative Action Grievance Review Board shall make its findings and recommendations to the President within five (5) working days after the hearing of the appeal.

All hearings will be conducted by the Board. The proceedings will be tape-recorded, and if requested by a majority of the membership of the Affirmative Action Grievance Review Board, a typed transcript will be prepared.

The AAO will set forth the basis for his/her findings of fact and recommendation on the complaint. The complainant, by or through his or her representative, shall have the opportunity to state the objections to the findings and recommendations of the AAO on the matter and to submit additional documents or to introduce additional evidence through the testimony of witnesses who will be sworn by the Chairperson if satisfactory reason is given to the Affirmative Action Grievance Review Board as to why such documentation or testimony was not presented to the AAO. Any witness permitted to testify shall be subject to cross examination and to be questioned by the Board.

The Affirmative Action Grievance Review Board has the option of going into closed session to weigh the record and such additional evidence as received and to formulate its findings and recommendations to the President of the University. The Board's findings and recommendations to the President will be delivered by registered mail, return, receipt, within five (5) working days following the hearing.



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The President will render a decision within fourteen (14) working days after receiving the Affirmative Action Grievance Review Board's findings and recommendations. Written notification of the President's decision will be forwarded to all concerned parties by registered mail, return receipt.

The President's decision will be final and binding subject to action being taken pursuant to KRS 164.360.



<p><b>Subject:</b> Claims of Sexual Harassment</p>	<p><b>Section Number:</b> PG - 6 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To outline the handling of sexual harassment claims.

**PROHIBITION:** Sexual harassment is a form of sex discrimination that is both reprehensible and unlawful. When it occurs on the campus, sexual harassment is contrary to the most fundamental ethical canons of the academic community. Sexual harassment violates the special bond of intellectual dependence and trust between students, faculty, and staff. Moreover, it undermines the collegial process of recruitment, appointment, and advancement at the University. Accordingly, the University holds that sexual harassment is intolerable and threatening to the vitality of the academic community. Therefore, proven acts of sexual harassment shall be grounds for dismissal.

**DEFINITION:** Sexual harassment is defined as unwelcome sexual advances, requests, and other verbal or physical conduct of a sexual nature, where submission to or rejection of such conduct has the purpose or effect of unreasonably interfering with an individual's performance or creating an intimidating, hostile, or offensive employment or educational environment. Sexual harassment has occurred when an individual submits to such conduct as an implicit or explicit term or condition of his or her employment or education, or when submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting such individual.

**RESOLUTION OF COMPLAINTS:** It is the responsibility of all regular or nonregular faculty or staff members and users of University facilities to report any conduct that is perceived to be sexual harassment.



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When cases of alleged sexual harassment are brought to the attention of the University, they should be resolved confidentially in the least disruptive, most informal manner possible, suited to individual circumstances. Every effort will be made to allow alleged offenders and complainants an opportunity to resolve their difficulties informally.

If informal efforts are unsuccessful, formal procedures exist which allow both parties an opportunity to pursue a resolution. Complainants have the opportunity to pursue their allegations without fear of retribution and to seek relief from proved sexual harassment. Alleged offenders will have the opportunity to defend themselves and clear themselves of the complaint. Proven offenders will have the opportunity to make amends, based on an increased awareness of the effect of their behavior. Proven offenders may also be subject to formal sanctions, including dismissal from the University.

INFORMAL  
PROCEDURE:

If an employee feels that he/she has been a victim of sexual harassment, the incident should be discussed informally with the Affirmative Action Officer. These discussions will be handled in a professional and confidential manner. No formal action on the alleged charge will be taken unless initiated by the complainant. If appropriate, an attempt will be made to resolve the problem through informal procedures.

If it appears that sexual harassment has occurred, the complainant may be advised to talk to and/or write a formal letter to the alleged harasser. If the complainant does not wish to talk with the alleged harasser, the Affirmative Action Officer with the



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complainant's permission may contact the alleged harasser. If these actions are unsuccessful, a written statement may be taken with the complainant's permission to the Dean or supervisor with the intent of bringing the situation to the attention of the appropriate administrators.

**FORMAL PROCEDURE:**

If either the complainant or the alleged offender does not accept the decision of the appropriate Dean or appropriate Vice President, she or he may address a formal complaint through the University's policy on Affirmative Action/Equal Opportunity in Employment (see PG - 5).



<p><b>Subject:</b> Absence from Work Resulting from Pregnancy or Childbirth</p>	<p><b>Section Number:</b> PG - 7 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:**

To explain a female full-time faculty or staff member's rights under equal employment opportunity regulations for charging absences to sick leave accumulation or for a leave of absence without pay because of pregnancy, miscarriage, abortion, childbirth, and recovery therefrom (see also PG - 9).

**INTENT OF REGULATIONS:**

Disabilities caused or contributed to by pregnancy, miscarriage, abortion, childbirth, and recovery therefrom are for all job-related purposes, temporary disabilities. Any other written and unwritten employment policies and practices shall be applied to disability due to pregnancy or childbirth on the same terms and conditions as they are applied to other temporary disabilities.

**SHORT-TERM, INFREQUENT ABSENCES:**

Short-term, infrequent absences for illness resulting from pregnancy are charged to accumulated sick leave.

**PROLONGED ABSENCE RELATED TO PREGNANCY AND CHILDBIRTH:**

When it is determined that the faculty or staff member cannot continue actively at work prior to childbirth, she shall charge such absence to accumulated sick leave. If accumulated sick leave is expended, she shall be placed on leave of absence without pay, with the individual's option to use or not use all or part of accumulated vacation prior to the leave commencing. The length of leave of absence without pay is subject to the limitations outlined in the policy covering leaves of absence.

Normally, prolonged absence should begin no earlier than the eighth month of pregnancy. This is no mandate, however, that an individual must be relieved from active employment during the eighth month. If the individual is healthy and able to do her work, she should continue to work beyond that time. If, on the other hand, in the judgment



<b>Subject:</b> Absence from Work Resulting from Pregnancy or Childbirth	<b>Section Number:</b> PG - 7  <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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of the supervisor she is not effectively able to continue to work, prolonged absence may commence earlier at the request of the individual, upon presentation of an acceptable written statement from her attending physician stating that earlier absence is medically necessary. Such requests may be subject to review before approval by the University.

**DATE OF RETURN  
TO ACTIVE  
EMPLOYMENT:**

At the time the individual commences prolonged absence from work prior to childbirth, the supervisor establishes a tentative date of return with the individual. Normally, the date of return should be no more than six weeks following the birth of the child, unless there are medical complications related to the childbirth which merit consideration for an extension of the absence. An individual requesting an extension will be required to submit a written statement from her attending physician indicating the medical necessity for the extension. Such requests may be subject to review before approval by the University. If she does not return within the time established or any extension thereof, her employment shall be terminated.

**EARLY RETURN  
TO WORK:**

If the faculty or staff member desires to return to work before the agreed upon date of return, she should contact her supervisor to determine if an earlier return is feasible. In each request for an early return, the faculty or staff member will be required to submit written approval from the attending physician.



<p><b>Subject:</b> University Holidays</p>	<p><b>Section Number:</b> PG - 8  <b>Approval Date:</b> 7/1/85  <b>Revision Date:</b> 11/4/85</p>
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**PURPOSE:** To establish conditions for observing established University holidays by regular, full-time faculty and staff members and those designated as continuing part-time.

**ANNUAL ESTABLISHED HOLIDAYS:** The official annual established University holidays are as follows:

- New Year's Day
- Martin Luther King's Birthday
- President's Day
- Good Friday
- Memorial Day
- Independence Day
- Labor Day
- Presidential Election Day
- Thanksgiving Day
- Christmas Day

**ADDITIONAL HOLIDAYS:** Additional holidays may be designated by the University.

**HOLIDAY TIME OFF:** Each holiday established or designated by the University is intended to give an employee the benefit of one (1) work day of paid time off. A continuing, part-time employee receives paid time off prorated on the basis of the percent of the employee's work schedule to the normal full-time work schedule in the employee's department. If an employee is required to work on a holiday, equivalent time off will be granted at another time. If a holiday falls on a regularly scheduled day off of an employee, equivalent time off will be granted at another time. Equivalent time off is scheduled in the same manner as vacation leave and is to be used before vacation leave is used. If a holiday occurs while an employee is using vacation leave or sick leave with pay, the holiday will not be charged as a day of vacation time or sick leave time.





<p>Subject: University Holidays</p>	<p>Section Number: PG - 8 Approval Date: 7/1/85 Revision Date: 11/4/85</p>
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**ELIGIBILITY FOR  
HOLIDAY PAY:**

To be eligible for a holiday with pay, an employee must be in pay status the employee's work day before and following the holiday. A holiday that occurs between an employee's active periods of employment or while an employee is on leave without pay shall not be granted to an employee. Faculty or staff on less than twelve months service are entitled to the holidays which fall during their contract period.



<p><b>Subject:</b> Leave of Absence without Salary (Other than Military Leave)</p>	<p><b>Section Number:</b> PG - 9 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To provide for granting a regular, full-time faculty or staff member a leave of absence without salary upon recommendation of the supervisor.

**PURPOSE OF LEAVE:**

Leaves of absence without salary are granted for extended illness (including maternity) or injury, and may be granted for personal convenience such as child care, extended vacation, travel, approved formal study, or job-related employment. For leave of absence other than illness and injury, requests must be submitted to appropriate supervisor at least sixty (60) calendar days in advance except in cases where KRS 337.015 applies to the adoption of a child under seven (7) years of age.

A nonfaculty employee of the University has as his/her primary responsibility of employment, the obligation to fulfill the work requirements of the job for which the individual was employed. At times, however, a nonfaculty employee of the University may choose to take part in an assignment, task, or activity external to the individual's primary job. Such activities might include, but are not necessarily limited to, consulting, teaching outside the University, directing, or participating in special activity projects (camps, workshops) sponsored by the University. Absence from the official work assignment will be accountable by either official leave of absence without pay or vacation as outlined in the policy manual. Participation in all such activities must have the proper approvals.

**NOTE:** Leaves for other than illness (including maternity) or injury are not granted if they would cause undue hardship for the operations of the department or personnel therein.



<b>Subject:</b> Leave of Absence without Salary (Other than Military Leave)	<b>Section Number:</b> PG - 9 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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**LEAVE FOR EXTENDED ILLNESS (INCLUDING MATERNITY) OR INJURY:**

A leave for extended illness (including maternity) or injury shall be granted to the limits below based on length of continuous, full-time service, as follows:

<u>Length of Continuous Service at Start of the Leave</u>	<u>Maximum Length of Leave Granted</u>
Through completion of the employee's probationary period	Up to 1 month
Upon the completion of the probationary period	Up to but not more than 12 months

**NOTE:** For the purpose of this policy only, the probationary period required for faculty to qualify for leave of absence without salary is six (6) months.

**LEAVE FOR OTHER REASONS:**

A leave of absence for other than illness (including maternity) or injury is granted at the discretion of the University President. Such leave when granted shall be for no more than twelve (12) consecutive months. Short-term approved absences shall be handled as salary deductions.

**LIMIT OF LEAVE:**

The maximum of any leave of absence is no more than twelve (12) months for any one request. Any employee who exceeds this period, regardless of the reason for the leave, will be released from University employment. However, if extenuating circumstances exist, or if the leave may be in the best interest of the institution, the University President may, upon request, grant up to an additional, but not more than, twelve (12) months of leave without pay.



<p><b>Subject:</b> Leave of Absence without Salary (Other than Military Leave)</p>	<p><b>Section Number:</b> PG - 9</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**SERVICE AND SALARY DURING LEAVE:**

The period of not more than one year, or less, granted as a leave may be counted towards years of service for promotion, tenure, and sabbatical leave when the leave is in the best interest of the faculty and the University; however, it does not assure a merit salary increase or other fiscal benefits.

**MEMBERSHIP IN INSURANCES WHILE ON LEAVE:**

A faculty or staff member on leave of absence without salary for extended illness (including maternity) or injury, approved formal study, or job-related employment continues in the insurance plans in which he/she is participating and at the costs he/she has been paying for the insurances. A faculty or staff member on leave without salary for any reason other than illness (including maternity), injury, approved formal study, or job-related employment may elect to continue in the insurance plans in which he/she is participating but by paying the entire premium (individual's and University's costs) for the insurances.

**VACATION AND SICK LEAVE ACCUMULATION:**

A faculty or staff member on leave of absence without salary does not accumulate any additional vacation or sick leave unless he/she is paid enough days in a calendar month to qualify.

The cash equivalent of vacation accumulation due is either paid at the beginning of the leave of absence unless the leave is for illness (including maternity) or injury or retained by the employee in his/her vacation accumulative account for the use upon return from the leave of absence.

The faculty or staff member retains sick leave accumulated as of the beginning of the leave.



<p><b>Subject:</b> Leave of Absence without Salary (Other than Military Leave)</p>	<p><b>Section Number:</b> PG - 9 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**UNIVERSITY  
HOLIDAYS:**

A faculty or staff member does not receive salary or compensatory time off for a University holiday that occurs while he or she is on a leave of absence without salary.

**RETURN TO ACTIVE  
EMPLOYMENT:**

If conditions are the same at the end of the leave of absence as they were when the leave commenced, the employee is expected to return to active employment. If the employee does not return, his/her employment is terminated.

The faculty or staff member will return to the original position or, at the discretion of the University, to a similar position at the former pay level unless because of reduction in staff such appointments do not exist.

**EARLY RETURN TO  
ACTIVE SERVICE:**

If a faculty or staff member desires to return to active service before an approved leave ends, he/she should contact the appropriate Administrative Officer to determine a permissible date for return.



<p><b>Subject:</b> Leave of Absence with Pay for Short-Term Military or National Guard Service or Training Duty</p>	<p><b>Section Number:</b> PG - 10  <b>Approval Date:</b> 7/1/85  <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To outline provisions of leaves of absence with pay for short-term, active military service or annual military field training.

**U.S. MILITARY  
RESERVE DUTY OR  
KENTUCKY NATIONAL  
GUARD DUTY:**

All regular faculty or staff members, either enlisted or commissioned in any reserve component of the United States Army, Navy, Marine Corps, Air Force, or Coast Guard, or who are members of the National Guard of the Commonwealth of Kentucky, are entitled to leaves of absence from their respective duties without loss of pay on all days not exceeding fifteen (15) calendar days or ten (10) working days if the employee's position is based upon a five (5) day workweek; twelve (12) days if the employee's position is based upon a six (6) day workweek; fifteen (15) days if the employee's position is based upon a seven (7) day workweek, in any one calendar year. Leave of absence under this policy will be granted only when the employee is engaged in active service or authorized training or activated for duty because of civil disturbance or emergency conditions. Accumulated vacation shall not be charged for absences from work to the limit described above. University approved absences beyond that limit are chargeable either to accumulated vacation or as payroll deductions as applicable.

**REQUIRED  
DOCUMENTATION  
FOR PAYMENT:**

In order to qualify for continued University pay in accordance with the above provisions, the faculty or staff member must present to the University a copy of the signed orders or authorization mandating the absence and a copy of the military or national guard pay voucher for the period involved.

**NOTE:** This policy is intended in application to be consistent with applicable laws and not to exceed in interpretation or application the provisions of such applicable laws.



<p><b>Subject:</b> Leave of Absence without Salary for Extended Active Military Service</p>	<p><b>Section Number:</b> PG - 11  <b>Approval Date:</b> 7/1/85  <b>Revision Date:</b></p>
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**PURPOSE:** To protect the re-employment rights of a regular, full-time faculty or staff member during an absence caused by entry into extended United States military service (or public health service) whether voluntary or otherwise.

**ELIGIBILITY FOR LEAVE:** Each regular full-time University faculty or staff member, who has completed one day of regular employment with the University immediately preceding the effective date of the requested military leave and who has been ordered to report to active duty on a specific date, is eligible upon presentation of a copy of such order.

**LENGTH OF LEAVE:** A leave of absence for active military service may not exceed a maximum of 48 consecutive calendar months except that an extension of 12 months may be granted if the extension is at the request and convenience of the government.

**LENGTH OF SERVICE CREDIT:** The period of a military leave of absence will be added to any length of service credit that a faculty or staff member may have otherwise.

**MEMBERSHIP IN EMPLOYEE BENEFITS:** During a leave of absence for military service, a faculty or staff member:

Cannot be provided personal protection in the University's health care plan. This includes coverage for dependents.

May receive retirement credit under certain conditions.



<b>Subject:</b> Leave of Absence without Salary for Extended Active Military Service	<b>Section Number:</b> PG - 11  <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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Cannot continue protection in other insurance programs of the University. These benefits cease 31 days from the end of the pay period in which the leave of absence for military service becomes effective. Reinstatement of these benefits will occur upon return to active service with the University.

**PAYMENT OF SALARY  
EQUIVALENT OF  
VACATION TIME:**

The salary equivalent of the vacation time accumulated by a staff member shall be paid as part of the final salary payment.

**RETURN TO ACTIVE  
UNIVERSITY  
SERVICE:**

It is intended that a regular faculty or staff member may return to active service with the University, if he/she so desires, at the termination of the military leave. Insofar as it can be arranged, this return will be to the faculty or staff member's original position or to a position determined by the University to be an equivalent position.

To take advantage of this privilege, the faculty or staff member shall notify his/her immediate supervisor or Dean within 90 days of release from service of his/her intention to return to active University employment (Special conditions on time for requesting return to active employment apply for individuals hospitalized at time of release from service. In such instance, contact the Office of Personnel Services.). To insure that proper consideration can be given with regard to returning the faculty member or staff member to his/her original position, it is helpful if the faculty member or staff member would indicate his/her intention to return to active University employment prior to the expiration of the military leave of absence. When possible, this notification should be made within 30 calendar days after discharge or release from active duty.





<b>Subject:</b> Leave of Absence without Salary for Extended Active Military Service	<b>Section Number:</b> PG - 11 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**REPLACING AN  
EMPLOYEE ON  
MILITARY LEAVE:**

If it is necessary to replace a faculty or staff member who is granted a leave of absence for military service, the appointment of the new person will be for a period not longer than the duration of the military absence of the original person. However, during the period of employment, the new person will be considered a regular faculty or staff member and will have the privileges of such a faculty or staff member, except that he/she shall not be granted a military leave of absence. The new person shall be informed in writing of the conditions of employment when employment begins.



Subject: Conflict of Interest	Section Number: PG - 12 Approval Date: 7/1/85 Revision Date:
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**PURPOSE:**

To avoid the possibility of any misunderstandings concerning the appropriate conduct of faculty and staff members in regard to all transactions touching upon their University duties and the property of the University.

**POLICY:**

Faculty and staff members of the University shall exercise the utmost good faith in all transactions touching upon their duties to the University and its property. In their dealings with and on behalf of the University, they shall be held to a strict rule of honest and fair dealings between themselves and the University. They shall not use their positions, or knowledge gained therefrom, in such a way that a conflict of interest might arise between the interest of the University and that of the individual. Faculty and staff members shall disclose to the administrative head of the college or other unit in which they are employed, or other appropriate Administrative Officer, any potential conflict of interest of which they are aware before a contract or transaction is consummated.



<p>Subject: Employee Uniforms</p>	<p>Section Number: PG - 13                  Approval Date: 7/1/85                  Revision Date:</p>
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**PURPOSE:**

To specify the University's responsibility in providing and maintaining uniforms for certain groups of employees.

**ELIGIBILITY FOR EMPLOYEE UNIFORMS:**

A uniform for an employee is provided by the University only when it is necessary:

- a. To maintain exceptionally high standards of sanitation such as in the preparation of foods,
- b. To identify persons, or
- c. To prevent injury to an employee while performing a hazardous job.

**USAGE OF UNIFORMS:**

Each employee required to wear a uniform shall take the necessary steps to protect it from excessive damage and wear. Uniforms issued by the University are to be worn only during working hours except that where necessary, the uniform may be worn in travel between the University and the employee's home. When a uniform is provided, it shall be worn by the employee.

**MAINTENANCE AND COST:**

A required uniform for an employee will be provided by the University at no expense to the employee. The University will not pay partially or fully for either the cost or maintenance of any uniforms that do not meet the above requirements.

The interests of separate departments of the University are best served by providing more than one system by which required uniforms may be made available to employees. These systems are (1) the rental of uniforms by the University, or (2) the outright purchase of the uniforms by the University.



<p>Subject: Employee Uniforms</p>	<p>Section Number: PG - 13 Approval Date: 7/1/85 Revision Date:</p>
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The cost of the maintenance of uniforms may be paid in full by the University. This includes cleaning and laundering and the replacement of worn articles of clothing.



<p><b>Subject:</b> Court and Jury Duty</p>	<p><b>Section Number:</b> PG - 14 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To provide that a regular, full-time or continuing, part-time faculty, or staff member be granted time off from work or class schedule to serve on a jury, be screened for jury duty, or serve as a court witness when subpoenaed (other than lawsuits of which they are a party), without loss of pay for the time missed.

**JURY PAY:** An individual continues to receive his/her regular pay while serving subpoenaed jury or witness time and is permitted to retain any compensation received for jury or court witness duty. Accumulated vacation pay is not charged for court or jury duty absences. If the time on jury or witness duty occurs on a University holiday, the employee does not receive equivalent time off for the time served.

**PROOF OF SUBPOENA:** A supervisor will require that a copy of the subpoena be submitted before granting time off for jury duty or witness time.

**PARTIAL DAYS:** If the jury duty or witness time does not require a full work day, the individual is expected to report to work when free from such service.

**DUTY DURING NORMAL TIME OFF:** A supervisor may make discretionary schedule changes in order to accommodate an employee working a shift other than normal daytime hours.



<p><b>Subject:</b> Employment of Minors</p>	<p><b>Section Number:</b> PG - 15</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To comply with state legislation governing the employment of minors.

**DEFINITION OF MINOR:** For the purpose of this policy, a minor is defined as anyone who is between his/her 16th and 18th birthdays.

**MINIMUM AGE FOR EMPLOYMENT:** Regular and nonregular employment at the University is available only to a person who has reached the 16th birthday. A person under 16 years of age is not permitted to work for the University under any circumstances.

**WORK SCHEDULE LIMITS:** No minor age 16 or 17 may work before 8:00 a.m. Such minor shall not work after 11:30 p.m., Sunday through Thursday; 1:00 a.m., Friday and Saturday when school is in session. In addition, such minor when school is in session shall not work more than six hours per day, Monday through Friday, or eight hours per day Saturday and Sunday or a total of 40 hours per week. There is no maximum number of work hours when school is not in session.

**PROOF OF AGE:** Proof of age is required if there is doubt that an individual has not attained the 16th birthday. Such proof can be obtained by the minor from the minor's school district. Anything indicating race or national origin should not be obtained.

**REQUIRED NOTICES AND POSTINGS:** Each area employing minors shall retain a separate register containing the names and addresses of minors employed, the starting and stopping times of their work each day, and the beginning and ending times of meal periods. These records shall be available at any time upon demand by any authorized representative. An abstract of the Kentucky Child Labor Law indicating hours restrictions and prohibited occupations shall be posted in each area where minors work.



Subject: Employment of Minors	Section Number: PG - 15 Approval Date: 7/1/85 Revision Date: 3/26/87
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**PROHIBITED  
OCCUPATIONS:**

The following occupations are prohibited by law for all minors under 18 years of age:

1. Occupations in or about plants or establishments manufacturing or storing explosives or articles containing explosive components.
2. Motor vehicle driver and outside helper.
3. Coal mine occupations.
4. Logging or sawmill operations.
5. Operation of power-driven woodworking machines.
6. Exposure to radioactive substances.
7. Operation of power-driven hoisting apparatus.
8. Operation of power-driven metal forming, punching, and shearing machines.
9. Mining, other than coal.
10. Slaughtering, meat packing or processing, rendering.
11. Operation of bakery machines.
12. Operation of paper products machines.
13. Manufacture of brick, tile, and kindred products.
14. Operation of circular saws, band saws, and guillotine shears.



<p>Subject: Employment of Minors</p>	<p>Section Number: PG - 15 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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15. Wrecking, demolition, and shipbreaking operations.
16. Roofing operations.
17. Excavating operations.
18. In, about, or in connecton with any establishment where alcoholic liquors are distilled, rectified, compounded, brewed, manufactured, bottled, sold for consumption, or dispensed.
19. Pool or billiard room.





<p>Subject: Official Travel</p>	<p>Section Number: PG - 16                  Approval Date: 7/1/85                  Revision Date: 5/13/88</p>
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**PURPOSE:** To, outline the conditions for obtaining approval and reimbursement for official travel.

**ADVANCE APPROVAL:** An official travel request should be processed even when there is no expense to the University. Approval for all travel and expenses must have, at a minimum, a two-tier supervisory approval. The following are recommending and approving levels for:

- A. In-State Travel. For in-state travel, the employee must obtain the recommendation of his/her immediate supervisor(s) and the approval of the recommending supervisor's supervisor. Travel requests should be submitted at least two weeks in advance.
- B. Out-of-State Travel. For out-of-state travel, the employee must obtain the recommendation of his/her immediate supervisor(s) through the level of Department Chair/Director. The approving official should be a Director reporting to the President, a Dean, Vice President, or the President. Travel requests should be submitted at least three weeks in advance.
- C. International Travel. For travel outside the United States, the employee must obtain the recommendation of his/her supervisor(s) through the level of Vice President or Director reporting directly to the President. The approving official will be the President.

**RECEIPTS REQUIRED:** Receipts, where required, must accompany travel vouchers. For information about travel regulations, check with the Office of Business Services.



<p><b>Subject:</b> Personnel Files</p>	<p><b>Section Number:</b> PG - 17 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To identify the contents of personnel files and to establish procedures for review and release of the contents.

**GENERAL:** The University maintains a personnel file on each employee for the purpose of personnel management and for personal review as appropriate. The University shall take appropriate steps to protect the privacy of personal information contained in personnel files. The Director of Personnel Services is responsible for maintaining the personnel files.

Copies of documents may also be retained on file within the administrative unit in which the employee works. If other files are maintained, privacy and safekeeping shall conform, in all respects, to the provisions of this policy. However, the official file, or record copy, is maintained in the Office of Personnel Services.

**PERSONNEL FILE CONTENTS:** The following is a description of documents which may be retained in the personnel files:

- A. Application for Employment;
- b. Resumes or Curriculum Vitae;
- C. Personnel Action Request (PAR);
- D. Vacation Requests;
- E. Accident Reports;
- F. Performance Appraisal Reports;
- G. Disciplinary Records, Counseling Records and other related documentation (**NOTE:** For inclusion of this type documentation in personnel files, the originator of the document must clearly state in the



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document, "A copy of this correspondence will be placed in your official personnel file.");

- H. Appropriate insurance, retirement, and other benefits information;
- I. Employee Separation Clearance Form; and
- J. Diplomas, certificates, training records, and related personal accomplishment documentation which may be submitted.

**INTERNAL ACCESS:**

A request for access to review the file shall be made in writing in advance by the individual to the Director of Personnel Services. Internal access to the official personnel file maintained in the Office of Personnel Services is subject to the following guidelines:

- A. An employee may review his/her official personnel file subject to the following:
  - 1. The following types of documents, or copies thereof, shall be accessible for review upon request:
    - a. Personnel action forms (such as original appointment, transfer, promotion, leave of absence, layoff, change in salary, change of title)
    - b. On-the-job accident reports
    - c. Internal correspondence to the employee
    - d. Attendance records
    - e. Letters of commendation
    - f. Letters of reprimand



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- g. Insurance forms
  - h. Retirement forms
  - i. Biographical data form
  - j. Employment application
  - k. Grievance forms and answers
  - l. Official management performance evaluations
  - m. Workers' Compensation documents
2. The following types of documents, or copies thereof, shall not be accessible for review:
- a. Letters or memoranda of reference
  - b. Information relating to the investigation of a possible criminal offense
  - c. Information being developed or prepared for use in civil, criminal, or grievance procedures
  - d. Medical records (with the exception of Workers' Compensation documents)
  - e. Materials used by the University to plan for future operations
3. The review of the file shall be made during the regular business hours of the Office of Personnel Services. A representative of that office shall be present with the employee during his or her review of the file.



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4. An employee shall be permitted to make handwritten notes from the file but shall not be permitted to remove the file or portions thereof.
  5. Copies of any accessible material shall be forwarded on request to the employee upon payment of a fee for each copy.
- B. Department Chairs/Office Directors, Deans/Supervisors of Office Directors, Vice Presidents and the President may request and review an individual personnel file provided there is an official University need for such access and provided the individual, whose file is to be reviewed, is under the requestor's supervision. Requests to review records must be made in writing in advance by the requestor to the Director of Personnel Services.

**EXTERNAL ACCESS:**

External access to official personnel files without specific written authorization is subject to the following guidelines:

- A. "Directory information" about an employee will be released by the Office of Personnel Services without authorization from the individual employee. Directory information includes the fact of past or present employment, verification of dates of employment, and position or title.
- B. An employee's employing unit, campus address, and campus and home telephone numbers may be made available through campus telephone directory information.
- C. Information which is a matter of public record elsewhere, e.g., statistics as reflected in the official minutes of meetings of the Board of Regents, will be



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considered as public information. The University will not, however, relinquish its right to limit access to its files on a "need-to-know" basis, even though such information may be public information, i.e., administrative files are not a library source for the curious. At the discretion of the Director of Personnel Services, however, public information contained in the personnel files may be released on the request of other agencies or at the discretion of University officials.

**OTHER EXTERNAL ACCESS:**

Other external access to official personnel files will be authorized by the Office of Personnel Services under the following circumstances:

- A. To protect the legal interests of the University when the Director of Personnel Services believes actions of an employee, or former employee, violate(d) the conditions of employment or otherwise threaten injury to University interest(s), University property, or to others.
- B. To a law enforcement authority when the Director of Personnel Services believes that an applicant, employee, or former employee may have engaged in illegal activities.
- C. In response to a request by a properly identified law enforcement authority to provide an individual's dates of attendance at work and home address.
- D. Pursuant to a federal, state, or local government statute or regulation that



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specifically requires disclosure of certain information to certain parties.

- E. In response to a lawfully issued administrative summons or judicial order, including a search warrant or subpoena. A subpoena or other legal process for the production of the personnel file shall be reviewed by the University Legal Counsel prior to release of the information.
- F. In compelling circumstances affecting the immediate health or safety of the individual.

**DISPUTED  
MATERIAL IN  
PERSONNEL FILES:**

The following procedures will be used in case of a dispute over material or information in the file.

- A. The employee who objects to material or information in the file should submit, in writing, a request for its removal to the Director of Personnel.
- B. The Director of Personnel will review the request and, in cooperation with the employee's supervisor(s), decide if the disputed material or information should be removed. The Director of Personnel shall inform the employee of the decision.
- C. If the decision is favorable to the employee, the material or information will be returned to the employee for his/her disposition.
- D. If the decision is not favorable, the employee may submit, in writing, an appeal through supervisory channels to the President. The decision of the President is the final step in the appeal process.



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APPLICABLE LAW: The University shall act within the directives of appropriate Federal and Kentucky State Law regarding such files.



PERSONNEL POLICY MANUAL



<b>Subject:</b> Ownership of Inventions, Discoveries, & Copyright Materials	<b>Section Number:</b> PG - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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**PURPOSE:** To provide mechanisms for the resolution of questions that arise regarding the rights and responsibilities of ownership of particular inventions, discoveries, software development, and copyright materials that result from research and other scholarly activities normally carried out by faculty, staff, and students of the University, and to provide encouragement of scholarly activities while offering both protection and recognition to those engaged in such activities as well as to the University.

**WRITTEN DISCLOSURE:** Faculty, staff, and students who participate alone or in association with others in inventions or discoveries shall disclose promptly, in writing, such inventions or discoveries to the University Patent Committee.

**UNIVERSITY PATENT COMMITTEE:** The University Patent Committee shall consist of the University Research Committee, plus the Vice President for Administrative and Fiscal Services, and the University Attorney.

**RESPONSIBILITIES OF THE PATENT COMMITTEE:** In cooperation with an inventor or discoverer, the Committee will perform the following functions:

1. Determine according to the guidelines set forth in this policy whether the University has an interest in the invention or discovery.
2. Recommend to the President concerning the feasibility of entering into a contract with recognized patent management agencies for the purpose of a patent application, patent development, and patent management for any invention or discovery that is determined to have interest to the University.



<b>Subject:</b> Ownership of Inventions, Discoveries, & Copyright Materials	<b>Section Number:</b> PG - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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3. Negotiate with the inventor or discoverer an agreement for the distribution of income from a patent if the Committee recommends that the University enter a contract with a patent management agency. The agreement shall specifically state the proportionate distribution of such income.

**PATENT COMMITTEE  
GUIDELINES:**

In determining the relative interest of the University in a given invention, discovery, or copyright the Committee will use the following guidelines:

1. Research sponsored by agencies outside the University may be covered by contracts which provide that all patent rights belong to the sponsoring agency. If such an agency does not wish to retain the patent rights, they may release all or any portion of the rights to the University.
2. Patents which arise from research projects financed wholly by University-administered funds shall be the complete property of the University and subject to such negotiation or transfer of ownership as the University desires. If the Committee decides to recommend the pursuit of a patent, the inventor shall assign the patent of invention to the University or its agent and the Committee shall, unless there are unusual equities, recommend that arrangements be made for 15 percent of the gross income from the patent or invention be paid directly to the inventor or inventors.



<b>Subject:</b> Ownership of Inventions, Discoveries, & Copyright Materials	<b>Section Number:</b> PG - 18 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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3. In the event that a patent proposal is not accepted by the University within 90 days, the Committee shall recommend that the rights to the possible patent be released by the University to the individual inventor.
4. Normally, a copyright resulting from work accomplished by a faculty or staff member on his/her own time is the sole property of the author, composer, or arranger. Inventions, discoveries, or copyright material developed as a result of the inventor's, discoverer's, or author's normal academic employment will be considered to be a joint effort of the University and the inventor or discoverer. In such cases negotiations such as described in item 3 under responsibilities of the Patent Committee above will be conducted.

**OWNERSHIP RIGHTS:**

In all cases in which it has been determined that the University has a whole or part interest in an invention or discovery, agreements as to sharing of royalties are binding on both the University and the inventor or discoverer, but the University retains sole ownership of all patent and copyrights unless it agrees to release such rights to the inventor, discoverer, or author.



<p><b>Subject:</b> Matters Involving Foreign Nationals Employed by the University</p>	<p><b>Section Number:</b> PG - 19 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To insure compliance with federal laws in regard to certification, petitions, immigration, and visa matters as related to any employment (regular or nonregular) of foreign nationals within the University.

**RESPONSIBILITY:** The Office of Personnel Services is responsible for representing the University in signing all applications for labor certification as well as certificates, petitions, and visa forms for aliens employed by the University and their families.

**PROCEDURE FOR EMPLOYMENT OF ALIENS:** The following procedure shall be followed when negotiating for the employment of an alien:

1. Before making a binding commitment concerning employment, the Dean or supervisor will inform Personnel Services of the intent to employ a citizen of another country. The Director of Personnel Services is responsible for determining whether or not the visa of the alien is such that the alien can be considered legally for University employment. (Because of visa restrictions, some aliens are not permitted to accept employment.)
2. The Office of Personnel Services has the responsibility for preparing and submitting petitions to the U.S. Department of Labor and to the Immigration and Naturalization Service, in accordance with the procedures established by the Department of Labor and the U.S. Department of Justice. Expenses to be borne by the employer will be paid by the hiring department/office. All



<p><b>Subject:</b> Matters Involving Foreign Nationals Employed by the University</p>	<p><b>Section Number:</b> PG - 19  <b>Approval Date:</b> 7/1/85  <b>Revision Date:</b> 3/26/87</p>
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other expenses will be the responsibility of the individual applicant.

- When employment is approved, the Office of Personnel Services will notify the alien in writing of his/her visa or immigration status, indicating any time limits or conditions which might affect his/her employment and will outline any procedures to be followed by the alien in maintaining his/her status. A copy of this letter will be sent to the appropriate Dean or supervisor.

**EMPLOYMENT OF SPOUSE AND CHILDREN OF ALIEN STUDENTS:**

A spouse and/or children of aliens on J-1 visas must obtain written permission from the Immigration and Naturalization Service before being employed.

**FEDERAL SOCIAL SECURITY:**

All foreign nationals employed by the University are required to have a Social Security Number, but holders of F-1 or J-1 visas are not required to participate in Federal Social Security. However, federal regulations provide that holders of H-1, H-2, and J-2 visas must participate, and deductions for the Social Security Tax will be withheld from salaries accordingly.



<b>Subject:</b> Public Service by Members of the Faculty & Staff	<b>Section Number:</b> PG - 20 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To outline the policy under which any faculty or staff member (regular or nonregular) may provide a public service.

**THE UNIVERSITY'S  
PUBLIC  
RESPONSIBILITY:**

Effective democracy requires of every citizen personal participation in political life as a voter and also as a governmental consultant or official where his/her talents are sought in the public interest. Membership on the faculty or staff of the University carries with it additional responsibilities of citizenship which reflect (a) the educator's function as a source of informed objective counsel, and (b) the compact through which the University receives public funds for use in meeting society's educational needs.

**KINDS OF PUBLIC  
SERVICE:**

The kinds of public service defined are as follows:

1. Public service of a professional character.
2. Holding public office at any (federal, state, or local) level.

**PUBLIC SERVICE OF  
A PROFESSIONAL  
CHARACTER DEFINED:**

By virtue of their comprehension of certain areas of human knowledge, University personnel may be asked to serve as:

1. Expert witnesses whose testimony is sought in establishing, clarifying or interpreting the facts in a matter of public interest.
2. Professional members of ad hoc task forces appointed by public officials to prepare factual reports on matters of public interest.
3. Professional consultants on matters of personal competence to governmental agencies or task forces.



<p><b>Subject:</b> Public Service by Members of the Faculty &amp; Staff</p>	<p><b>Section Number:</b> PG - 20</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b></p>
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4. Professional practitioners to provide skills and services in times of public need.

**CONDITIONS UNDER WHICH PROFESSIONAL PUBLIC SERVICE MAY BE PERFORMED:**

It is the policy of the University to do what it can, on request, to make its personnel available for public service of a professional character:

1. If the individual's University duties can continue to be performed satisfactorily;
2. If the individual confines his/her testimony or counsel to matters within his/her professional competence needed by public officials in weighing the relative merits of alternate courses of action; and
3. If the individual's remuneration beyond out-of-pocket expense does not infringe on regulations binding on the University.

**NOTIFICATION TO UNIVERSITY ABOUT SUCH SERVICE:**

All personnel requested by public officials to perform such services shall notify their respective Deans or supervisors of the nature and conditions of the assignment, remuneration expected (if any), and the effect the assignment will have on performance of the employee's duties at the University.

**CAMPAIGNING FOR PUBLIC OFFICE:**

Under existing University policies, members of its faculty and staff may campaign for any public office without modification of the terms and conditions of their University status, if the campaign does not interfere with the performance of assigned University duties (in any way deemed significant by officers of the University). If the campaign does interfere with the performance of assigned University duties, the individual



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must resign from his/her position with the University or petition for a leave of absence without salary.

In such campaign activities, the individual's relationship to the University is not to be exploited either directly or indirectly.

**ELECTION OR  
APPOINTMENT TO  
PUBLIC OFFICE:**

If elected or appointed, a member of the faculty or staff may accept a public office (e.g., membership on town councils, local school boards) that does not interfere with the individual's performance of assigned University duties without modification of the terms and conditions of his/her University status.

If elected or appointed to an office that would interfere with the performance of assigned University duties, in any way deemed significant by officers of the University, the individual must resign from his/her position with the University or petition for leave of absence without salary.

**ENDORSEMENT OF  
POLITICAL  
CANDIDATES  
OR CAUSES:**

Effective democracy provides the right of every private citizen to endorse a specific political candidate or cause. However, such endorsement should not infer or reflect the support of the University for such political candidate or cause.

The University assumes no responsibility for the endorsement of a political candidate or cause by members of its faculty or staff. Except for the limited purpose of identifying the University as the employer of the faculty or staff member making a political endorsement, the name of the University is not to be connected with such an endorsement in any way. No endorsement shall be made on the official stationery of the University nor on stationery having the University address or a University telephone number.





<b>Subject:</b> Payment of Personal Compensation by an External Governmental Source	<b>Section Number:</b> PG - 21 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To outline the conditions governing personal compensation for services rendered by a faculty or staff member to external governmental agencies.

**REQUIRED REPORT CONCERNING SUCH SPECIAL WORK:**

Every faculty or staff member (either regular or nonregular) who anticipates personal remuneration for special work for any external governmental agency or department will submit a written statement to his/her Department Chair or supervisor covering the following points:

1. Description of the service to be rendered.
2. Statement of time required.
3. Amount of personal compensation expected.
4. Effect of such service on the individual's obligations to the University.

**REQUIRED APPROVAL:**

Service for personal compensation may be undertaken only after receipt of written approval from the President of the University. Compensation for such work will be approved only when the University can assert formally that the additional work involved will not interfere or conflict with the faculty or staff member's obligations to the University itself. Proposals being submitted to external sources which include personal compensation for faculty and staff that have been processed through the Office of Research, Grants and Contracts and approved by the President for submission are excluded.



<p><b>Subject:</b> Employment of Relatives</p>	<p><b>Section Number:</b> PG - 22</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To outline the circumstances under which relatives may or may not be employed by the University.

**DEFINITION OF A RELATIVE:** This policy includes relatives by blood or marriage including parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, uncles, aunts, nieces and nephews, and step-relatives in the same relationship.

**POLICY:** Selection, placement, promotion, and all other matters pertaining to employment of academic and support staff shall be made without regard to family status of the individual. Supervisors and administrators will consider each person on personal merits, qualifications, and skills. Therefore, both husbands and wives or any other kinship can exist at this institution and within the same department.

**EXCEPTIONS:** The University shall not employ a relative as defined above in the following circumstances:

1. No relative of any member of the Board of Regents shall be employed except that upon written recommendation of the President of the University one such relative of each member of the Board of Regents may be appointed upon confirmation by the other appointed members.
2. Placements shall not be made where one employee is in a position to supervise or to influence the related employee's selection, placement, rate of pay, promotion, tenure, teaching load, or other status or interest of the relative, of where the handling of confidential information could create awkward work situations.



<p>Subject: Employment of Relatives</p>	<p>Section Number: PG - 22 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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EMPLOYEES WHO  
BECOME RELATED  
THROUGH MARRIAGE:

The conditions outlined herein shall apply, also, if two employees become related through marriage after they are employed. In such cases if one of the exceptions above applies, one of the employees shall relinquish his/her position. Efforts will be made, if feasible, to find other employment for that individual.



<p><b>Subject:</b> Resignation from University Employment</p>	<p><b>Section Number:</b> PG - 23 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:** To outline the amount of formal notice a faculty or staff member should give when he or she resigns.

**FOR FACULTY MEMBERS:** The faculty member should give no less than 60 calendar days' notice of resignation. It is expected that such resignation from employment shall be effective at the end of a semester.

**FOR ADMINISTRATIVE OFFICERS:** It is expected that administrative officers give at least 60 calendar days' notice of resignation.

**FOR STAFF EXEMPT EMPLOYEES:** It is expected that staff exempt employees give at least one month's notice of resignation.

**FOR STAFF NONEXEMPT EMPLOYEES:** It is expected that staff nonexempt employees give at least two calendar weeks' notice of resignation.

**NONCOMPLIANCE WITH POLICY:** If the expectations for adequate notice as provided in this policy are not met, or if other mutually satisfactory arrangements are not made, the employee may be ineligible for rehire at Morehead State University. Notice of any such action will be provided to the employee by the supervisor.



<p><b>Subject:</b> Time Off for Death in Family or Funeral</p>	<p><b>Section Number:</b> PG - 24 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To provide conditions wherein time off without loss of pay for work time missed is granted for a regular, full-time or continuing, part-time faculty or staff member for a death in the family or funeral attendance.

**PAID TIME OFF  
LIMITS:**

Up to three days shall be granted without loss of pay for work time missed within a seven consecutive day period commencing with the date of death of a member of a staff member's immediate family for attendance to funeral matters. An exception may be made in a case requiring extensive travel time for a funeral outside the state of Kentucky and more than 400 miles from the staff member's residence. When such exception is approved by the appropriate supervisor, up to two additional work days off may be granted.

Time off without loss of pay also may be approved by the appropriate supervisor not to exceed one-half (1/2) day to attend the funeral service of an associate, close friend, or relative not defined as immediate family below.

Time off in addition to that described herein, if approved, shall be taken as no-pay time or accrued vacation or earned compensatory time, at the staff member's option.

A staff member already on time off chargeable to an authorized University holiday excluding vacation shall not receive such death-in-family paid time off for that day.



<p>Subject: Time Off for Death in Family or Funeral</p>	<p>Section Number: PG - 24 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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IMMEDIATE FAMILY: A staff member's immediate family is defined as:

- Father or father-in-law
- Mother or mother-in-law
- Stepfather or stepmother
- Brother, sister, or brother- or  
sister-in-law
- Stepbrother or stepsister
- Spouse
- Child or stepchild
- Grandmother or grandfather
- Grandchild
- Former guardian



<p><b>Subject:</b> Faculty &amp; Staff Identification Card</p>	<p><b>Section Number:</b> PG - 25 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To provide a means for identification of regular full-time faculty and staff members and their families by means of identification (ID) cards.

**FACULTY AND STAFF ID CARDS:** The Office of Personnel Services shall issue each regular full-time faculty and staff member an ID card.

**FAMILY ID CARDS:** A spouse or unmarried dependent child may be issued an ID card upon request by a regular full-time faculty or staff member. A fee may be assessed for each additional ID card issued.



<p><b>Subject:</b> Tuition Waiver</p>	<p><b>Section Number:</b> PG - 26</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To provide regular full-time faculty and staff members opportunity to advance their education by taking University courses without cost, if enrolled in the University.

**ELIGIBILITY:** Any regular full-time faculty or staff member who has completed the probationary period, if applicable, is eligible to request tuition waiver.

**TUITION WAIVER LIMITS:** A regular full-time faculty or staff member may take one course up to a maximum of four credit hours each semester and, during the summer, only one course up to a maximum of four credit hours. The course work must be within the University's three colleges.

**TUITION WAIVER REQUESTS:** A request for tuition waiver is made on the Request for Payment of Registration Fees Form, and must be approved by the supervisor and appropriate vice president. A copy of the form shall be forwarded to the Office of Personnel Services.

**COURSES DURING WORK HOURS:** Permission may be granted by a supervisor upon written request to take classes during work hours. If approved, the work will be made up by adjusting the individual's work schedule. If the faculty or staff member cannot agree on suitable rescheduling arrangements, the matter shall be resolved by the appropriate vice president.

**ADDITIONAL COURSES:** Additional courses beyond the four credit hours per semester (or summer session) maximum may be taken outside normal working hours and at the faculty or staff member's own expense.





<p><b>Subject:</b> Workers' Compensation</p>	<p><b>Section Number:</b> PG - 27</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:** To outline the procedure to be followed in the event of an on-the-job injury or occupational illness.

**ELIGIBILITY:** All types of University employment, full-time or part-time, are covered if an accident or occupational illness arises out of and in the course of employment, unless self-inflicted or due to willful misconduct or intoxication.

**EMPLOYEE RESPONSIBILITY:** It is the legal responsibility of any employee involved in a job-related accident or illness to report the accident or illness to the supervisor, or another supervisor if the employee's supervisor is not available, as soon as practicable after the occurrence of the accident.

**INVESTIGATION OF ACCIDENTS:** Supervisors have the responsibility for investigating the accident or illness and submitting a Supervisor's Investigation Report Form within 24 hours of the accident to the Office of Personnel Services. The Office of Personnel Services is responsible for setting into motion the necessary procedures to provide appropriate workers' compensation coverage to the employee.

**COVERAGES:** Medical expenses normally shall be paid in full for hospital, surgical, doctor and nursing services, and medicines and drugs, for treatment related to a job-related injury or illness. If an employee is unable to work for an extended period of time because of the job-related injury or illness, indemnity payments normally are paid for the work-time lost. These payments represent a percentage of the employee's average weekly wage. An employee may elect to use accumulated sick leave instead of receiving these payments. In such instances, the employee shall endorse the workers' compensation benefit check to the University. The amount of the workers'



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compensation check will be used to reinstate any vacation days and/or sick days used in that order. Calculations for reinstatement will be at the daily rate paid by the University to the employee during his/her absence. In the event of death, there may be certain survivor benefits for eligible dependents.

ACCIDENT  
PREVENTION:

Management at all levels has the responsibility for every operational activity of the department, and each supervisor must accept his or her share of the responsibility for the safety of employees.

It is a basic principle of the University's safety philosophy that each organization is responsible for safety and that each employee, in accepting employment, assumes a personal responsibility for working safely. Each employee must accept the principle that compliance with safety requirements is a condition of employment.



<p><b>Subject:</b> University's Program of Personnel Benefits</p>	<p><b>Section Number:</b> PG - 28</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

A statement on personnel benefits available to regular full-time faculty and staff members.

**THE UNIVERSITY'S PROGRAM:**

The University maintains a comprehensive program of personnel benefits for all full-time regular faculty and staff members and eligible dependents. Information about these programs is found in a variety of policies, handbooks, and brochures prepared to acquaint faculty and staff members about employment with the University. Such programs of benefits are under constant review and are subject to periodic revision. Further information may be obtained from the Office of Personnel Services.

**CONTINUANCE OF UNIVERSITY BENEFITS:**

The University continues benefit contributions on a twelve-month basis, for nine-, ten- and eleven-month employees, who have been employed by the University for the next fiscal year. It is the responsibility of nine-, ten-, and eleven-month employees to continue optional employee contributions, such as optional life insurance; family Blue Cross/Blue Shield coverage; cancer insurance; etc., during periods that employees are not included on the University's payroll.

Under the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) which was signed into law on April 7, 1986, with an effective date of July 1, 1986, the University's regular full-time employees, their spouses, and their eligible dependents may elect to continue their health care coverage under the University's medical plan in certain instances where coverage would otherwise be terminated. Those instances include termination of employment for reasons other than gross misconduct; death of the employee, divorce or legal separation, noneligibility for Medicare, or reduction in



<b>Subject:</b> University's Program of Personnel Benefits	<b>Section Number:</b> PG - 28 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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the hours of employment. Under the law, regular full-time employees, their spouses, and their dependents must be offered continuation coverage for a period of up to three years unless the coverage was lost through termination of employment or reduction in hours. In those cases, the required coverage period will be 18 months. However, the law permits continuation coverage to be immediately terminated when the University no longer provides group medical coverage, premiums for coverage are not paid, eligibility for Medicare is attained, the spouse remarries, coverage is provided under another group health plan, or the dependent ceases to be a "dependent child" under the criteria established in the medical plan. Entitlements for continuation coverage of medical benefits must be processed through the Office of Personnel Services.



<p>Subject: Exit Interviews</p>	<p>Section Number: PG - 29 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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PURPOSE:

To provide a means to obtain information regarding a faculty or staff member's attitude toward the University and his/her job, work area, and supervisor upon termination of employment or retirement and to determine that the faculty or staff member's obligations to the University have been settled properly prior to the final date of employment.

EXIT INTERVIEWS:

Upon termination or retirement, the faculty or staff member will be scheduled for an interview by the Office of Personnel Services. The interview for staff will be conducted by the Office of Personnel Services. Interviews for faculty will be conducted by the appropriate Dean. The purpose of the interview will be to discuss with the employee his/her attitudes toward the University, the job, the unit in which he/she was employed, and the supervisor or manager to whom the individual reported.

CONFIDENTIALITY OF INFORMATION:

In order to have a frank exchange of information, the person conducting the interview will request from the employee authorization to share the information with those concerned. If such permission is not granted, the information will not be disclosed. However, such information still will have value in determining patterns of problems that can be shared generally with areas involved without disclosing the sources.

A Separation Information Form shall be completed by the person conducting the interview.



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CHECKLIST OF  
THINGS TO DO  
BEFORE LEAVING  
EMPLOYMENT:

The faculty or staff member shall complete a checklist of things to do before leaving University employment on an Employment Separation Clearance form provided by the supervisor and sign and date the form and present it to the Office of Personnel Services at the time of the exit interview.

NOTE: Failure to liquidate outstanding debts to the University will result in the indebtedness becoming a matter of official record.



<p>Subject: Withholding Paychecks DELETED (3/26/87)</p>	<p>Section Number: PG - 30 Approval Date: 7/1/85 Revision Date:</p>
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**D E L E T E D**

**PURPOSE:**

To outline some conditions wherein full-time, temporary, or part-time faculty and staff members shall not receive a payroll check due until certain conditions are met. This policy shall not limit the University in withholding paychecks for other circumstances that may arise that are not listed herein.

**FINAL PAYROLL CHECKS:**

The University will withhold the issuance of a final payroll check to any faculty or staff member who is leaving University employment until said individual fulfills all of his/her obligations as stipulated in the employment contract or any University rules and regulations.

**PAYROLL CHECKS OTHER THAN FINAL CHECKS:**

Faculty or staff members who are continuing employment with the University are under a duty to fulfill obligations within the prescribed period of time designated by applicable University rules or regulations. Failure to meet these obligations permits Morehead State University to withhold the next payroll check until such time as the obligations are satisfactorily met.



<b>Subject:</b> Maximum Age for Retirement and Employment	<b>Section Number:</b> PG.- 31  <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 5/13/88
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**PURPOSE:**

To specify the University policy regarding the mandatory age for retirement of tenured faculty and for reemployment of retired faculty and staff after entering into either the KTRS or KERS.

**MANDATORY  
RETIREMENT AGE:**

The mandatory retirement age shall be age 70 for tenured faculty with mandatory retirement occurring on the day after the last examination day of the academic semester or session, as applicable, in which a faculty member's 70th birthday occurs or, if the 70th birthday falls between semesters or sessions, the day after the 70th birthday. The amendment to the Age Discrimination in Employment Act of 1967, which provided for the mandatory retirement of tenured faculty, is currently scheduled for repeal on December 31, 1993. There is no mandatory retirement age for other employees of the University.

**UNIVERSITY  
EMPLOYMENT  
AFTER RETIREMENT:**

Normally, faculty and staff members are not continued in employment after retiring on a pension under one of the retirement plans.

However, under Kentucky law, an individual may be reemployed without forfeiture of pension to the following limits:

1. Under the Kentucky Teachers Retirement System a retired faculty member may be reappointed to teach as a substitute or on a part-time basis not to exceed 100 days per year.
2. Under the Kentucky Employees Retirement System, a retired employee may be rehired in accordance with the annual earning limits established by the Kentucky Employees Retirement System.



PERSONNEL POLICY MANUAL



<p><b>Subject:</b> Staff Performance Evaluations</p>	<p><b>Section Number:</b> PG - 32 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To establish a program of performance evaluations for regular, full-time, and continuing part-time staff members.

**ANNUAL PERFORMANCE EVALUATION:**

At least once annually, the supervisor shall evaluate the employee in selected key areas on a form provided by the Office of Personnel Services.

**PERFORMANCE MEETINGS:**

The supervisor shall review the completed performance evaluation form with the employee and provide for comment from the employee regarding his/her performance. The employee shall sign the form indicating that he/she has seen it. Such signature does not indicate acceptance by the employee of the review.

**COMPLETED EVALUATION FORMS:**

Performance evaluations are used for assistance and decisions in such areas as employee counseling, transfer, promotion, demotion, discharge recommendations, training and development needs and to maximize employee potential. Completed forms shall be sent to the Office of Personnel Services for retention after the supervisors have reviewed the evaluation with the employee. The employee and employing unit shall retain a copy also.

PERSONNEL POLICY MANUAL



<p>Subject: Deceased Employee's Final Salary Payment</p>	<p>Section Number: PG - 33 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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PURPOSE:

To outline the policy to be followed when determining a deceased employee's final salary payment.

DETERMINING FINAL  
DATE FOR PAYMENT  
FOR A DECEASED  
EMPLOYEE:

The final salary payment will be calculated on a pro rata daily basis to and including the date of death if the deceased was actively employed, while using vacation, sick leave, other paid time off, or on leave with pay. If the deceased employee was included in a vacation plan that provides for the payment of unused vacation at the time of termination of employment, a payment for unused vacation time, if any, will also be included in the final salary check.

DEDUCTIONS FROM  
FINAL PAYMENT:

Applicable taxes and benefits deductions shall be made as appropriate from the final salary payment.

ISSUANCE OF FINAL  
SALARY CHECK:

The final salary check for a deceased employee shall be issued to the proper payee in accordance with Kentucky State laws. The Office of Personnel Services shall determine the proper payee from the laws and beneficiary designation on file.



<p><b>Subject:</b> Answering Personnel Inquiries</p>	<p><b>Section Number:</b> PG - 34 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To provide consistency throughout the University in answering inquiries regarding present or former faculty or staff members.

**INQUIRIES  
ADDRESSED TO  
THE UNIVERSITY:**

Inquiries addressed to the University (rather than to an individual) should be forwarded to the Office of Personnel Services.

**INQUIRIES  
CONCERNING  
INSURANCE CLAIMS  
AND COVERAGES:**

Inquiries concerning an employee's insurance claims and coverage, and related matters should be referred to the Office of Personnel Services.

**INFORMATION  
REQUESTED BY  
LEGAL MEANS:**

Information requested by legal means should be channeled through the Office of Personnel Services.

**INQUIRIES MADE  
TO A SUPERVISOR  
OR DEPARTMENT  
CHAIR BY NAME:**

- a. Nonderogatory, public information which is already published, such as information contained in University or community telephone directories or in University catalogs, may be divulged.
- b. Information regarding the employee's record with the University concerning quality of work, attendance record, dates of employment, and so forth may be given provided the individual reporting can defend the information he/she provides.

**INFORMATION  
NOT GIVEN:**

- a. Salary information is not released by the Office of Personnel Services. However, such information is available from appropriate documents on file at the University Library.
- b. Information regarding an employee's record with some other employer is not given.



<p>Subject: Answering Personnel Inquiries</p>	<p>Section Number: PG - 34 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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- c. Information requested to assist a collection agency is not given. (Such agencies sometimes will ask questions such as where an employee works or parks his car or what time his shift ends. Also, forwarding addresses are often requested.)

**INQUIRIES THAT  
ARE NOT COVERED  
BY POLICY:**

Request for information not covered by the policy should be directed to the Office of Personnel Services.



<b>Subject:</b> Effective Date of Employment or Termination of Employment	<b>Section Number:</b> PG - 35 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b>
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**PURPOSE:**

To state the University's policy concerning the effective date of employment or termination of employment.

**NOTE:** This policy does not apply to faculty appointments.

**EFFECTIVE DATE  
OF EMPLOYMENT:**

The effective date of employment shall be the first day the employee is actively at work.

**EFFECTIVE DATE  
OF TERMINATION:**

The effective date of termination of employment shall be the last day the employee is actively at work.



<p><b>Subject:</b> Help Wanted Advertising</p>	<p><b>Section Number:</b> PG - 36 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:**

To insure that language used in classified advertising complies with State and Federal legislation and maintains a standard of public relations.

**RESPONSIBILITY FOR CLASSIFIED ADVERTISEMENTS:**

The Director of Personnel Services is responsible for coordinating the placement of all help wanted advertisements for the University in newspapers and other publications and for reviewing the wording of the advertisements so that:

1. The wording of all such advertisements is in compliance with State and Federal legislation, and
2. A standard of public relations through advertising can be maintained.

**PROCEDURE:**

A supervisor wishing to place a help wanted advertisement shall contact the Director of Personnel Services for guidance.



<p>Subject: Employment Process</p>	<p>Section Number: PG - 37 Approval Date: 7/1/85 Revision Date: 3/26/87</p>
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PURPOSE:

To outline the process followed when filling a regular, full-time vacancy.

INITIATION OF THE PROCESS:

- a. Any administrative unit which wishes to fill a vacancy or create a new position must complete the "Faculty or Support Staff Search Procedure Checklist."
- b. The checklist must contain the necessary information to proceed with a job search by including:
  1. Recommended membership of the search committee of any academic or administrative opening. Search committees appointed to recommend final candidates for certain positions include members, wherever possible, of protected classes.
  2. Appropriate budget approval from the Vice President for Administrative and Fiscal Services.
  3. A list of recommended newspapers and publications where the vacancy should be advertised.
  4. A completed Morehead State University Employment Opportunity form containing a job description and qualifications for the vacancy.
  5. Approval by the Department Chair/Office Director, Dean/Supervisor of Office Director and the appropriate Vice President. The President provides final authorization to pursue the search.
- c. The Director of Personnel Services reviews each checklist for proper



<p>Subject: Employment Process</p>	<p>Section Number: PG - 37                  Approval Date: 7/1/85                  Revision Date: 3/26/87</p>
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approval and makes any appropriate additions or deletions to the media coverage.

**RESPONSIBILITY FOR AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY:**

Affirmative action and equal employment opportunity are the joint responsibility of the supervisor with the vacancy and the Director of Personnel Services. The Director of Personnel Services and the Affirmative Action Officer shall make sure that all steps outlined in the University's Affirmative Action program are followed when filling the vacancy.

**INTERNAL VACANCY POSTINGS (STAFF EXEMPT/STAFF NONEXEMPT):**

All staff exempt and staff nonexempt vacancies shall be posted internally for five days to provide current full-time staff members with the opportunity for promotion. Priority will be given to full-time employees prior to advertising the position externally.

A position which had been posted within the past 45 days does not need to be reposted.

**QUALIFICATIONS FOR PROMOTION (STAFF EXEMPT/STAFF NONEXEMPT):**

Ability to do the job and previous work performance are factors considered by management in determining whether an employee is qualified for the particular position. In considering ability to do the job, a review is made of such things as the employee's work history, attendance record, educational background, and aptitudes.

In no circumstances can a promotion or transfer be denied or granted solely because of race, color, age, religion, sex, handicap, veteran status, or national origin.

If no internal candidate is deemed by management to be qualified, the vacancy is advertised externally by the Office of Personnel Services.





<p>Subject: Employment Process</p>	<p>Section Number: PG - 37</p> <p>Approval Date: 7/1/85</p> <p>Revision Date: 3/26/87</p>
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- a. All resumes and employment applications are properly accepted and recorded on the search procedure checklist. Applications are kept for a minimum of two years or the life of Kentucky's desegregation plan by the Office of Personnel Services.
- b. "Supplemental Personnel Data for Affirmative Action Recruitment" forms are independently forwarded to each applicant by the Office of Personnel Services. The form is used to ascertain sex, race, handicap, or veteran status of candidates. These forms are not seen by the search committee or other persons directly involved in the hiring process.
- c. The Director of Personnel Services screens out applicants who do not minimally qualify under the posting and advertised requirements. Those who are rejected are again reviewed by the screening chairperson or interviewing supervisor to substantiate the decision against the general posting requirements.
- d. The Affirmative Action Officer reviews the applicant-flow listing to determine if there is adequate representation from minorities or women. Depending upon the outcome, the position may be readvertised if, in the opinion of the Affirmative Action Officer, representation is lacking of protected class members.
- e. All selection or promotion decisions are based solely upon the individual's qualifications for the position.



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- f. The completed checklist is returned to the Office of Personnel Services for review. The checklist includes those individuals who were interviewed and those who were not reviewed with reasons for the rejection.
- g. The Affirmative Action Officer reviews the individual selected against any protected class comparing those who applied to determine if the selection was appropriate. If there are doubts, a written explanation may be requested for the hiring rationale and for the reasons why protected class members were rejected. If the written justifications for nonselection of the protected class member are not in conformance with affirmative action selection procedures, the Affirmative Action Officer is authorized to delay an offer of employment until the statement is evaluated or the nonselection is resolved between the two parties. If agreement cannot be resolved, the Affirmative Action Officer must forward all information to the appropriate vice president for resolution.



<b>Subject:</b> Rest Periods	<b>Section Number:</b> PG - 38 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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**PURPOSE:**

To comply with legal requirements, to provide rest periods to employees during periods of work.

**LEGAL REQUIREMENT:**

KRS 337.365 states that "no employer shall require any employe to work without a rest period of at least ten (10) minutes during each four (4) hours worked, except those employes who are under the Federal Railway Labor Act. This shall be in addition to the regularly scheduled lunch period. No reduction in compensation shall be made for hourly or salaried employes."

**UNIVERSITY PHILOSOPHY:**

The University feels that a reasonable amount of time for this purpose should not exceed 15 minutes during each half-day work period. At the discretion of the administrative head of department, it is permissible for employees to take a reasonable amount of time off from a sustained work period to make use of the restroom facilities or to refresh themselves from physical and mental energies expended in the performance of work. It should also be understood that work routines must continue and absences from the work area should be arranged in such a manner as not to disrupt the services of the office/department. The University expects all employees to exercise this privilege in a reasonable manner and to return to their work without undue delay.



<b>Subject:</b> Things to Know When Leaving University Employment	<b>Section Number:</b> PG - 39 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b> 3/26/87
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**PURPOSE:**

To outline the things that a faculty or staff member should know about group life and health insurance, retirement contributions, and other matters if he/she leaves University employment prior to retirement.

**GROUP LIFE INSURANCE:**

Protection in this plan stops 31 days after the end of the pay period in which the resignation becomes effective. The employee's University policy can be converted to an individual policy without a medical examination if application is made within this 31-day period.

A faculty or staff member should contact the Office of Personnel Services if he/she wishes to take advantage of the conversion privilege.

**NOTE:** An individual who desires to continue life insurance and is in good health may be able to obtain more desirable coverage by contacting a representative of any commercial insurance company. This is because converted policies are limited to one type. The amount which may be converted is limited to the amount in force immediately prior to termination.

The cost of the converted policy will be higher than the University's because (1) the type of insurance to which one converts is whole life insurance instead of the less expensive group term insurance, and (2) the age of the individual at time application for conversion is made is also a factor.

**GROUP MEDICAL INSURANCE:**

Under the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA), regular full-time employees, their spouses, and their eligible dependents may elect to continue their health care coverage



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under the University's medical plan in certain instances where coverage would otherwise be terminated (See PG - 28).

**OTHER OPTIONAL INSURANCES:**

Guidance regarding other optional insurance that may be applicable can be received by contacting the Office of Personnel Services.

**RETIREMENT CONTRIBUTIONS:**

A faculty or staff member who is leaving University employment should contact the Office of Personnel Services regarding possible retirement benefits or the withdrawal of contributions.

**FINAL PAY CHECK:**

The faculty or staff member must make arrangements to receive his/her final pay check and year-end W-2 form. If a change of address is known, a new W-4 should be submitted. If there is a change of address after termination but before the end of the calendar year, the Payroll Office must be notified so year-end tax statements can be forwarded to the new address.

**EXIT INTERVIEW:**

The faculty or staff member is responsible for completing the exit interview checklist and scheduling the exit interview with the Office of Personnel Services.



<p><b>Subject:</b> National, State, and Local Elections</p>	<p><b>Section Number:</b> PG - 40</p> <p><b>Approval Date:</b> 7/1/85</p> <p><b>Revision Date:</b> 3/26/87</p>
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**PURPOSE:**

To provide provisions for granting paid time off from work when necessary for full-time regular faculty and staff members to vote in national, state, and local elections.

**GENERAL PHILOSOPHY:**

Staff members of the University are encouraged to exercise their voting privileges at all national, state, and local elections. Ordinarily, work schedules permit adequate time for voting either before or after normal working hours.

**TIME OFF FROM WORK:**

When it is not possible to vote at any other time, a regular full-time faculty or staff member will be granted time off from work for up to four consecutive hours for the purpose of voting on election days, without loss of pay. Time off for voting will be scheduled by the immediate supervisor.

**PRESIDENTIAL ELECTION DAY:**

Presidential Election Day is a University holiday and the provisions of the holiday policy apply.



<p><b>Subject:</b> Salary Increase Upon Being Awarded an Advanced Degree</p>	<p><b>Section Number:</b> PG - 41 <b>Approval Date:</b> 7/1/85 <b>Revision Date:</b></p>
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**PURPOSE:** To outline the salary considerations when an individual is awarded an advanced degree.

**POLICY:** An individual who obtains an advanced degree which in the judgment of the administration is applicable to the assigned duties shall be rewarded in addition to regular increases awarded other employees.



<b>Subject:</b> Employee's Responsibility for University Keys and Property	<b>Section Number:</b> PG - 42 <b>Approval Date:</b> 11/4/85 <b>Revision Date:</b> 6/17/88
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**PURPOSE:** To inform employees of their responsibilities regarding the care and attention of University keys and property.

**KEY CONTROL SYSTEM:** Implementation of a key control system allows convenient access to facilities and provides for facility security. To obtain a key for personal use, the employee must receive approval from their vice president or dean and obtain a key from the Office of Safety and Security. Key Request Forms can be obtained from the offices of the vice presidents or deans. Upon appropriate approval of the request, the employee will personally deliver the approved key request form to the Office of Safety and Security. Upon issuance of a key, an employee is required to sign a key agreement indicating that he/she will not duplicate the key or loan the key to unauthorized personnel and will return the key to the Office of Safety and Security when no longer needed or upon separation from University employment. Lost or stolen keys should be reported immediately to the appropriate supervisor(s) at which time a lost key report will be completed. In the event of negligence, a charge for a lock change may be assessed when a key is lost or stolen. This charge must be paid by the employee before a new key is issued.

**UNIVERSITY PROPERTY:** Employees may be issued University property and other equipment necessary to perform their day-to-day duties and responsibilities. In addition, employees may be given access to the University's computer systems via passwords. It is the employee's responsibility that this equipment and material, as well as individual computer passwords, computer data bases, and access to computer resources and equipment be maintained with the utmost care and be protected from misuse and/or abuse. Once





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materials have been provided, the employee is responsible until appropriately returned to the supervisor.

**EMPLOYEE PENALTY UPON VIOLATION OF POLICY:**

Violation of any part of the key agreement or the misuse and/or abuse of computer passwords, computer data base, or computing resources and equipment may result in revocation of all key or computer privileges and/or subject the employee to disciplinary action. Under Kentucky Revised Statutes, any person who knowingly makes, or causes to be made, any University key shall be guilty of a Class A misdemeanor. Likewise, misuse and/or abuse, destruction, or unauthorized access to University property and/or computer systems is subject to disciplinary action and/or dismissal from University employment.



<p>Subject: Staff Early Retirement</p>	<p>Section Number: PG - 43                  Approval Date: 7/18/86                  Revision Date:</p>
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**PURPOSE:** To provide regular full-time staff eligible for retirement under the Kentucky Employee or Kentucky Teachers' Retirement System an opportunity to retire earlier than the age required to qualify for social security benefits or the mandatory age of retirement from the University, and to continue in a part-time support capacity with the University.

**ELIGIBILITY:** Any staff member eligible for retirement under the regular Kentucky Retirement Systems may apply for early retirement. A request to take early retirement is to be made by the staff member directly to the requesting member's supervisor. A decision on whether to grant the early retirement request will be made by the appropriate supervisors (director, department chair, dean, vice president) and will be based upon the staffing needs, present and future, of the affected office. If early retirement does not adversely affect the function of the office, then upon a favorable recommendation of the appropriate supervisors, the President may recommend final approval to the Board of Regents at the next scheduled meeting of the Board. Prior to the recommendation of the President, a fixed-term contract not to exceed four years will have been negotiated between the staff member and the University, the provision of which should mutually meet the needs of the contracting parties.

**PROGRAM:** The negotiated first year salary shall not exceed 40 percent of the staff member's last base salary. Future salary adjustments will be permitted in accordance with salary distribution guidelines adopted by the institution each year. During the early retirement period, the retired staff member may elect to purchase life insurance from the University's life insurance carrier under the



<p>Subject: Staff Early Retirement</p>	<p>Section Number: PG - 43 Approval Date: 7/18/86 Revision Date:</p>
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University's group plan. Single and family health insurance may also be purchased at the group rate; however, the Office of Personnel Services and the Budget Office will annually review the decision to continue to offer health and life insurance as a part of the early retirement plan. Continuation of the health and life insurance plans for the staff in early retirement is contingent upon budgetary impact.

This special appointment category carries with it the expectations, duties, and responsibilities of a part-time position. Sick leave will be permitted in accordance with the University personnel policies, office space will be made available, and library and special purchase privileges (bookstore, athletic tickets, etc.) will be available in accordance with University policies and procedures. The staff member's performance will also be evaluated utilizing the same evaluation instrument as used to evaluate regular staff. This special appointment category carries with it no less responsibility for performance, attendance, and professional ethics and responsibilities than that of a regular employee and will be governed by the University personnel policies with the exceptions as defined previously.

Staff must retire fully from the University in accordance with current personnel policy at age 70.



<b>Subject:</b> Staff Job Classification, Wage, and Salary Administration	<b>Section Number:</b> PG - 44 <b>Approval Date:</b> 5/13/88 <b>Revision Date:</b>
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**PURPOSE:**

To establish the policies and procedures for administering the Staff Job Classification and Compensation Plan approved by the Board of Regents on January 29, 1988.

It shall be the objective of the University to maintain a Staff Classification System based on the job evaluation techniques contained in the Classification, Compensation, and Job Evaluation Study conducted by Cresap, McCormick and Paget and subsequently adopted by the Board of Regents on January 29, 1988. It shall further be the objective of the Board to compensate staff members in an equitable and competitive manner within the resources available to the institution for staff compensation.

**ADMINISTRATION OF THE PLAN:**

The Board of Regents authorizes the President to administer the Plan. All staff appointments shall be in accordance with the Staff Job Classification and Compensation Plan. The scope of the University's annual audit by an external auditing firm shall be expanded to encompass an audit of institutional compliance with the policies and procedures for administering the Plan.

**MANAGEMENT RIGHTS AND RESPONSIBILITIES:**

The Board of Regents may amend the Staff Job Classification and Compensation Plan in response to budgetary constraints, changes in state and Federal law or regulations, and/or based upon any financial exigency which might affect the University's ability to appropriately respond to internally- or externally-imposed fiscal restraints. The Office of Personnel Services shall maintain the Staff Job Classification and Compensation Plan. The Plan shall be available in the Office of Personnel Services and in the Camden-Carroll Library for review by any employee. The Staff Job Classification and



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Compensation Plan shall be a part of the annual personnel roster and appointment approval process.

**JOB EVALUATION COMMITTEE:**

The President shall appoint a Job Evaluation Committee. The Committee shall hear and decide on job classification appeals, and in conjunction with the Office of Personnel Services, it shall review and recommend changes to the Plan. Routine personnel actions which do not necessitate a change in job classification shall not require review by the Job Evaluation Committee. Questions or disputes that arise from the Plan's administration shall be resolved by the Job Evaluation Committee.

Classification and grade assignments for new positions, or reclassification of existing positions, shall be submitted to the Personnel Office for review and recommendation to the Job Evaluation Committee. Appeals to the Plan's job classification shall be accepted through June 30, 1989. The classification and grade determination shall be based on the requirements of the position as defined on the job description and on factor comparisons with other like or similar positions.

**JOB CLASSIFICATION SYSTEM:**

The University shall maintain and administer a job classification system that is responsive to the management of staff employees and is consistent with the classification techniques contained in the Plan approved by the Board of Regents. An ongoing review of all job classifications will be conducted by the Office of Personnel Services. The review shall permit equitable and routine adjustments consistent with the staffing needs of the University and available resources.



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**STAFF COMPENSATION SCHEDULE:**

The Administration shall maintain and administer a compensation schedule that is equitable in its administration and is consistent with each job classification and grade determined in the job classification system. The compensation schedule shall be reviewed annually and adjusted when appropriate within the resources available to the University for staff salaries and wages.

**ADJUSTING THE COMPENSATION SCHEDULE:**

To assist in determining if annual changes in the compensation schedule are necessary, the Office of Personnel Services shall conduct compensation surveys as appropriate but, as a minimum, will conduct a comprehensive survey every three years. The Office of Personnel Services in conjunction with the Office of Budgets shall recommend to the President any adjustments to the schedule. The President shall recommend to the Board of Regents for its approval any adjustments prior to implementation. The survey and review should coincide with the University's annual planning and budgeting process.

**ANNUAL SALARY ADJUSTMENTS:**

With the resources available annually for staff salary increases, it shall be the objective of the University to adjust salaries of employees, who are meeting job expectations, toward the midpoint of their grade. Employees whose salaries are within the third and fourth quartiles of their grade range, and who are meeting job expectations, shall continue to move through their respective grade range. Resources permitting, cost-of-living increases shall be considered when annual salary and wage adjustments are determined.



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If additional funds are available following this initial distribution, such funds shall be allocated within guidelines developed by the administration.

**EMPLOYEE CATEGORIES:**

The Equal Employment Opportunity categories of all University positions are generally classified as exempt and nonexempt and are indicated below:

- 01 Executive/Administrative/Managerial (Exempt)
- 02 Faculty (Exempt)
- 03 Professional, Nonfaculty (Exempt)
- 04 Secretarial/Clerical (Nonexempt)
- 05 Technical/Paraprofessional (Nonexempt)
- 06 Skilled Crafts (Nonexempt)
- 07 Service Maintenance (Nonexempt)

**PROCEDURES:**

The Office of Personnel Services and the Department Chair/Office Director shall operate under the following provisions:

- A. New Hire. The normal entry rate of pay for a newly-hired staff employee shall be the minimum of the first quartile for the grade. Under certain conditions, a staff employee may be started at a rate higher than the entry rate but not greater than the salary permitted for the grade. The Job Evaluation Committee shall review and recommend to the President any salary greater than the entry level. Written justification for a starting rate higher than the entry rate shall accompany the request from the hiring administrative unit head to the Director of Personnel Services. When requesting an exception, sufficient lead time shall be given to assess the justification and make a recommendation to the Job Evaluation Committee and obtain a final decision by



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the President. Justification shall clearly establish the following:

1. No other qualified applicant is available for hire at the entry rate.
2. A definite need exists for the position to be filled by an individual possessing the skills, education, and experience beyond that normally required to perform satisfactorily the duties of the position.
3. The desired applicant does in fact have conclusive support that he/she possesses the skills, education, and experience beyond that required of the position.
4. Employment of the desired applicant does not result in discrimination against, nor have an adverse impact upon members of any race, sex, or ethnic group.

B. Promotion and Reclassification. Upon promotion or reclassification to a higher grade, an employee's new rate of pay will be the entry rate of the new grade. If the entry rate is less than the employee's current rate, the employee's new rate may be increased up to 5 percent higher than the current rate with the approval of Personnel Services and the hiring unit.

For employees in positions which are reclassified individually, the pay rate shall become effective on the first day of the month following final approval of the reclassification. For employees reviewed as part of a series review, pay





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rates shall become effective at the beginning of the next fiscal year.

A pay increase upon promotion shall not jeopardize an employee's eligibility for annual increases.

Retroactive pay adjustments shall not be made.

- C. Acting, Interim, or Temporary Appointments. If an employee serves in an acting, interim, or temporary capacity for at least one (1) month, the employee shall receive the entry rate of pay for the position in which he or she is serving in an acting, interim, or temporary capacity. If the entry rate is below the employee's current rate and with the approval of Personnel Services and the hiring unit, the rate may be increased up to 5 percent, or up to 10 percent if the employee continues duties in the former position, higher than the employee's current rate. When returned to the former position, the employee shall revert to the former rate of pay with any annual increases awarded during the absence from the former position.
- D. Demotion. A demotion is the movement of a staff employee to a lower grade level. A demotion shall not jeopardize an employee's eligibility for annual increases. The normal adjusted salary for a demoted staff member shall be determined by Personnel Services according to the following:
1. An individual who voluntarily accepts a position in a lower grade shall retain his or her current rate of pay for the remaining portion of the



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- current fiscal year. At the beginning of the new fiscal year, the employee shall be paid at the entry rate of the lower grade. Annual increases shall be calculated based on the lower pay rate.
2. An individual who is involuntarily assigned to a lower grade level for cause, or for financial exigency, shall be immediately paid at the entry rate of the lower grade. However, the employee shall retain his or her current rate for the remaining portion of the current fiscal year if the involuntary assignment resulted from reclassification due to nonbudgetary organizational changes. At the beginning of the new fiscal year, the employee shall be paid at the entry rate of the lower grade. Annual increase shall be calculated based on the lower pay rate.
- E. Lateral Transfer. A lateral transfer is the movement by an employee to another position of equivalent grade. In the case of a lateral transfer, the employee shall retain his or her current pay rate. Lateral transfer shall not jeopardize an employee's eligibility for annual increases.
- F. Reinstatement or Recall. The normal rate of pay for a reinstated or recalled staff employee, within one year, shall be the former rate or the entry rate whichever is greater.

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G. Overtime or Compensatory Time. Overtime pay and/or compensatory time shall be granted under the conditions of PSNE-5 of the Personnel Policy Manual.

H. Classification Changes. See Job Evaluation Committee section on page 2 of 8 in this policy.

RESTRICTED FUND  
EMPLOYMENT:

Restricted fund employees are those employees hired in positions for projects funded from external sources. Project directors shall use the University's pay schedules when developing budgets for projects. The University does not assume any obligation to supplement wages and salaries of externally-funded employees who are not compensated at levels established in this policy.

TEMPORARY  
PART-TIME  
EMPLOYMENT:

Fixed-Term II and Wage Payroll appointments, full-time for less than six months or less than 50 percent time for up to one year, shall have a pay rate of at least the Federal minimum wage but not more than the entry rate for the position and grade of the duties being performed. The following exceptions apply only for temporary or part-time employment of retired members of Kentucky Teachers' Retirement System (KTRS) and Kentucky Employees Retirement System (KERS):

1. Under KTRS, a retired member may be reemployed for up to forty (40) percent of time during any fiscal year without forfeiting pension entitlements.
2. Under KERS, a retired member may be reemployed in accordance with the annual earnings limitation established by KERS.