

KCTCS POLICY MANUAL

The *Kentucky Postsecondary Education Improvement Act of 1997 (Act)* created the Kentucky Community and Technical College System (KCTCS) as the ninth higher education institution in Kentucky. The *Act* brought together 15 technical colleges and 13 community colleges under the KCTCS Board of Regents. As prescribed by KRS 164.350, the general duties of the Board of Regents includes the adoption of rules and regulations for the government of its members, officers, agents, and employees.

The *KCTCS Policy Manual* consists of two volumes. Volume I includes the Board of Regents' policies designed to provide for the responsible and efficient administration of the System and the accomplishment of its goals. Through specific policies the Board of Regents has delegated certain responsibilities to the KCTCS President, including the authorization to promulgate administrative policies and procedures. These are included in Volume II.

Both volumes are printed in loose-leaf form and are accessible on the KCTCS website, <http://www.kctcs.edu/employee/policies/>. The *Policy Manual* has been prepared to inform employees of KCTCS employment practices and policies, as well as benefits provided to valued employees. Policies that pertain to specific groups are coded as such. It is every employee's responsibility to read and understand the policies. Employees who have comments or suggestions about policy modifications or corrections should communicate these in writing to the President's Office or the Chancellors' Office.

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SECTION 1

Governance Related Policies

1.3.3.1 Boards of Directors of Community Colleges

In compliance with KRS 164.600, there shall be a Board of Directors for each community college under the Kentucky Community and Technical College System, except as provided in KRS 165.160. Each Board of Directors shall:

- (a) Recommend one (1) candidate for the community college president from three (3) candidates provided by the President of the Kentucky Community and Technical College System. The President shall have the authority to make the final appointment and shall not be bound by the recommendation from the Board of Directors;
- (b) Evaluate the community college president and advise the chancellor of the president's performance. The President of the Kentucky Community and Technical College System has final authority for the appointment and termination of the community college president;
- (c) Approve budget requests for recommendation to the Kentucky Community and Technical College System;
- (d) Adopt and amend an annual operating budget and submit it through appropriate channels to the Board of Regents of the Kentucky Community and Technical College System for approval as to the compliance with its guidelines; and
- (e) Approve and implement a strategic plan that is developed in coordination with local employers, civic leaders, campus constituents, and other postsecondary institutions in the region and that is consistent with the strategic agenda of the General Assembly.

The president of each community college shall have full authority and discretion regarding the use and management of the budget approved by the Board of Regents for the Kentucky Community and Technical College System.

Each Board of Directors shall consist of ten (10) members, seven (7) of whom shall be appointed by the Governor for a term set by law pursuant to Section 23 of the Constitution of Kentucky. The other three (3) board members shall be one (1) member of the teaching faculty, one (1) member of the staff, and one (1) member of the student body. An appointed member's term shall be six (6) years.

The faculty member shall be on the teaching or research faculty of the community college. The faculty member shall be elected by secret ballot of all full-time faculty members of the community college. Faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. Faculty members shall be eligible for reelection, but they shall be ineligible to continue to serve as members of the boards if they cease to be members of the teaching staff of the community college. Elections to fill vacancies shall be for the unexpired term in the same manner as provided for original election.

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The staff member shall be a classified or mid-management employee who does not hold faculty rank and who does not hold an upper administrative position. The staff member shall be elected by secret ballot of all full-time staff members of the community college. Staff members shall serve for terms of three (3) years and until their successors are elected and qualified. Staff members shall be eligible for reelection, but shall be ineligible to continue to serve as members of the Boards if they cease to be members of the staff of the community college. An election to fill a vacancy for an unexpired term shall be held in the same manner as an election to an original full term.

The student member shall be the president of the student body of the community college. If the president of the student body is not a full-time student who maintains permanent residency in the Commonwealth of Kentucky, a special election shall be held to select a full-time student who does maintain permanent residency in this Commonwealth as the student member.

The members of the Board of Directors shall receive no compensation for their services, but shall be paid for their actual and necessary expenses.

No citizen member of the Board of Directors shall be a relative of any employee of the community college under its jurisdiction. A person who is a member of the Board on July 15, 1998, who is a relative of an employee of the community college may finish out the appointed term of office but the member may not be reappointed. As used in this section, "relative" means father, mother, brother, sister, husband, wife, son, daughter, aunt, uncle, son-in-law, and daughter-in-law.

The Board of Regents of the Kentucky Community and Technical College System may extend this type of local governance authority to each postsecondary technical institution under its control, subject to review and approval by the Council on Postsecondary Education.

4-30-99	7-1-00	7-1-00
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	7-1-00	(SIGNED) 7-1-00
_____ Recommended by	_____ Date	_____ President, KCTCS _____ Date

1.3.3.1.1 Model Bylaws (for suggested use)

**Board of Directors of <Name> Community College
Community Colleges
Kentucky Community and Technical College System**

ARTICLE I

1.1 Name. The name of the Board shall be the <Name> Community College Board of Directors of the Kentucky Community and Technical College System.

1.2 Bylaws. In the absence of statutory direction, these Bylaws shall govern the conduct of the Board of Directors for <Name> Community College under the Kentucky Community and Technical College System, hereinafter referred to as the “Board,” which is a board as defined in KRS 164.600, except as provided in KRS 165.160.

1.3 Statutory Authority. The Board was established by KRS 164.600 et seq. as amended by HB 1, Extraordinary Session 1997. The duties and responsibilities of the Board are described in KRS 164.600 as amended by HB 1, First Extraordinary Session 1997.

ARTICLE II

2.1 Purpose. In carrying out its duties, the Board shall seek to fulfill its mission as established in KRS 164.600 as established in HB 1, First Extraordinary Session 1997. Each Board of Directors shall:

- a. Recommend one (1) candidate for the community college president from three (3) candidates provided by the President of the Kentucky Community and Technical College System. The President shall have the authority to make the final appointment and shall not be bound by the recommendation from the Board of Directors;
 - b. Evaluate the community college president and advise the chancellor of the president’s performance. The President of the Kentucky Community and Technical College System has final authority for the appointment and termination of the community college president;
 - c. Approve budget requests for recommendation to the Kentucky Community and Technical College System;
 - d. Adopt and amend an annual operating budget and submit it through appropriate channels to the Board of Regents of the Kentucky Community and Technical College System for approval as to the compliance with its guidelines; and
 - e. Approve and implement a strategic plan that is developed in coordination with local employers, civic leaders, campus constituents, and other postsecondary institutions in the region and that is consistent with the strategic agenda of the General Assembly.
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ARTICLE III

3.1 Membership. As established in KRS 164.600 and as amended by HB 1, First Extraordinary Session 1997, each Board of Directors shall consist of ten (10) members, as follows: seven (7) members appointed by the Governor; one (1) member shall be a member of the teaching faculty, one (1) member of the staff, and one (1) member shall be a member of the student body.

- a. Appointed Members. The seven (7) appointed members shall serve a term set by law pursuant to Section 23 of the Constitution of Kentucky. An appointed member's term shall be six (6) years.

No citizen member of the Board of Directors shall be a relative of any employee of the community college under its jurisdiction. A person who is a member of the Board on July 15, 1998, who is a relative of an employee of the community college may finish out the appointed term of office but the member may not be reappointed. As used in this section, "relative" means father, mother, brother, sister, husband, wife, son, daughter, aunt, uncle, son-in-law, and daughter-in-law.

- b. Faculty Member. The faculty member shall be on the teaching or research faculty of the community college. They shall be elected by secret ballot of all full-time faculty members of the community college. Faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. Faculty members shall be eligible for reelection, but they shall be ineligible to continue to serve as members of the Boards if they cease to be members of teaching staff of the community college. Elections to fill vacancies shall be for the unexpired term in the same manner as provided for original election.

Teaching faculty members are defined as those with faculty or equivalent rank who spend less than fifty percent of their time in administrative responsibilities. For purposes of this section, assignment as division chairperson, program coordinator, counselor, or librarian shall not exclude one from eligibility to serve as an elected faculty member of the Board.

- c. Staff Member. The staff member shall be a classified or mid-management employee who does not hold faculty rank and who does not hold an upper administrative position. The staff member shall be elected by secret ballot of all full-time staff members of the community college. Staff members shall serve for terms of three (3) years and until their successors are elected and qualified. Staff members shall be eligible for reelection, but shall be ineligible to continue to serve as members of the Boards if they cease to be members of the staff of the community college. An election to fill a vacancy for an unexpired term shall be held in the same manner as an election to an original full term.
-

- d. Student Member. The student member shall be the president of the student body of the community college. If the president of the student body is not a full-time student who maintains permanent residency in the Commonwealth of Kentucky, a special election shall be held to select a full-time student who does maintain permanent residency in this Commonwealth as the student member. Membership will be alternated among the three (3) college campuses.

3.2 Compensation. The members of the Board of Directors shall receive no compensation for their services, but shall be paid for their actual and necessary expenses.

ARTICLE IV

4.1 Officers of the Board of Directors. The Officers of the Board of Directors shall consist of a Chair, Vice Chair, a Secretary, and such other officers as it may deem necessary. The Board Chair may appoint an Assistant Secretary as defined below in Section 4.3(d).

4.2 Election and Term. Officers of the Board shall be elected from the membership at the annual meeting and shall serve one-year terms. In the event a vacancy occurs prior to the end of the term of an officer, the Board shall hold a special election to fill the office for the unexpired portion of the term.

4.3 Duties of Officers.

- a. Chair. The Chair shall preside at all Board and executive committee meetings, shall serve as an ex-officio member of all committees, and shall have such other duties as may be prescribed by the Board.
- b. Vice Chair. In the Chair's absence, the Vice Chair shall perform all the duties of the Chair and shall have such other duties as may be prescribed by the Board.
- c. Secretary. The Secretary shall maintain minutes of all meetings of the Board, shall attest to all documents required to be signed for the Board, shall issue proper notice of all meetings of the Board, and shall perform such other duties as may be prescribed by the Board.
- d. Assistant Secretary. The Board Chair may appoint an assistant secretary of the Board, who shall be the president of the college or the college president's designee. Copies of all minutes, papers, and documents of the Board may be certified by the assistant secretary with the same force and effect as though such certification were made by the Secretary of the Board.

ARTICLE V

5.1 Regular Meetings. The Board shall by order at the first meeting in the Fall of each year provide for a schedule of regular meetings to be held at specified times and places which are convenient to the public. The Fall meeting shall be considered the annual meeting for the Board

of Directors and shall occur on the < > day of < > month. All regular meetings shall be held in accordance with applicable open meeting laws of the Commonwealth of Kentucky as set forth in KRS 62.810.

5.2 Special Meetings.

- a. Upon the written request of a majority of the members of the Board or the President of the college, the Chair of the Board shall call a special meeting. The special meeting shall be held within twenty (20) days of receipt by the Chair of such a written request. A notice specifying the time, place, and agenda of any special meeting of the Board shall be mailed by the Secretary to each member of the Board at least five (5) days in advance of the meeting date; but, notice of three (3) days may be given by telephone or electronic communication when, in the judgment of the Chair, an emergency exists. Written notice shall also be posted at least twenty-four (24) hours before the meeting in a conspicuous place in the building where the special meeting will take place, and in a conspicuous place in the building which houses the offices of the President of the Community College. The notice must also be provided to news media which have requested such notice pursuant to KRS 61.823. All special meetings shall be held in accordance with applicable open meetings laws of the Commonwealth of Kentucky as set forth in KRS 61.805, *et seq.*
- b. The Board may transact any or all business that it may transact at a regular meeting, provided that action shall be limited to the items listed on the agenda for the notice of the meeting.

5.3 Agenda.

- a. Distribution. A copy of the agenda for each regular meeting of the Board, including notice of all expiring terms or vacancies in membership of the Board or its committees, and, insofar as is practicable, copies of all reports and other materials to be presented to the regular meeting as a part of the agenda, shall be provided by the Secretary to each member of the Board at least seven days in advance of the regular meeting. If practicable, a copy of the agenda for each special meeting of the Board with reports and other materials to be presented, shall be provided to each member of the Board at least five days in advance of the special meeting. Notice to members shall be by mail, personal delivery, or facsimile transmission as provided for in KRS 61.823. In no instance shall less than twenty-four (24) hours notice be given.

Pursuant to KRS 61.823, notice of regular and special meetings, to include date, time, and place of the meeting and the agenda, shall be provided to media organizations which have filed a request to receive such notice.

- b. Preparation. The agenda for a regular or special meeting of the Board shall be prepared by the Secretary with the approval of the Chair. All requests for inclusion of a given item on the agenda of a particular meeting shall be filed, with supporting documents, if any, with the Secretary of the Board.
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- c. Additions. Any committee or member of the Board may request consideration by the Board, at any regular meeting, of any items not on the agenda. Information to be presented to the Board from interested parties who are not members of the Board must be provided to the Secretary at least ten (10) days in advance of the scheduled meeting. The Chair may waive this requirement at his/her discretion.

5.4 Quorum. A simple majority of the voting members of the Board shall constitute a quorum for the transaction of business at Board meetings.

5.5 Power to Vote. All members of the Board may vote on all matters coming before the Board for consideration, except that the faculty member and the staff member shall not vote on faculty and staff compensation matters. No member may vote by proxy. No vote concerning any matter under consideration by the Board, or by a committee of the Board, may be cast in absentia, by mail, telephone, or electronic mail.

5.6 Rules of Order. In the event that the governing statutes or these bylaws are not instructive regarding applicable procedures, the Board shall consult *Robert's Rules of Order* for applicable procedures.

5.7 Executive Sessions. All meetings of the Board shall be open to the public unless, consistent with the requirements of KRS 61.810-.815, a meeting is closed to the public by a majority vote of a quorum of the Board in open public session. Any formal action of the Board must be taken in open session.

5.8 Minutes.

- a. Duties of the Secretary. The Secretary shall keep minutes of all meetings of the Board; shall file, index, and preserve all minutes papers and documents pertaining to the business and proceedings of the Board and shall be the custodian of all records of the Board and instruments of the Board. The Secretary shall be responsible for transcribing the minutes of each meeting within a reasonable time and for providing a copy for each member of the Board.
- b. Approval. The minutes shall not be considered official unless and until approved by the Board.
- c. Public Record. Pursuant to KRS 61.835, the minutes shall be open to public inspection no later than immediately following the next regularly scheduled meeting of the Board.

5.9 Attendance. Members who are unable to attend at least 75 percent of the regularly scheduled meetings, including meetings of committees to which they are assigned, during a state fiscal year should consider resignation from the Board. No person may attend any meeting of the Board as a substitute for a Board member, and no person, except a regular member of the Board, shall be entitled to vote in determining the action of the Board at any time.

ARTICLE VI

6.1 Committees. The Board shall establish such standing and ad hoc committees as it deems appropriate to discharge its responsibilities. Each committee shall have a written statement of purpose, role, and scope as approved by the Board, and such rules of procedure or policy guidelines that it or the Board, as appropriate, shall approve. Such statements shall be reviewed annually by each committee.

ARTICLE VII

7.1 President of the Community College. The President of each community college shall have full authority and discretion regarding the use and management of the budget approved by the Board of Regents for the Kentucky Community and Technical College System as set forth in Section 101 of KRS 164.350 as amended in HB 1, First Extraordinary Session 1997.

The Community College President shall be the chief executive officer of the college with responsibility for all education and managerial affairs. The President is responsible for leading the college, hiring all employees, implementing all Kentucky Community and Technical College System Board of Regents policies, keeping the Board informed on appropriate matters and serving as the key spokesperson for the college. The Community College President has the authority to execute all documents on behalf of the college and the Board of Directors consistent with Board policies and the best interests of the college.

ARTICLE VIII

8.1 Insurance for Directors and Officers. Pursuant to KRS 164.2871, the governing board of the Kentucky Community and Technical College System is authorized to purchase liability insurance to protect Directors and Officers of the Board. The President of the Community College shall provide each Director and Officer a copy of applicable insurance policies covering each Director or Officer in connection with the defense of any action, suit, or proceeding to which the Director or Officer may be made a party by reason of being or having been a Director or Officer.

ARTICLE IX

9.1 Conflict of Interest. A Director shall be considered to have a conflict of interest (1) if such Director has existing or potential financial or other interests that impair or reasonably appear to impair such member's independent, unbiased judgment in the discharge of the President's responsibilities to the college, or (2) such Director is aware that a family member or any organization in which such Director or family member is an officer, Director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests. For the purposes of this provision, a family member is defined as a spouse, parents, siblings, children, and any other relative if the latter resides in the same household as the Director. All Directors shall disclose to the Board any possible conflict of interest at the earliest

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

practical time. Furthermore, the Director shall absent himself or herself from discussions of, and abstain from voting on, such matters under consideration by the Board of Directors or its committees. The minutes of such meetings shall reflect that a disclosure was made and that the Director who has a conflict or possible conflict abstained from voting. Any Director who is uncertain whether a conflict of interest may exist in any matter may request that the Board or committee resolve the question in the Director's absence by majority vote. Each Director shall complete and sign a disclosure statement.

ARTICLE X

10.1 Amendments. Any provision of these bylaws (except those required or governed by the Kentucky Revised Statutes) may be amended or new provisions added by affirmative vote of two-thirds of the quorum of the Board; provided that no amendment or addition may be adopted unless its substance first has been introduced at a preceding regular or special meeting of the Board.

10.2 Suspensions. Any provision of these bylaws (except those required or governed by the Kentucky Revised Statutes) may be suspended at any regular or special meeting of the Board for that meeting by affirmative vote of two-thirds of the quorum of the Board.

Chair, Board of Directors

Date

1.4.1.5 Local Community College Faculty Governance

Each community college is expected to have a faculty governance body in a form somewhat similar to the following example: Model - Rules of the Faculty for the Community College Branch and Bylaws of the Faculty.

All local faculty documents should be approved by the Chancellor and on file with the Chancellor. Each community college president is expected to have a current copy on file with the Chancellor's office and in the president's office.

1.4.2.5 Local Technical College Faculty Governance

(Policy development is in progress.)

4-30-99			
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

MODEL: Example For Optional Use

RULES OF THE
FACULTY OF
(name) COMMUNITY COLLEGE

ARTICLE I - NAME AND ROLE

The assembly of the faculty of _____(name)_____ Community College (the “Community College”) will be called the Faculty. The Faculty is a forum for free and open debate and faculty deliberation regarding any and all issues affecting the Community College.

ARTICLE II - POWERS

The Faculty has authority and responsibility for the educational policies of the Community College as delegated to it by the Board of Regents of the Kentucky Community and Technical College System. In keeping with the common practice of institutions of higher education and within the limits established by the policies and procedures of the Board and the Rules of the Community College Branch Senate, the faculty has primary responsibility for monitoring and making recommendations with regard to the matters set forth below and the matters set forth in the Bylaws of the Faculty.

1. The Faculty shall make recommendations to the Senate of the Community College Branch on matters such as:
 - Academic policies and curricula for the Community College Branch.
 - Courses and other academic offerings in the Community College Branch that are not offered in the University System and courses offered in the University System that are offered in the Community College Branch.
 - Policies and regulations governing admission classifications, probation and dismissal of Community College Branch Students.
 - An academic calendar.
 - All candidates for degrees and certificates from the Community College Branch.
 - Criteria for faculty appointment, reappointment, promotion, and tenure in the Community College Branch.
 - Changes in the Rules of the Community College Branch Senate and in other Kentucky Community and Technical College System governing regulations.
 2. The Faculty shall provide consultation to the Chancellor of the Community College Branch with regard to the selection of a search committee for a President for the Community College.
 3. The Faculty may make recommendations on other matters to the Senate of the Community College Branch, to the president of the community college, to the
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Chancellor of the Community College Branch or to the President of the Kentucky Community and Technical College System, as appropriate.

4. The Faculty shall have no management or administrative function, except those functions expressly delegated to it, either in itself or through the instrumentality of its committees.
5. The Faculty shall perform such other duties and fulfill such other functions as are appropriate to achieve the missions and goals of the community college so long as they are not in conflict with the rules and regulations governing the Community College Branch, or these Rules.
6. The Faculty shall do everything necessary, proper, advisable or convenient to exercise the powers herein above set forth and do all other things incidental thereto.

ARTICLE III - BYLAWS

The Faculty shall have the power to adopt Bylaws for its operations which shall include officers, meetings, and committees as necessary so long as they are not in conflict with the rules and regulations governing the Community College Branch or the Kentucky Community and Technical College System.

ARTICLE IV - AMENDMENTS

An amendment to these Rules may be made by approval of two-thirds (2/3) of the membership of the Faculty at a regular meeting of the Faculty called for that purpose, or by mail ballot.

Any amendment to these rules shall be submitted to the president of the community college, the Community College Senate Council, and the Chancellor for the Community College Branch for review and approval before being made operational.

I, the duly appointed and acting Secretary of THE FACULTY OF _____ COMMUNITY COLLEGE hereby certify that the foregoing Rules constitute the Rules of the Faculty as amended and restated at a meeting of the Faculty on _____.

IN WITNESS WHEREOF, I have subscribed my name on the ____ day of _____, 199__.

Secretary

MODEL: Example for Optional Use

**BYLAWS OF THE FACULTY AND FACULTY COUNCIL
OF (NAME) COMMUNITY COLLEGE**

ARTICLE I - NAME

The name of the Organization is THE FACULTY OF (NAME) COMMUNITY COLLEGE (the “Faculty”).

ARTICLE II - OFFICES

The principal office of the Faculty shall be located at the campus of _____
Community College in _____, Kentucky (the “Community College”).

ARTICLE III - MEMBERS

The president of the community college, the Academic Dean, all full-time faculty members, full-time ranked professional librarians, full-time ranked professional counselors, or other administrative officers who have faculty rank and tenure or tenure track status in the community college shall be the voting members of the Faculty. All adjunct faculty and special appointment faculty shall be members with floor privileges but without vote. Disputes regarding individual membership qualifications and voting rights, subject to the provisions of this Article III, shall be decided by the Faculty Council of the Faculty.

ARTICLE IV - MEETING OF MEMBERS

1. Chairing of Meetings. The Faculty shall have two (2) Co-Chairpersons who shall be the President of the Community College and the Faculty Co-Chairperson of the Faculty (the “FCF”). The FCF shall chair faculty meetings when the agenda contemplates curricular or other academic matters, or issues arising from standing or ad hoc committees of the Faculty. The President of the Community College shall chair Faculty meetings when the agenda contemplates matters pertaining to non-academic concerns and the overseeing of institutional issues. Any disagreement concerning who should be chairing a meeting shall be decided between the Co-Chairpersons either before or at a Faculty meeting. Should the Co-Chairpersons be unable to reach an understanding, the President of the Community College shall serve as the Chairperson for the issue in question.
 2. Regular Meetings. Regular meetings of the Faculty shall be held during the months of August, October, December, February and April in accordance with a schedule adopted each academic year during the August meeting. Both Co-Chairpersons or their designated agent(s) must be present for action to be taken at such meetings.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

3. **Special Meetings.** Special meetings may be called by either of the Co-Chairpersons or their designated agent(s) when deemed necessary, or in response to a petition signed by a majority of the members of the Faculty. A special meeting requested by petition must be held no later than two (2) calendar weeks after such a petition is received by both Co-Chairpersons or their designated agent(s).
 4. **Notice of Meetings.** Notice of the time and place of all membership meetings shall be prepared by the Secretary of the Faculty except for special meetings called by either of the Co-Chairpersons, notice of which will be provided as soon as practicable by either of the Co-Chairpersons, delivered to the members of the Faculty not less than ten (10) days before such meeting. The meeting agenda and minutes of the previous meeting, if available, shall be distributed to all members prior to the day of the meeting. In order for action to be taken on a new rule or policy or on modification of an existing rule or policy, notification of such pending action must be given in the official notice of the meeting at which the action is to be taken. Notice of special meetings shall state the purpose for which the meeting is called.
 5. **Agenda.** The Faculty Council prepares the agenda. (See Article V, paragraphs 4 and 8.) Items should be submitted in writing to the Faculty Council not less than ten (10) days prior to the meeting at which they will be discussed. Items may be submitted by committees, and by voting and non-voting members of the Faculty. Following Robert's Rules of Order, the agenda may be amended at the beginning of any meeting to permit the introduction of unanticipated voting items. A two-thirds (2/3) majority of those present is necessary to amend the agenda.
 6. **Conduct of Meetings.** Robert's Rules of Order Newly Revised shall govern the conduct of business in all cases to which they are applicable and in which they are not inconsistent with superior laws or regulations including, without limitation, the Rules of the Faculty, the Rules of the Senate of the Community College Branch, and the regulations of the respective Boards. A vote of a majority of the members of the Faculty present is needed to suspend the Rules of Order. With majority concurrence, meetings of the Faculty may be conducted in an informal manner, consistent with professional courtesy and fairness.
 7. **Voting.** All voting members of the Faculty shall be entitled to vote at the regular and special meetings of the members. Each such member shall be entitled to one (1) vote on any question brought before such meeting. The personal vote of a simple majority of the members who constitute a quorum for the measure voted upon shall decide any question brought before such meeting, except where a greater majority is required by law or by these Bylaws.
 8. **Quorum.** A simple majority of the voting membership of the Faculty, exclusive of members on leave shall constitute a quorum. The Faculty may not transact any
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business until a quorum has been secured, but may take any actions required to adjourn the meeting without further notice.

9. Proxy Voting. There shall be no voting by proxy.
10. Open Meetings. Meetings shall be held in accordance with applicable open meetings laws of the Commonwealth of Kentucky (KRS 61-810).
11. Non-voting Participation. Non-voting participation in meetings of the Faculty for the purpose of reports and other discussion shall be extended at open Faculty meetings to the members without vote described in Article III. In addition, with the permission of a Co-Chairperson, other members of the Community College community who are not members of the Faculty may speak at Faculty meetings.

ARTICLE V - FACULTY COUNCIL

1. Voting Members. The following individuals shall be voting members of the Faculty Council:
 - The President of the Community College;
 - The Dean of Academic Affairs;
 - The Faculty Co-Chairperson of the Faculty (FCF);
 - The Vice Chairperson of the Faculty;
 - The Secretary of the Faculty;
 - A Faculty Representative elected by the academic division of the Community College;
 - A Faculty Representative elected by the Professional Librarians, Learning Resource Directors, and other academic officers who have faculty rank and tenure or tenure track status at the Community College;
 - A Faculty Representative elected by full-time Professional Counselors, Dean of Student Affairs or other non-academic administrative officers who have faculty rank and tenure or tenure track status at the Community College;
 - The Chairpersons of each Faculty Standing Committee (optional); and
 - The Division Chairpersons (optional).
 2. Non-voting Members. The following individuals shall be ex officio non-voting members of the Faculty Council:
 - The Parliamentarian;
 - The President of the Student Government;
 - The Dean for Student Affairs (may have voting rights if elected in one of the groups above);
 - The Dean for Business Affairs;
 - The three (3) elected At-Large Community College Branch Senators; and
 - The Faculty Representative to the Community College Board of Directors.
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Non-voting, ex officio members of the Faculty Council who are voting members of the Faculty retain the right to vote at meetings of the full Faculty.

3. Chairing of Meetings. The Faculty Council shall have two (2) Co-Chairpersons who shall be the President of the Community College and the Faculty Co-Chairperson of the Faculty (the "FCF"). The FCF shall chair Faculty Council meetings when the agenda contemplates curricular or other academic matters, or issues arising from standing or ad hoc committees of the Faculty. The President of the Community College shall chair the meetings of the Faculty Council when the agenda contemplates matters pertaining to non-academic concerns and the overseeing of institutional issues. Any disagreement concerning who should be chairing a meeting shall be decided between the Co-Chairpersons either before or at the Faculty Council meeting. Should the Co-Chairpersons be unable to reach an understanding, the President of the Community College shall serve as the Chairperson for the issue in question.
4. Duties and Authority. The duties and authority of the Faculty Council shall include:

Receiving the reports of the standing committees of the Faculty;
Acting on all advisory decisions received from the standing committees;
Initiating studies as it sees fit and directing the appropriate committee to carry out these studies; and
Reporting all of its decisions and actions to the Faculty in a timely fashion.

The Faculty Council determines the agenda of all regular meetings of the Faculty. (See Article IV, paragraph 5) The Faculty Council shall receive communications requesting study, advice or action from the Faculty. All items so communicated to it shall be placed on the agenda of the next regular meeting of the Faculty. The Faculty Council shall give timely notice to each committee established by the Faculty that the committee's report is due to the Faculty Council. The Faculty Council calls the initial meeting of all Faculty standing committees, unless otherwise specified.

The Faculty Council is empowered to make decisions on behalf of the Faculty which are effective twenty (20) calendar days after they are reported to the Faculty. The decisions of the Faculty Council may be brought before the Faculty for reconsideration by one of the following:

- a. A majority vote of the Faculty; or
 - b. A majority vote by a standing committee or other duly constituted committee, that issued the report directly pertaining to the matter in issue.
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A simple majority of those present and voting at a Faculty meeting is required to override any action of the Faculty Council.

5. Regular Meetings. The Faculty Council shall hold regular meetings on a monthly basis or more frequently if necessary for the conduct of its business in accordance with a schedule adopted by the members of the Faculty Council.
 6. Special Meetings. Special meetings of the Faculty Council may be held on the written call of either of the Co-Chairpersons of the Faculty Council when deemed necessary or in response to a request by any three (3) voting members of the Faculty Council.
 7. Notice of Meetings. Notice of the time and place of regular meetings of the Faculty Council may be provided by resolution, and no further notice shall be necessary. Notice of the time and place of all special meetings shall be prepared by the Secretary and delivered to each member of the Faculty Council of the Faculty, at least three (3) days before such meeting. All notices of special meetings shall state the purpose of the meeting.
 8. Agenda. The agenda of the Faculty Council shall be prepared by the Secretary in consultation with the Co-Chairpersons. (See Article IV, paragraph 5)
 9. Conduct of Meetings. Robert's Rules of Order Newly Revised shall govern the conduct of business in all cases to which they are applicable and in which they are not inconsistent with superior regulations including, without limitation, the Rules of the Faculty, the Rules of the Senate of the Community College Branch, the policies and procedures of the Board. A majority vote of the voting members of the Faculty Council present is needed to suspend the Rules of Order. With majority concurrence, meetings of the Faculty Council may be conducted in an informal manner, consistent with professional courtesy and fairness.
 10. Voting. All voting members of the Faculty Council shall be entitled to vote at regular and special meetings of the Council. Each such member shall be entitled to one (1) vote on any question brought before such a meeting. The personal vote of a simple majority of the members who constitute a quorum for the measure voted upon shall decide any question brought before such meeting, except where a greater majority is required by law or these Bylaws.
 11. Quorum. Two-thirds (2/3) of the voting members of the Faculty Council shall constitute a quorum for the transaction of business. The Faculty Council may not transact any business until a quorum has been secured, but may take any actions required to adjourn the meeting.
 12. Proxy Voting. There shall be no voting by proxy.
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13. Open Meetings. Meetings shall be held in accordance with applicable open meetings laws of the Commonwealth of Kentucky (KRS 61.810).
14. Non-voting Participation. Non-voting participation in meetings of the Faculty Council for the purpose of reports and other discussion shall be extended at open Faculty Council meetings to all voting and non-voting members of the Faculty upon recognition by one (1) of the Co-Chairpersons.
15. Resignation. Any member of the Faculty Council may resign at any time effective upon giving written notice to one (1) of the Co-Chairpersons.
16. Vacancies. Vacancies occasioned in any elected or appointed position shall be filled in the same manner as the original election or appointment to the position. Replacements shall serve out the term of their predecessor and shall be eligible for re-election or re-appointment.
17. Informal Action by Faculty Council. Any action required to be taken at a meeting of the Faculty Council, or any action which may be taken at a meeting of the members of the Faculty, may be taken without such a meeting if a written consent, setting forth the action so taken, is signed by all of the voting members of the Faculty Council.

ARTICLE VI - OFFICERS

1. Officers. The officers of the Faculty shall be five (5) persons (the President of the Community College and the FCF, the Vice Chairperson, the Secretary, the Parliamentarian, and such other officers the members of the Faculty Council shall designate). With the exception of the President of the Community College, all officers must qualify as voting members of the Faculty.
 2. Election and Term of Office. Elected officers shall be elected by a majority of the voting members of the Faculty each April to serve a term commencing on August 1, and continuing through July 31 of the following year. No elected officer may serve more than two (2) consecutive terms in the same office. The vote shall be by secret ballot.
 3. President of the Community College. The President of the Community College serves as a Co-Chairperson of the Faculty, and shall designate the Dean of Academic Affairs to serve as Co-Chairperson in the absence or incapacity of the president of the community college. In addition, the duties of the president of the community college shall be as follows:
 - a. To co-chair meetings of the Faculty and of the Faculty Council when the agenda contemplates matters pertaining to non-academic concerns and the overseeing of institutional issues;
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- b. To determine the business of the Faculty, and in coordination with the Faculty Co-chairperson, set the agenda of Faculty Council meetings;
 - c. To be a member, ex officio, of all Faculty committees;
 - d. To appoint a Parliamentarian in consultation with the FCF; and
 - e. To meet all other responsibilities and obligations as are incident to the office.
4. FCF. The Faculty Co-Chairperson of the Faculty is elected by the voting members of the Faculty and is a member of the Faculty Council. The FCF serves as a Co-Chairperson of the Faculty. In addition, the duties of the FCF shall be as follows:
- a. To co-chair meetings of the Faculty and of the Faculty Council when the agenda contemplates curricular or other academic matters or issues arising from standing or ad hoc committees of the Faculty;
 - b. In coordination with the President of the Community College, set the agenda of Faculty Council meetings;
 - c. To be a member, ex officio, of all Faculty committees;
 - d. To appoint a Parliamentarian in consultation with the President of the Community College; and
 - e. To meet all other responsibilities and obligations as are incidental to the office.
5. Vice Chairperson. The Vice Chairperson is elected by the voting members of the Faculty and is a member of the Faculty Council. The Vice Chairperson shall serve as the agent of the FCF in the absence or incapacity of the FCF. In addition, the Vice Chairperson shall:
- a. Deliver the report of the Faculty Council at meetings of the Faculty; and
 - b. Meet all other responsibilities and obligations as may be delegated by the FCF or as are otherwise incident to the office of Vice Chairperson.
6. Secretary. The Secretary is elected by the voting members of the Faculty. The Secretary shall be responsible for the publication and distribution of the agenda, the minutes, and other materials as designated by either Co-Chairperson or by the Faculty Council. The Secretary is a member of the Faculty Council. The Secretary shall ensure that the minutes of all Faculty meetings and all meetings of the Faculty Council are taken and that such minutes are distributed or otherwise made available to all members of the Faculty within a reasonable period of time following each meeting. The FCF may appoint a Recording Secretary to assist the Secretary with the taking of minutes. In addition, the Secretary shall meet all other responsibilities and obligations as may be delegated by either Co-Chairperson or as are otherwise incident to the office of Secretary.
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7. **Parliamentarian.** The Co-Chairpersons of the Faculty shall annually appoint a voting member of the Faculty to advise the Faculty on procedure and to assist the Faculty in ruling on parliamentary questions. The Parliamentarian shall hold office for the academic year and will be an ex officio non-voting member of the Faculty Council.

ARTICLE VII - FACULTY SENATORS

1. **At-large Senators.** The Faculty shall elect three (3) Senators to the Senate of the Community College Branch from among those faculty members eligible to serve. One (1) of the At-large Senators will serve the Community College as its representative to the Community College Council of the Senate of the Community College Branch. At least one of the elected representatives shall be in the occupational program area and one in the general education area. One of the elected representatives shall be designated by the faculty of the community college at the time of the election as a member of the Community College Council. One of the elected representatives shall be designated by the Faculty of the Community College at the time of the election as a member of the Community College Branch Program Development Committee and one of the elected representatives shall be designated by the Faculty of the Community College at the time of the election as a member of the Community College Branch Rules Committee. The At-large Senators are non-voting members of the Faculty Council.
 2. **Additional Senators.** Additional Senators shall be elected as representatives for each twenty-five (25) or major fraction thereof (thirteen (13) or more) full-time faculty members above the first twenty-five (25).
 3. **Election Procedures.** Senators shall be elected at the April meeting of the Faculty pursuant to Article IX.
 4. **Term of Office.** The term of office for an elected Senator shall be two years, beginning August 2 after the election in April. A Senator shall be eligible for re-election, except that the Senator may not serve more than two consecutive terms. After serving two terms, an elected Senator, both At-large and Additional Senators, shall be ineligible for election or appointment to the Senate for a period of one year.
 5. **Vacancies.** A vacancy in an unexpired term among the elected Senators shall be filled by a special election of the Faculty in the same manner as provided in the original election. Service of one year or more in an unexpired term shall constitute a full term.
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ARTICLE VIII - BOARD OF DIRECTORS MEMBER

1. Number and Qualifications. There shall be one Board of Directors Member elected from among the voting members of the Faculty to represent the Community College. The Board Member shall serve as a non-voting member of the Faculty Council.

The Board member shall be on the teaching or research faculty of the community college. The faculty member shall be elected by secret ballot of all full-time faculty members of the Community College. (Kentucky Postsecondary Education Improvement Act of 1997)

2. Election Procedures. The Board Member shall be elected at the April meeting pursuant to Article IX.
3. Term of Office. The term of office for an elected Board member shall begin August 1 after the election in April. Faculty members shall serve for terms of three (3) years and until their successors are elected and qualified. Faculty members shall be eligible for reelection, but they shall be ineligible to continue to serve as members of the boards if they cease to be members of the teaching staff of the community college. Elections to fill vacancies shall be for the unexpired term in the same manner as provided for original election. (Kentucky Postsecondary Education Improvement Act of 1997)
4. Vacancy. A vacancy in an unexpired term of the Board Member shall be filled by a special election following the same procedures used for the original election.

ARTICLE IX - ELECTIONS

Elections are held at the April meeting of the Faculty. Nominations will be taken from the floor for all vacant positions which will be filled in the following order of priority:

- The Faculty Co-Chairperson of the Faculty;
 - The Vice Chairperson;
 - The Secretary;
 - The Chairperson of the Program Development Committee;
 - The Chairperson of the Rules Committee;
 - The Chairperson of the Ombuds Committee;
 - The At-large Senator representing the Community College to the Community College Council of the Community College Senate;
 - The At-large Senator representing the Community College to the Program Development Committee of the Community College Senate;
 - The At-large Senator representing the Community College to the Rules Committee of the Community College Senate;
 - The Additional Senators contemplated in Article VII paragraph 2 of these Bylaws;
 - The Board of Directors member;
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The Division Representatives to the Faculty (elected in a division meeting by members of Division only); and
The elected Faculty Representatives called for in Article V, Section I.

ARTICLE X - STANDING COMMITTEES OF THE FACULTY

In order to facilitate its work, the Faculty has at least three (3) standing committees established by these Bylaws. Each standing committee shall be chaired by a voting member of the Faculty elected pursuant to the process set forth in Article IX of these Bylaws. No academic division may have more than one (1) of its members serving as a chairperson of a standing committee at any one time.

1. The Program Development Committee. The Program Development Committee shall consist of the elected Committee Chairperson, the elected representative of each academic division of the Community College, an at-large faculty member with primary responsibility in the technical area, who shall be elected by the voting members of the Faculty; and an at-large faculty member with primary responsibility in the general education area, who shall be elected by the voting members of the Faculty. The term of office of all elected members shall be one year. The Dean of Academic Affairs shall be an ex officio member of the Program Development Committee, with voting privileges. In addition, the Co-Chairpersons of the Faculty and the At-large Senator representing the Community College to the Program Development Committee of the Community College Senate shall be ex officio members, without vote, of the Program Development Committee.

The Program Development Committee shall:

- a. Make recommendations to the Faculty concerning new courses, course changes, and the dropping of courses;
 - b. Make recommendations to the Faculty concerning new curricula, curricula changes, and the dropping of curricula;
 - c. Make recommendations to the Faculty upon request or upon its own initiative, concerning the needs of the instructional program of the Community College; and
 - d. Perform other responsibilities as delegated to it by the Faculty or Faculty Council.
2. The Rules Committee. The Rules Committee shall consist of its elected committee Chairperson and four (4) additional voting members, elected by the Faculty, serving staggered terms of two (2) years each. No division may elect more than one member to the Committee at a time. In addition, the Co-Chairpersons of the Faculty and the At-large Senator representing the Community College to the Rules Committee of the Community College Senate shall be ex officio members of the Rules Committee without vote.

The Rules Committee shall:

- a. Codify the Rules of the Faculty of the Community College;
 - b. Make recommendations to the Faculty, upon request or upon its own initiative, regarding modification of the Rules of the Faculty, the Rules of the Senate of the Community College Branch, or the policies and procedures of the Board;
 - c. Continually evaluate the Rules of the Faculty of the Community College to meet new conditions;
 - d. Assist in the process of developing the Community College faculty policies, procedures and governance documents; and
 - e. Perform other responsibilities as delegated to it by the Faculty or Faculty Council.
3. The Ombuds Committee: The Ombuds committee consists of its elected chairperson and four (4) additional members. Two (2) members shall be appointed by the President of the Community College and two (2) shall be elected by the Faculty. One of the appointed members of the Ombuds Committee need not be a member of the Faculty.

The Ombuds Committee shall:

- a. Act as an Ombud with respect to matters of faculty concern such as community tensions, ethics, and civility;
- b. Serve an investigative and an advisory role to the President of the Community College and the Faculty with regard to individual or group concerns and complaints not covered by existing policy and procedures at the System level.
- c. Refer all matters covered by System policies, including, without limitation, promotion, tenure and harassment issues, to an appropriate appeals body; and
- d. Perform other responsibilities as delegated to it by the President or Faculty.

ARTICLE XI - AD HOC COMMITTEES

Temporary or ad-hoc committees may be established by majority vote of the Faculty or of the Faculty Council. Such committees shall remain in existence for a specified term up to one (1) year from the date of their establishment. Continued existence of an ad-hoc committee for an additional time period must be specifically re-authorized in the same manner.

ARTICLE XII - ADDITIONS TO FACULTY BYLAWS

These Bylaws, upon their adoption, shall be the principal governance document of the Faculty of the Community College. Amendments or additions to this document may be made as set forth in Article XIII of these Bylaws so long as such amendments are not inconsistent with these Bylaws as adopted, with superior regulations including, without limitation, the Rules of the Senate of the Community College Branch, and the policies and procedures of the Board.

ARTICLE XIII - AMENDMENT AND RATIFICATION OF BYLAWS

Amendment. The Faculty may adopt amendments to these Bylaws by vote of a majority of all voting members of the Faculty. Any amendment to these Bylaws shall be submitted to the President of the Community College and the Chancellor for the Community College Branch for review before being made operational.

I, the duly appointed and acting Secretary of THE FACULTY OF _____
COMMUNITY COLLEGE hereby certify that the foregoing Bylaws constitute the Bylaws of the
Faculty as amended and restated at a meeting of the Faculty on _____.

IN WITNESS WHEREOF, I have subscribed my name on the ____ day of
_____, (year)_____.

Secretary

**1.4.3 Kentucky Community and Technical College System
Tenured Faculty in Staff Positions (Community College
Employees Hired on/or after January 14, 1998)***

On occasion, KCTCS may find that it is in the best interest of the organization to recruit tenured faculty members into administrative positions. In these instances, the tenured faculty member retains the right to return to a tenured faculty position, if such a position is available in the System at the time the faculty member leaves the administrative position. Tenure does not provide the right to remain in or be reassigned to an administrative position. With the approval of the appropriate Chancellor, a tenured faculty member recruited into an administrative position may also retain any salary, vacation accumulation, academic rank and other benefits which are particular to the faculty.

*Note: Community College Employees hired prior to January 14, 1998, see 2.15.2.2.

6-22-98		
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	6-22-98	(SIGNED)
_____ Recommended by	_____ Date	_____ President, KCTCS

1.5 Administrative Structure of the Kentucky Community and Technical College System (Operational)

1.5.3 Duties of Chancellors

1.5.3.1 Community College Chancellor

The Community College Chancellor reports to the KCTCS President and is responsible for the general administration of the academic, student affairs, and fiscal operations of the thirteen institutions in the Community College Branch, as well as workforce and community development. Under the direction of the President, and in concert with the Technical College Chancellor, the Vice Presidents and other members of the President's cabinet, the Chancellor has the responsibility to supervise and administer all phases of Community College operations. The Community College Chancellor is responsible for:

- ♦ The operation of the KCTCS Community Colleges
- ♦ Developing and managing the budget for the Community Colleges
- ♦ Supervising System Office
- ♦ Serving as an advocate for the Community Colleges with the legislature, Governor's office and other state and community agencies
- ♦ Providing leadership and guidance for the continued growth and effectiveness of the Community Colleges
- ♦ Establishing and maintaining close working relationships with other higher education institutions, business-industry and other organizations as appropriate.

1.5.3.2 Technical College Chancellor

The Technical College Chancellor reports to the KCTCS President and is responsible for the general administration of the academic, student affairs, and fiscal operations of the fifteen institutions in the Technical College Branch, as well as workforce and community development. Under the direction of the President, and in concert with the Community College Chancellor, the Vice Presidents and other members of the President's cabinet, the Chancellor has the responsibility to supervise and administer all phases of Technical College operations. The Technical College Chancellor is responsible for:

- ♦ The operation of the KCTCS Technical Colleges
 - ♦ Developing and managing the budget for the Technical Colleges
 - ♦ Supervising System Office
 - ♦ Serving as an advocate for the Technical Colleges with the legislature, Governor's office and other state and community agencies
 - ♦ Providing leadership and guidance for the continued growth and effectiveness of the Technical Colleges
 - ♦ Establishing and maintaining close working relationships with other higher education institutions, business/industry and other organizations as appropriate.
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1.5.4. Duties of the Kentucky Community and Technical College Vice Presidents

1.5.4.1 KCTCS Vice President — Primary Area of Responsibility: Institutional Advancement

The Vice President reports directly to the President of KCTCS. Primary areas of responsibility include advancement systems and services, development, alumni affairs, and legislative affairs. The Vice President serves as the Executive Director of the KCTCS Foundation, Inc.

1.5.4.2 KCTCS Vice President — Primary Area of Responsibility: Finance and Facilities Management

This Vice President is the principal fiscal and business officer of the System and reports directly to the President. Budgetary and accounting policies set forth by the Board of Regents, State Department of Finance and Administration, State Auditor's Office, and agencies of the Commonwealth are within the scope of this position. The Vice President also manages facility construction and maintenance activities in conjunction with the State Department of Finance and Administration.

1.5.4.3 KCTCS Vice President — Primary Area of Responsibility: Internal Affairs

This Vice President reports to the President of KCTCS. The Vice President is primarily responsible for the following administrative functions for KCTCS: Planning, Institutional Effectiveness, Marketing and Public Relations, Human Resources, Affirmative Action, and Faculty/Staff Development.

1.5.4.4 KCTCS Vice President — Primary Area of Responsibility: Information Technology

This Vice President reports directly to the President of KCTCS. Primary areas of responsibility include four administrative systems - human resource management, financial, student services, and development. These systems encompass academic computing, a statewide data/voice/video network, a library network/system, instructional technology, and distance learning.

1.5.5 The Community College Administration

1.5.5.1 Structure of Community Colleges

The basic organizational units of the Community College Branch are colleges and divisions. The individual community colleges are the major educational units of the Community Colleges. The

basic unit of the Community Colleges for instruction and college community service in related fields of learning is the division.

The divisional structure of each community college shall be developed by the college, approved by the President of the Kentucky Community and Technical College System, and reported to the Board of Regents.

Each of the community colleges is headed by a President, reporting to the Chancellor for the Community Colleges. Each of the community colleges has a Board of Directors which provides advice to the President of the Community College, the Chancellor for the Community Colleges, the President of the Kentucky Community and Technical College System, and the Kentucky Community and Technical College System Board of Regents. The counsel of the local Boards of Directors is sought primarily on matters of two-year occupational programs and local community educational needs. Specific functions of the Board of Directors from the Kentucky Postsecondary Education Improvement Act of 1997 include: recommending a candidate for the Community College President, evaluating the Community College President, approving budget requests, adopting and amending an annual operating budget, and approving and implementing a strategic plan. The faculty of each community college is administratively responsible to the president of the respective community college.

1.5.5.2 Faculty of the Community Colleges

Teaching and community service functions are paramount in the community colleges. High standards of competence and performance are expected in the Community Colleges. Faculty at the community colleges are expected to remain professionally current for their teaching and service tasks.

The faculty of a community college shall consist of the president of the community college, the dean of academic affairs, all full-time faculty members, full-time ranked professional librarians, full-time professional counselors, or other administrative officers who have faculty rank and tenure or tenure track status in the community college. The president of each community college shall serve as *Co-Chairperson* of the faculty. Within the limits established by policies and procedures, *Rules of the Faculty*, and the *Rules of the Community College Senate*, the faculty of each community college shall determine the educational policies of that college.

1.5.5.3 Divisional Faculties

The faculty of a division shall consist of a Chairperson and the members of the division who are members of the faculty of the community college. The divisional faculty has the responsibility, with the approval of the president of the applicable community college and the Chancellor for the Community Colleges, for the internal educational policies of the division, in so far as these policies do not conflict with those of other divisions, the Rules of the Faculty of the College, the Rules of the Senate of the Community College, or other Kentucky Community and Technical College System policies and procedures.

1.5.6 The Technical College Administration

(Policy development is in progress.)

1.5.7 Students in the Kentucky Community and Technical College System

The KCTCS colleges attract students with a wide range of backgrounds and abilities. Significant enrollment in KCTCS comes from both part-time and full-time students drawn from high school graduate and adult populations of the communities.

Student goals range from degree seeking to cultural, personal, or professional improvement. KCTCS attempts to meet the needs of a heterogeneous student body by giving particular attention to advising, guidance, and counseling programs.

KCTCS provides developmental/remedial courses for students who need assistance in the basic skills required to be successful in either baccalaureate or associate degree programs.

Many students have goals for educational achievement in programs focused on the development of technical skills and abilities needed in the workforce in the communities in which they live. Many of these goals can be met through enrollment in a technical/occupational, collegiate-based curricula in KCTCS.

Substantial numbers of students in KCTCS are enrolled in lower division courses leading toward a baccalaureate degree. These students' goals highlight the important transferability initiatives between colleges and universities.

Thousands of students are served annually through community service programs and non-credit seminars and workshops through KCTCS.

KCTCS values and continuously strives to maintain an environment that fosters student success.

1.5.8 Positions in the College Branches

1.5.8.1 Positions in the Community Colleges

1.5.8.1.1 Presidents of Community Colleges

The president of a community college is the chief administrative officer of the college. Under the general direction of the Chancellor for the Community Colleges, the president is charged with general responsibility for the overall administration of the college. It is the president's function to see that the policies and procedures of the Kentucky Community and Technical College System, and the Rules of the Senate of the Community College are enforced. The president is an ex officio member of all college committees. Along with the college faculty, the

president is responsible for the development and implementation of an instructional program commensurate with the purposes of a comprehensive community college. The president is responsible for the curricula of the college, for the quality of instruction given therein, for the assignment of duties to all persons, and for the service provided by the faculty of the college, individually and as a whole. The president shall review and finalize the performance evaluations recommended by the division chairpersons or other administrative personnel of the college.

The president shall be responsible, without delegation, for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the college or for ultimate action thereon when such authority has been delegated to the president by the Chancellor for the Community Colleges or by the President of the Kentucky Community and Technical College System

With regard to students, the president is charged with administering the requirements and procedures of the community college concerning the admission, probation, and dismissal of students.

The president shall be responsible for the preparation of the budget request for the college, for the business and financial operation of the college, either assumed or delegated, and for the maintenance and operation of the physical plant of the college.

It is the president's responsibility to relate the college program to the community through relationships with the Board of Directors, through appropriate use of public information media, and by appropriate relationships with community groups and individuals. The president shall endeavor to further constructive relations between the college and community.

1.5.8.1.2 Deans of Academic Affairs

The Dean of Academic Affairs is the chief academic officer of the community college. The specific responsibilities of the Dean of Academic Affairs are determined locally and described in writing in an official job description on file at the college and in the Community College Central Office. In all colleges, however, the Dean of Academic Affairs is responsible for the overall operation of the academic unit of the college and, in most instances, assumes the overall responsibilities of the college in the absence of the president. The Dean of Academic Affairs is an administrator who holds faculty status with academic rank and privilege. Working collaboratively with the president, deans, division chairpersons, and faculty, the Dean of Academic Affairs provides leadership in the planning, development, implementation, and evaluation of the instructional units of the community college. The Dean of Academic Affairs is a key collaborator in the college's strategic planning efforts.

The Dean of Academic Affairs reports to the president of the community college who evaluates the dean annually.

General Responsibilities:

Leadership:

- To provide leadership to the academic unit consistent with the mission of the college.
- To promote academic integrity and create an effective teaching and learning environment.
- To provide leadership in concert with Community College Academic Deans and the KCTCS Chancellor to enhance academic initiatives.
- To participate in professional organizations and professional development opportunities.

Communication:

- To maintain effective communication in the academic arena among all units of the local college, Community College Branch, Kentucky Community and Technical College System, other educational institutions, and the community at large.
- To maintain open communication channels with the leaders in the academic unit (e.g., convene regular meetings with division chairpersons and other academic personnel).

Faculty:

- To be responsible, with the faculty and division chairpersons, for the recruitment and retention of full-time, part-time, and volunteer faculty, as well as staff personnel supporting the instructional unit.
- To promote the professional development of faculty.
- To coordinate with the president and division chairpersons the development of the faculty Distribution of Effort Agreement forms.
- To work with the president, division chairperson, and academic leadership to facilitate the faculty promotion and tenure process.

Students:

- To facilitate effective academic processes and procedures that foster student success.

Instructional Programs:

- To be responsible for the development, implementation, and evaluation of academic programs.
 - To be responsible, with the division chairpersons, for the preparation and evaluation of the schedule of classes.
 - To facilitate and participate in the evaluation processes related to academic affairs program and personnel.
 - To ensure that institutional effectiveness efforts are implemented throughout the academic affairs unit.
 - To identify computer and information technology needed to enhance the academic affairs unit.
 - To provide leadership for academic support and academic services as defined by the individual college (support and services may include library, off-campus, extended campus, learning resource centers, development programs, and community education/community service).
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Budget:

- To formulate and implement an annual budget related to the goals and operational needs of the academic affairs unit.
- To provide leadership in the development of grant proposals.

Administrative:

- To provide leadership in strategic academic planning and to prepare institutional reports as requested by internal and external sources.
- To ensure compliance with Kentucky Community and Technical College System, Community College Branch, and local college policies and procedures.
- To provide leadership in accountability and institutional effectiveness.
- To assume other duties and responsibilities as assigned by the president.

Qualifications:

- Commitment to the mission of the comprehensive community college.
- Earned doctoral degree from an accredited institution.
- Record of successful experience as an instructor and administrator.
- Experience which demonstrates knowledge and ability to provide visionary leadership.
- Experience or background in curriculum revision and program development.
- Personal and professional integrity.
- Demonstrated ability to work collaboratively with others.
- Commitment to team leadership and ability to work effectively as a member of the leadership team.
- Excellent interpersonal and communication skills.

1.5.8.1.3 Deans of Student Affairs

Under the general direction of the President, the Dean of Student Affairs is the chief administrative officer for the personal and co-curricular development of all students. The specific job responsibilities of the Dean of Student Affairs are determined locally and described in writing in an official job description on file at the community college and in the Community College Central Office. As the chief student affairs officer, the Dean of Student Affairs provides knowledgeable and effective leadership to their campus, staff, and students; and works with other members of the college to provide a campus environment that promotes academic achievement, retention, and personal and social growth and development for a diverse and dynamic student population. The Dean of Student Affairs is viewed as a major participant, along with the Academic and Business Dean, in the decision and information processes of the college. The Dean of Student Affairs is a key collaborator in the college's strategic planning efforts.

The Dean of Student Affairs reports to the President of the Community College who evaluates the Dean annually.

General Responsibilities:

Leadership:

- To provide on-campus leadership in concert with other members of the college's administrative team.
- To provide input in the formulation and interpretation of federal, state, and system policies affecting student affairs.
- To provide leadership in concert with Deans of Student Affairs and the KCTCS Office of Student Affairs to enhance student affairs system-wide.
- To facilitate adherence to all policies and procedures under the locus of student affairs.
- To provide leadership in the community (e.g., civic affairs).
- To provide strong leadership for students and student related issues.
- To participate in professional organizations and professional development opportunities.
- To promote academic integrity and create an effective learning environment.

Student Services Staff:

- To provide primary supervision and direction for: financial aid, student recruitment, and orientation, admissions and records, registration, academic and career advising and counseling, student activities and organizations, multi-cultural affairs, and other duties as assigned by the president.
- To promote the professional development of student services personnel.
- To provide guidance to student services tenure track faculty through the development of the Distribution of Effort agreement, and the promotion and tenure process as delineated in the specific criteria for faculty.
- To provide a systematic and constructive process of performance review for all student services personnel.

Program Planning, Implementation, and Evaluation:

- To assess the internal campus and external environment and develop compatible and dynamic programs, services, and activities to meet college and unit goals.
- To implement goals and initiatives by involving appropriate staff members in all phases of the planning process.
- To conduct an ongoing evaluation of all student affairs programs and services to ensure their effectiveness.

Budget and Fiscal Management:

- To match campus resources and the goals and operational needs of student affairs in an environment of fiscal constraints.
- To be an advocate for funding to support student affairs.

Technological Changes in Student Affairs Administration:

- To identify computer and information technology needed to enhance the delivery of student services.
-

Accountability:

- To apply outcome assessment techniques to monitor the effectiveness of student services provided.

Qualifications:

- Demonstrated commitment to the mission of the comprehensive community college and personalized student services.
- Commitment to institutional advancement and effectiveness strategies.
- Commitment to and ability to implement strategic planning and management (e.g., enrollment, recruitment, and retention).
- Appropriate experience in student affairs.
- Earned masters degree from an accredited institution in higher education, student personnel services, or related area.
- Knowledge and ability to provide visionary leadership.
- Personal and professional integrity.
- Demonstrated ability to develop effective campus and community relationships.
- Program planning and evaluation skills.
- Understanding of legal constraints on practice in student affairs.
- Experience and background in developing programs to support learning in and out of class.
- Effective conflict management skills.
- Commitment to student conduct, advocacy and enforcement.
- Commitment to team leadership.
- Excellent interpersonal and communication skills.

Preference may be given to candidates who demonstrate:

- Five (5) years or more experience in student affairs.
- Completion of an accredited doctoral program in Higher Education, Student Personnel Services, or related area.

1.5.8.1.4 Deans of Business Affairs

The Dean of Business Affairs is the chief financial officer for budget, accounting, human resources, auxiliary services, facilities/equipment/transportation management, communication infrastructure (i.e., switchboard, ITV, network/computing), mail, access security officer, and safety and security of the community college. The specific responsibilities of the Dean of Business Affairs are determined locally and described in writing in an official job description on file at the college and in the System Office. This position reports directly to the president of the college. As chief financial officer, the Dean of Business Affairs advises faculty and staff on appropriate Kentucky Community and Technical College System business procedures, personnel policies, and insures compliance with affirmative action policies. The Dean of Business Affairs' responsibility for safety and security is to insure and promote a safe and secure environment for the campus community by implementing safety mandates in facilities management. The Dean of Business Affairs is a major participant, along with the President, Academic Dean, and Student Affairs Dean, in strategic planning, decision and information processes of the college.

The Dean of Business Affairs reports to the President of the community college who evaluates the Dean annually.

General Responsibilities:

Leadership:

- To provide on-campus leadership in concert with other members of the college's administrative team.
- To provide leadership in concert with other Community College Business Deans and the KCTCS Vice Presidents primarily responsible for Finance/Facilities Management and Internal Affairs to enhance business affairs system-wide.
- To provide leadership in the community (e.g., civic affairs).
- To participate in college strategic planning.
- To promote honesty and integrity in business functions.
- To support decisions made by the college's administrative and management teams.

Communication:

- To maintain effective communication in the business affairs arena among all units of the local college, Community College Branch, and Kentucky Community and Technical College System.
- To maintain effective communication with students on fees collections, financial aid disbursement policies and procedures, and other information which affects services to students and fosters student success.

Budget/Accounting:

- To coordinate the local college's annual budget requests to the Community College Branch and data entry into the appropriate HRS/FRS system.
- To promote the efficient use of college resources and cost effectiveness within the college.
- To reconcile operating budgets, accounts payables and receivables.
- To provide custody, accountability, receipt and disbursement of restricted and unrestricted funds.

Human Resources:

- To supervise the Human Resource unit to insure compliance with staff personnel policies and affirmative action policies.
- To implement staff training to foster success in their duties and responsibilities.

Facilities:

- To supervise maintenance and operations of college facilities and physical plant.
- To insure and promote a safe and secure environment for the campus community by implementing safety mandates and compliance with state and federal regulations.

Auxiliary Services:

- To supervise and identify auxiliary services to address student and faculty/staff needs.
-

Safety and Security:

- To identify and correct safety hazards and obstacles in facilities and physical plant.
- To implement safety mandates and insure compliance.
- To serve on college Safety Committee.

Administration:

- To ensure adherence to Kentucky Community and Technical College System business procedures and stewardship of college resources.
- To ensure compliance with Personnel Policies and Affirmative Action mandates in hiring and termination practices.
- To ensure compliance with Kentucky Community and Technical College System policies and procedures.
- To provide guidance to Business Affairs staff and foster their success in the execution of their duties and responsibilities.
- To implement goals and initiatives in all units under their immediate supervision.
- To identify computer and information technology needed to enhance the delivery of business services.

Qualifications:

- Commitment to the mission of a comprehensive community college and to personalized business services.
- Earned Bachelors Degree from an accredited institution in Business Administration or Accounting.
- Minimum of four (4) years related experience.
- Knowledge and ability to provide visionary leadership.
- Demonstrated ability to work collaboratively with others and demonstrate team spirit.
- Excellent interpersonal and communication skills.
- Program planning and evaluation skills.
- Understanding of legal constraints in practice in business affairs.
- Effective conflict management skills.
- Ability to handle campus issues.
- Personal and professional integrity.

1.5.8.1.5 Director of Library Services

Under the general direction of the Dean of Academic Affairs, the Director of Library Services is responsible for the management of library and information services. The Director of Library Services provides leadership to the campus and community and promotes an environment for academic achievement. The Director guides the planning, development, implementation, and assessment of library and information services. The Director of Library Services, along with the Dean of Academic Affairs, Division Chairpersons, program/area coordinators, and faculty, is a major participant in the college's strategic planning efforts.

The Director of Library Services reports to the President or the Dean of Academic Affairs, who evaluates the Director.

Professional librarians will hold faculty rank and tenure eligibility.

General Responsibilities:

Leadership:

- To direct the organization and management of library and information services, and library personnel.
- To promote use of current technologies for information access.
- To provide leadership in concert with Community College Library Directors and Vice President primarily responsible for Information Technology to enhance library and information services systemwide.
- To participate in professional organizations and professional development opportunities.

Library Planning, Implementation and Evaluation:

- To assess the information needs of the college, relating to academics.
- To implement a plan to provide quality information and information services.
- To assess library services with respect to accreditation standards.
- To collaborate with teaching faculty to develop library and information services to meet curriculum needs.

Standards and Ethics:

- To comply with professional standards and ethics that are in accordance with state regulatory statutes and/or American Library Association (ALA) standards.

Qualifications:

- Master's or Doctoral Degree in Library and Information Science from an American Library Association accredited program.
- Five (5) years experience in an academic library or closely related field.

1.5.8.1.6 Division Chairperson

The division chairperson serves as chairperson of the division faculty in the development, by the division, of policies in regard to such matters as the implementation and revision of programs and courses. The division chairperson assists the president, or the president's designee, in the preparation of the class and teaching schedules for the division. The division chairperson presides over all division meetings, except as the division chairperson may delegate this function, and is an ex officio member of all division committees. The division chairperson has administrative responsibility for implementing the division's program within the limits established by the policies and procedures of the Kentucky Community and Technical College System and the Community College Branch, the policies of the Community College Senate, and the rules and procedures of the community college.

The division chairperson shall be responsible for advising the President of the Community College on the appointment of new members of the division, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments and the granting of tenure, after consultation with the tenured faculty of the division.

The division chairperson shall be responsible for the periodic evaluation of members of their division by procedures and criteria established by the Kentucky Community and Technical College System, the Community College Branch, the community college itself, and its divisional faculties. The division chairperson shall make recommendations to the president, who shall make final decisions about such evaluations.

The division chairperson shall be responsible for preparing for the president, or the president's designee, the budget request for the division. The division chairperson also is responsible for advising the president, or the president's designee, as to salaries and salary changes for members of the division.

In connection with the division chairperson's major administrative functions, the chairperson shall seek the advice of members of the division, individually or as groups, or of advisory committees that the chairperson may appoint.

The division chairperson speaks for the division. In the event that the chairperson feels it necessary to depart from the opinion of the division faculty, the chairperson must communicate the divisional faculty's opinion as well as the chairperson's recommendation or advice, stating reasons for differing from the divisional faculty opinion, and notify the divisional faculty of such action.

1.5.8.1.7 Program/Area Coordinator

The Program/Area Coordinator is the coordinating representative of a specific technical program (Program Coordinator) or a specific discipline area (Area Coordinator). The specific responsibilities of the Program/Area Coordinator are determined locally and described in writing in an official job description on file at the college and in the System Office. In all colleges, however, the Program/Area coordinator is responsible for the day-to-day operations of the program/area and collaboratively with the faculty, Division Chairperson, and the Deans. The Program/Area Coordinator assists in the planning and effectiveness evaluation, development, and implementation of goals for the specific program/area. The Program/Area Coordinator is a key individual in the program/area institutional effectiveness process.

The Program/Area Coordinator works collaboratively with the Division Chairperson and Program/Area faculty with reporting channels to the Dean of Academic Affairs. The Program/Area Coordinator is evaluated during the regular college performance review period.

General Responsibilities:

Leadership:

- To provide leadership in the program/area consistent with the mission of the college.
- To promote an effective teaching and learning environment.
- To promote the use of academic support and academic services fostering student success within the program/area.
- To maintain an active Program Advisory Committee (technical programs only).

Communication:

- To encourage effective communication within the program/area, division, and college.

Faculty:

- To be responsible, with the faculty and Division Chairperson, for the recruitment and retention of qualified full-time, part-time and volunteer (when appropriate) faculty, as well as staff (when appropriate) within the program/area.

Students:

- To encourage academic processes and procedures that foster student success within the program/area.
- To participate in the student evaluation of instruction within the academic program/area.

Instruction:

- To be responsible, with the faculty, Division Chairperson, and Dean of Academic Affairs, for the overall maintenance and enhancement of a quality academic program/area.
- To be responsible, with the faculty, for curriculum development, implementation of goals, and evaluation of the academic program/area.
- To be responsible, with the Division Chairperson, for the preparation of the schedule of classes.
- To actively use evaluation reports for the ongoing program effectiveness review and enhancement.

Budget:

- To be responsible, with the Division Chairperson, for ensuring that budget request and expenditures are related to the goals and operational needs of the program/area.

Management:

- To be responsible, with the Division Chairperson, for the preparation of institutional reports as requested by internal and external sources.
 - To promote compliance with the local college and the Community College Branch policies and procedures.
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- To assume other duties and responsibilities as assigned by the President and Dean of Academic Affairs.
- To maintain program data and complete program reviews.

Qualifications:

- Commitment to the mission of the comprehensive community college
- Full-time faculty member
- Record of successful experience as an instructor
- Personal and professional integrity
- Commitment to team leadership
- Effective interpersonal and communication skills

1.5.8.1.8 Campus Coordinator

The Campus Coordinator is the coordinating representative of an extended campus site designated by the community college. The specific responsibilities of the Campus Coordinator are determined locally and described in writing in an official job description on file at the college and in the System Office. In all colleges, however, the Campus Coordinator is responsible for the day-to-day operations and management of the designated extended campus site. The Campus Coordinator is a college faculty member or college professional staff personnel. Working collaboratively with college faculty, staff, and administrators; the Campus Coordinator assists in the planning, development, and implementation of extended campus college programming and activities. The Campus Coordinator is a key individual in the extended campus institutional effectiveness process.

The Campus Coordinator works collaboratively with the college faculty and staff with reporting channels to the Dean of Academic Affairs. The Campus Coordinator is evaluated during the regular college performance review period.

General Responsibilities:

Leadership:

- To provide leadership at the extended campus consistent with the mission of the college.
- To promote an effective teaching and learning environment.
- To promote a campus environment that fosters student success.
- To promote involvement of full-time faculty in extended campus development, implementation, and effectiveness.

Management:

- To be responsible, with faculty, staff, and administrators, for the overall maintenance and enhancement of a quality extended campus.
 - To promote compliance with the local college and the Community College Branch policies and procedures.
 - To be responsible, with faculty, staff, and administrators, for academic affairs (e.g., scheduling of classes) and student affairs (e.g., registration) processes.
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- To be responsible for the preparation of institutional reports as requested.
- To assume other duties and responsibilities as assigned by the President and Dean of Academic Affairs.

Communication:

- To provide effective communication between the extended campus college community and the main campus college community.
- To promote effective communication between the extended campus faculty and the main campus faculty.

Budget:

- To be responsible for ensuring that budget requests and expenditures are related to the goals and operational needs of the extended campus.

Qualifications:

- Commitment to the mission of the comprehensive community college.
- Record of successful leadership experience.
- Personal and professional integrity.
- Commitment to team leadership.
- Effective interpersonal and communication skills.
- Master's degree or equivalent work experience (demonstrated work experience in a position with responsibility for collaborative communications and activity development).

1.5.8.2 Positions in the Technical Colleges

(Policy development is in progress.)

1.5.9 Search for, Review and Evaluation of Administrative Officers

1.5.9.1 Search for, Review and Evaluation of Administrative Officers–Community Colleges

1.5.9.1.1 Procedure for Search Committees for Chief Administrative Officers of Educational Units–Community Colleges

A search committee charged with making recommendations on the appointment of the chief administrative officer (president of a community college, deans, division chairperson) of an educational unit shall operate under the following minimum guidelines.

1. The number and types of members of a search committee shall be established by the appointing administrative officer after consultation with groups and or individuals as specified in the procedures.
2. A search committee shall have at least one (1) student member.
3. A search committee shall, as a minimum, provide the faculty members of the college with a reasonable opportunity for each of the following:
 - a. To recommend possible candidates for the position;
 - b. To meet with any seriously considered candidate who is interviewed by the committee on campus; and
 - c. To express their opinions to the committee about the candidates whom they have met (such expressions are to reflect the opinion of concerned individuals and should be made known to the committee within a relatively short time).
4. A search committee is expected to maintain confidentiality with respect to its work and considerations. The committee also shall honor the request of any person to have one's candidacy remain confidential except to those involved in the selection process, until such time the person becomes a seriously considered candidate.
5. It is the affirmative action policy of the Kentucky Community and Technical College System that no candidate for a position shall be accorded preferential treatment or be discriminated against on the basis of characteristics which are not pertinent to the performance of the duties of the position.
6. It is the role and responsibility of the search committee to make recommendations on candidates with supporting rationale to the administrative officer who appointed the committee. (For presidential appointments, see Section 1.5.5.1)

**1.5.9.1.2 Review of the Chief Administrative
Officers of Educational Units–
Community Colleges**

The primary purpose of evaluation of Community College Presidents, Deans, and Division Chairpersons is to enhance academic administrative leadership and effectiveness. Other purposes of review are to promote a climate of cooperation among faculty and administration and to maximize the effectiveness of the unit's execution of its responsibilities for all areas of scholarship, including, instruction, and public service and in the case of Community College presidents, academic, business and community affairs.

Two distinct types of performance assessment are delineated: an annual review and a summative evaluation. The major function of the annual review is to enable the supervising officer to evaluate the college head's performance and to find ways to improve that performance. The summative evaluation shall take into consideration the performance criteria delineated in Section 1.5.9.1.5 and the extent to which progress has been made across the annual reviews. Summative evaluations of administrative officers of colleges shall be conducted in the context of the periodic review or evaluation of colleges themselves. Although the evaluation of college leaders shall be coordinated with that of the colleges themselves, it is a separate and distinct process. The summative evaluation of the college leader ordinarily would be done by the review team charged with the periodic review of the *college*, since the team would be gathering much of the information needed for evaluation of the administrator.

Coordination of both periodic reviews of colleges and of college leaders, with other reviews required for accreditation, the Council on Postsecondary Education, or other mandates is of high priority. A goal is to minimize the number and intrusiveness of reviews being carried out while providing the information needed for review and evaluation purposes.

The administrative supervisor of the college being assessed is responsible for executing the reviews and evaluations. The purpose of the recommended policies described below is twofold: 1) to delineate clearly the most significant responsibilities of the college heads; and 2) to specify components of the reviews and evaluations of administrative and academic leadership. Faculty and staff input into both types of reviews is sought to give the insights of those most directly affected by the college leader's roles.

1.5.9.1.3 Annual Reviews and Summative Evaluation of Administrative Officers of Educational Units– Community Colleges

At least once every year, each college officer shall have a formal interview focusing explicitly on the systematic review and assessment of the college officer's job performance. This discussion shall include the educational unit head's accomplishments, areas for leadership and administrative improvement, and plans for helping the unit realize its goals. It shall include a discussion based on the unit's annual report on goals and accomplishments of the past year and plans for the next year. Every year, faculty and staff shall be given the opportunity to provide written comments on their the college officer's strengths and areas for improvement prior to the performance review interview. The format and invitation for this feedback shall come from, and the comments be returned to, the college officer's administrative supervisor. A written summary of the comments received shall be provided to the college officer being reviewed.

The first annual review shall be conducted no later than the end of the first year of a new appointment of the officer of a college. Its major purpose shall be to provide the college leader with constructive feedback on performance to aid in improving the leadership and administration of the college. The performance criteria shall be those delineated below and any implied by the procedures. Additional annual reviews shall be conducted every year, until the year prior to the last year of a term appointment.

Reviews shall be scheduled and conducted by the administrative supervisor of the college leader being reviewed and shall include a summary interview dedicated solely to the review process and its results.

1.5.9.1.4 Summative Evaluations– Community Colleges

The summative evaluation of the college officer shall be conducted in coordination with the review of the college. When possible, the review team appointed to conduct the periodic unit review shall also conduct a separate review of the unit head. In those cases when an external review team is appointed the external review team may provide insight about the unit head whenever practical. Summative evaluations shall occur no less frequently than every three years for Chairpersons. Community College Presidents and deans shall be evaluated periodically, but not less frequently than every five (5) years. The evaluation shall be structured to include input from faculty and staff. These evaluations shall include written assessment from faculty members of the unit. All faculty will be invited to contribute written reviews. All written evaluations shall be coordinated by, and reported to, the administrative supervisor of the college leader being reviewed.

Other appropriate administrators and representatives from constituencies outside the college (e.g., Vice Presidents; other deans, either within the institution or external to it) whose work involves substantial interactions with college(s) may be invited to contribute to the evaluations.

A written summary of the evaluations shall be provided to the college administrator being reviewed, carefully avoiding any personal comments which could be attributed to any single reviewer. Those assessing college leader performance shall include both those areas in which leaders have shown strengths and those areas in which performance could be improved. The invitation for this feedback shall come from, and the written comments be returned to, the college leader's supervisor. A brief executive written summary of comments received shall be provided by the supervisor of the college to the leader being reviewed. The framework of the evaluation shall be that provided by the responsibilities listed in Section 1.5.9.1.5, as well as any additional ones implied in the procedures. The evaluation need not be conducted if reappointment for a subsequent term is not under consideration.

1.5.9.1.5 Performance Criteria–Community Colleges

Major responsibilities of Community College Presidents/deans/chairpersons are stated in Section 1.5.8. Listed below is a further elaboration of the performance expectations and responsibilities of heads of colleges intended to assist them in meeting the expectations of the System in the leadership and administration of the college. The college's administrative leader:

1. Develops and maintains effective academic and administrative leadership for the college and supports its continual improvement. With due process, replaces leadership in the college promptly in the event of inadequate performance.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

2. Leads the development of outcome measures by which the colleges' progress is evaluated.
 3. Leads the development and implementation of written procedures for the conduct of the academic and administrative affairs of the college.
 4. Implements the operating procedures of the unit in accordance with the KCTCS policies and procedures, rules of the appropriate academic senate, rules of the college, and other applicable regulations. Ensures current documentation of the college's policies and procedures is on file in the appropriate System office as required by the System procedures.
 5. Provides strong leadership for the college in developing a shared vision and creating, refining, and implementing the college's Strategic Plan. This includes, but is not limited to, periodic review and revision of the college's goals, objectives, and priorities as well as assessment of the effectiveness and accountability for resource utilization in the college.
 6. Continually evaluates and facilitates, where appropriate, interaction of teaching, scholarship, and service programs with other colleges, in order to build on the existing strengths of the System. This includes interaction with programs across the branches of the Kentucky Community and Technical College System.
 7. Ensures evaluations of all faculty/staff in the college are carried out fairly and equitably, without explicit or implicit consideration of non-professional or personal factors in full accordance with published college and System Rules, Policies and Procedures.
 8. Seeks diligently to obtain resources outside the Kentucky Community and Technical College System and encourages college faculty and staff to seek resources to aid the development of college program(s) in accordance with the Strategic Plan.
 9. Sees that the college's resource distribution is in full accordance with that implied by the Strategic Plan.
 10. Assists faculty in acquiring the resources necessary to maximize their potential and effectiveness.
 11. Ensures procedures are followed that facilitate the success of the recruitment and retention of a diverse faculty, staff, and student body, including both women and minorities.
 12. Ensures high quality and diverse candidate pools for all faculty and staff appointments.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

13. Facilitates active, supportive relationships between newly appointed and experienced professionals.
 14. Ensures the faculty has adequate opportunities to participate in the development of academic policy, academic programs, and other appropriate activities of the college.
 15. Solicits and uses advice and counsel from faculty in the accomplishment of her/his duties.
 16. Operates the programs of the college and allocates its resources through collegial management procedures which properly respect minority opinions and findings as well as those of the majority.
 17. Explicates, both orally and in writing, the responsibilities each faculty/staff member accepts in becoming a member of the college.
 18. Articulates those outcomes by which the faculty/staff member's success is measured and offers advice and guidance to aid all college members in improving their performances.
 19. Communicates information promptly and effectively to all members of the college who are affected by the information.
 20. Encourages college member initiatives and supports college members at all levels of the Kentucky Community and Technical College System fairly and objectively.
 21. Supports effective faculty and staff development.
 22. Establishes effective methods of student recruitment including vigorous efforts to recruit a diverse pool of students to the college.
 23. Operates an effective college committee structure and delegates authority to committees and individuals.
 24. Maintains a complete and up-to-date personnel file for each member of the college that contains the items listed in Kentucky Community and Technical College System procedures; informs the faculty/staff member regularly of the need to update items in the personnel file (applicable only if file is maintained by administrative head).
 25. Assures equitable assignments in individual workloads.
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- 26. Conducts oral and written annual reviews of progress of non-tenured faculty members and all staff and biennial reviews of tenured faculty members in accordance with published college and System rules, policies and procedures.
- 27. Develops and maintains good faculty, staff, and student morale and promotes a collegial working environment within the unit.
- 28. Represents the unit effectively at appropriate administrative levels of the Kentucky Community and Technical College System and, as appropriate, to external constituencies.
- 29. Adheres to the highest standards of professional ethics, in particular with respect to student relationships and matters which concern the professional lives of all faculty and staff members.

**1.5.9.2 Search for, Review and Evaluation of
Administrative Officers–Technical Colleges**

(Policy development is in progress.)

4-30-99	7-1-00; 9-18-00; 12-11-00	7-1-00; 9-18-00; 12-11-00	
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	12-11-00	(SIGNED)	12-11-00
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

1.8.2 Systemwide Committees

1.8.2.1 Promotion Review Committees

1.8.2.1.1 Advisory Committee on Appointment, Promotion, and Tenure

The Community College Advisory Committee on Appointment, Promotion, and Tenure is established for the purpose of providing the Kentucky Community and Technical College System President and the Chancellor for the Community Colleges with a systematic and broad base of advisement from both faculty and administration on matters of appointment, promotion, and tenure. The prime responsibility of the Committee is to advise the Kentucky Community and Technical College System President and the Chancellor for the Community Colleges concerning the appointment and promotion of faculty to the ranks of Associate Professor and Professor in the Community Colleges and the granting of tenure. The Committee consists of seven (7) tenured faculty members appointed by the President from a list of candidates provided by the community colleges.

1.8.2.1.2 System Peer Review Committee

In the technical college promotion process, the Technical College System Peer Review Committee (SPR) shall consist of seven members (five regular members and two alternates). Each technical college shall nominate two Senators for this committee, submitting the names to the Executive Council of the Technical College Senate, which makes a committee recommendation to the Chancellor. The KCTCS President shall appoint the committee and the committee chair after consultation with the Technical College Executive Council. Four members of the SPR shall serve two-year terms and three shall be appointed for a one-year term in the first cycle. Thereafter, all members will serve two-year staggered terms. A vacancy for an un-expired term shall be filled in the same manner.

1.8.2.2 Residency Review Committee – All KCTCS Colleges

A Residency Review Committee shall be established at each college in the Kentucky Community and Technical College System in accordance with the Council on Postsecondary Education's Residency Policy and 13 KAR 2:045. The Residency Review Committee at each institution shall consider appeals of residency determination by the residency appeals officer. The Residency Review Committee at each KCTCS institution shall be appointed by and report to the president of the institution. The Committee shall be comprised of six (6) faculty and/or staff members and two (2) students. The Chairperson shall be designated by the president. The faculty and/or staff members normally shall have staggered three (3)-year appointments; the student members shall have one (1)-year appointments. Each Residency Review Committee shall have

authority to adopt bylaws, establish procedural rules, and schedule meetings. A quorum shall consist of five (5) members and a majority of the quorum shall be necessary for Committee action. At each institution the residency appeals officer shall provide professional and secretarial support for the Residency Review Committee, including, but not limited to, recording and preserving the minutes of Committee meetings, processing applications on appeal, and presenting applications at Committee meetings. The Kentucky Community and Technical College System Legal Counsel shall advise each Residency Review Committee on legal matters, including but not limited to interpretation of Council guidelines; procedural questions; and applicable laws, cases, and procedures. The Residency Review Committee at each institution shall submit an annual report to the president of the college.

Application for change of residency classification by a student enrolled in a KCTCS college shall be made in writing to the institution's residency appeals officer for initial consideration. The decision of the residency appeals officer, if adverse to the applicant, may be appealed within fourteen (14) days of notification to the institution's Residency Review Committee.

The Residency Review Committee shall make a determination of student residency status and notify the student within forty-five (45) days after receipt of the student appeal.

If the applicant considers the decision by the Committee to be unsatisfactory, the applicant may request a formal hearing in writing to the Chancellor within fourteen (14) calendar days after notification.

The Chancellor has been authorized by KCTCS to appoint a hearing officer within ten (10) days of receipt of the written request for a formal hearing. Formal hearing procedures shall be followed as established in Board of Regent's Policy 6.3 *Kentucky Community and Technical College System (KCTCS) Formal Hearing Procedures for the Determination of Residency Status Pursuant to 13 KAR 2:2045, Section 17.*

1.8.2.3 KCTCS Committees

1.8.2.3.1 KCTCS Distance Learning Committee

The responsibility of the System Distance Learning Committee is to advise the President of the Kentucky Community and Technical College System and staff of the President of the Kentucky Community and Technical College System on issues relating to compressed video and on-line delivery. The Committee is charged with the responsibility for making a decision on requests, as appropriate, for individual credit courses and new degree programs for extended-campus delivery, together with their proposed schedule. The Committee is further charged with making recommendations for distance learning policies and procedures.

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An Advisory Panel of users and potential users of the system will meet at least once annually with the standing committee to provide advice on issues that emerge or that are potential concerns.

4-30-99
Date Approved by
President, KCTCS

11-13-02
Date(s) of Last Review

11-13-02
Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

11-13-02

(SIGNED)

11-13-02

Recommended by Date

President, KCTCS

Date

1.8.2.3.2 KCTCS Human Subjects Research Policy

1.8.2.3.2.1 Human Subjects Review Board

The KCTCS Human Subjects Review Board (HSRB) has institutional responsibility for:

1. Assurance of protection of human subjects involved in research or related activities;
2. Assurance that KCTCS fulfills its contractual and federally mandated obligations relative to protection of human subjects, if applicable; and
3. Maintenance of policies and procedures for protection of human subjects which are, at a minimum, in accord with applicable regulations of funding and regulatory agencies.

The KCTCS HSRB is appointed annually by the KCTCS President after consultation with the KCTCS Cabinet. The membership composition of the Board is kept consistent with federal regulations. Chairpersons, ex officio members, and community members of the Board are designated by the President. HSRB members with other than ex-officio status normally shall have staggered three-year appointments. The HSRB reports to the President through the Office of Internal Affairs. The Vice President responsible for Internal Affairs serves as the designated institutional officer on the HSRB. Internal Affairs is responsible for managing individual protocol reviews; assisting in policy development, agency liaison, federal record keeping and reporting; handling allegation of noncompliance; and assisting the institution in responding to new federal initiatives affecting ethical conduct of research.

Any undertaking in which a KCTCS faculty member, staff member, or student investigates and/or collects data on human subjects for research or related activities may be construed as "involving human subjects". It is the responsibility of each investigator to seek review by the KCTCS HSRB of any proposed study involving human subjects prior to initiation of the project. Also, it is the responsibility of each investigator to ensure that research is implemented and records maintained in accord with KCTCS HSRB policies and procedures.

1.8.2.3.2.2 Responsibilities

The specific responsibilities of the designated KCTCS Human Subjects Review Board are to:

1. Review all research (or related activity) projects involving human subjects originating from their respective units.
 2. Recommend appropriate action on these projects within the guidelines set forth by the applicable federal granting and regulatory agencies, if applicable, and the KCTCS HSRB Policy.
 3. Review all proposed changes in previously approved research studies and recommend appropriate action on these changes within the guidelines set forth by the applicable federal granting and regulatory agencies and the KCTCS HSRB.
 4. Conduct continuing review of previously approved research projects at intervals appropriate to the degree of risk, but not less than once per year.
 5. Handle reports of unanticipated problems and allegations of noncompliance concerning protection of human subject regulations and, in cases where corrective action is needed, issue
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appropriate sanctions including but not limited to requesting minor changes, determining data collected cannot be used for publication, disqualifying investigators from conducting research involving human subjects at KCTCS, and recommending to KCTCS administration that further administrative action be taken.

6. Advise appropriate KCTCS officials of current federal regulations or proposed changes in federal regulations pertaining to the protection of human subjects, and advise on KCTCS policy development and regulation changes which best insure the rights and welfare of human research subjects.
7. Recommend to the President on membership composition of the Board through the KCTCS Vice President.
8. When participating in a cooperative project with another entity, enter into a joint arrangement, rely upon the review of another qualified HSRB, or make similar arrangements in accord with guidelines set forth by the applicable federal granting and regulatory agencies and KCTCS HSRB policy.

1.8.2.3.2.3 Meetings

Meetings of the HSRB may be regularly scheduled or held upon call of the chairperson.

1.8.2.3.2.3 Materials

Copies of the Department of Health regulations for human research subjects and other educational materials are available in the Internal Affairs Office.

9-12-01			
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review <i>(Include all dates in chronological order)</i>	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	9-12-01	(SIGNED)	9-12-01
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

SECTION 2

Human Resources Related Policies

2.1 Faculty, Faculty Rank, and Faculty Titles

2.1.1.1.1 Full-Time Faculty–Community Colleges

A full-time faculty member is a contractual employee of the Community Colleges who is qualified for appointment to one (1) of the academic ranks listed in Policy Subsection 2.1.1, and ordinarily has full-time teaching duties or has other teaching related duties (e.g. research, academic administration, counseling) equivalent to a full-time teaching load and fulfills the duties and responsibilities of a faculty member.

2.1.1.1.2 Professional Librarians (Faculty)–Community Colleges

Professional librarians perform specific duties as assigned by the Director of Library Services. A college's academic programming encompasses four general areas: pre-baccalaureate, occupational/technical, developmental, and continuing education/community service. Librarians assist in achieving educational objectives relevant to these areas.

The Library Services philosophy supports the general philosophy of an open access community college: to assist individuals through college programs to realize their full potential as educated citizens. Toward that end, the duties included in any job description encompass all functions assigned to the professional librarian as reflected on the annual Distribution of Effort Agreement. Each librarian may, in addition, be given by the Director of Library Services specific assignments that are in keeping with institutional priorities, program needs, and individual expertise. The basic concept of library services is that each college provides a library program to which each individual librarian contributes as student and faculty needs emerge, and institutional change occurs. The professional librarian is evaluated by the director of library services.

General Responsibilities

- To assist with the planning, organization, and evaluation of library and information services.
 - To offer quality library and information services.
 - To instruct library users to access and evaluate information.
 - To remain informed on current trends for library and information services.
 - To participate in professional organizations and professional development opportunities.
 - To serve on assigned college and Community College Branch committees.
 - To meet professional standards and ethics that are in accordance with state regulatory statutes and/or the American Library Association (ALA) standards.
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Qualifications

Master's or Doctoral Degree in Library and Information Sciences from an American Library Association accredited program. The Professional Librarian will be evaluated by the Director of Library Services.

2.1.1.1.3 Professional Counselors (Faculty)– Community Colleges

All professional counselors employed by the Community Colleges are expected to address specific duties as assigned by the Deans of Student Affairs. The college's academic programming encompasses four general areas: developmental, continuing education/community service, occupational/technical, and pre-baccalaureate. The professional counselor shall be prepared to assist students in achieving educational objectives relevant to these areas.

The Counseling Program's philosophy is supportive of the general philosophy of an open access community college: to assist individuals, through college programs, to realize their full potential as educated citizens. Toward that end, the duties shall encompass all functions normally assigned to the professional counselor as reflected on the annual Distribution of Effort Agreement. Each counselor may, in addition, be given other assignments that are in keeping with institutional priorities, program needs, and individual expertise.

The Professional Counselor will be evaluated annually by the Dean of Student Affairs.

General Responsibilities

Academic and Career Exploration

- To provide academic and career/life planning, counseling, assessment, and development.
- To assist prospective transfer students planning to transfer to a four-year college or university.
- To assist prospective students seeking a technical degree within the Community Colleges.
- To periodically engage in teaching (e.g., human development courses, psychology, etc.), as academic credentials allow.

Personal Growth Programs and Other Areas that Affect the Complete Development of an Educated Person

- To provide brief counseling for personal concerns and problem resolution.
 - To provide referrals to appropriate community agencies.
 - To promote the total development of each individual student.
 - To be accountable for meeting professional ethical standards as stated by the American Counseling Association (ACA).
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Qualifications

- Master's Degree in Counseling/Counselor Education or in a related field.
- Knowledge and skill competencies in the following areas: human growth and development, helping relationships, career and lifestyle development, social and cultural foundations, student affairs practice in higher education, and assessment.

Preference may be given to:

- Applicants with a doctorate in Counseling/Counselor Education or in a related field.
- Graduates of a CACREP (Council for Accreditation of Counseling and Related Educational Programs) accredited program.
- Substantial experience (3 years) in student affairs practice in higher education.

2.1.1.2 General Criteria for Ranks–Community Colleges

Academic ranks in the Community Colleges shall include Instructor in the Community Colleges, Assistant Professor in the Community Colleges, Associate Professor in the Community Colleges, Professor in the Community Colleges, and other ranks that are equivalent to these recognized ranks.

Although it would be impossible to specify the exact criteria for judging an appointment or promotion to any one particular rank, a few general statements are made as guides to review committees.

2.1.1.2.1 Instructor in the Community Colleges

The title Instructor in the Community Colleges designates a person whose services are contracted primarily for teaching, advising, and community service, including professional development, and institutional service (all areas on the DOEA). The individual should have an understanding of and a belief in the purposes of a community college.

In the pre-baccalaureate program, faculty must meet the credential qualifications as stated in the Southern Association of Colleges and Schools Criteria for Accreditation Manual.

In technical programs where an academic degree is not available, two (2) years of occupational experience, professional preparation in the field, or registration or certification by a recognized agency may be presented in lieu of educational attainment. In technical programs where an academic degree is available, it is expected that the individual shall have at least a bachelor's and preferably a master's degree where appropriate.

**2.1.1.2.2 Assistant Professor in the
Community Colleges**

Appointment or promotion to the rank of Assistant Professor in the Community Colleges will be made when it has been determined by colleagues, the Division Chairperson, and the President of the Community College that the individual has a current capability for good teaching, good student relations, and community service; and that the individual has demonstrated a genuine concern in fulfilling the purposes of a community college.

The evaluation of the individual's performance should be determined by the use of current objective evaluative instruments.

**2.1.1.2.3 Associate Professor in the
Community Colleges**

The promotion to Associate Professor in the Community Colleges will be made only after an indication of continuous improvement and contribution as a faculty member. The individual shall have demonstrated definite leadership in assigned areas of activity and in the overall development of the program of the applicable community college. The individual also shall have earned recognition for educational leadership.

**2.1.1.2.4 Professor in the Community
Colleges**

A promotion to the rank of Professor in the Community Colleges should be an indication that the individual is an outstanding, mature faculty member who has been recognized for leadership in the applicable community college and the Community College Branch; and who has demonstrated excellence in assigned areas of activity, in professional development, and in the total program of the applicable community college. It should always be stressed that this rank is a recognition of quality, and depth of performance and achievement rather than length of service.

**2.1.1.2.5 Review Periods–Community
Colleges**

An individual shall not remain as an Instructor in the Community Colleges for more than three (3) years. If after that period promotion to a higher rank cannot be justified, the individual's appointment *in the* Kentucky Community and Technical College System shall not be renewed. Non-tenured appointments at the Assistant Professor or Associate Professor level shall not exceed seven years including previous full-time service at the rank of Instructor or higher at other institutions of higher learning, except that no more than three (3) years of previous service may be counted against this seven year probationary period. Reviews shall follow the usual procedures for promotion and must be completed in time for the individual to be notified of the result in accordance with the Kentucky Community and Technical College System policies and procedures or as otherwise set forth in the individual's Letter of Appointment. Assistant

Professors must either be promoted at the end of the probationary period or shall not have their appointments renewed.

2.1.1.3 Types of Appointment Applicable to Faculty in the Community Colleges

All recommendations for appointment to the faculty of the Community Colleges must be supported by a file containing a complete vita of the candidate, official college transcripts, and letters of recommendation from at least three (3) qualified persons outside the Community Colleges. All recommendations for appointment to the Community College faculty and staff must originate with the appropriate administrative officer after due consultation with, at least, the appropriate tenured faculty members where possible. Established criteria shall form the basis for judgment at all steps of the appointment process.

The precise terms and conditions concerning each appointment shall be stated in writing on an official appointment record.

2.1.1.3.1 Visiting Professors–Community Colleges

The designation "visiting" before an academic title indicates that the holder of the title has a limited temporary appointment for an academic year, semester, or summer term. The visiting title used should be appropriate to the appointee's home base position, i.e., Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, or Visiting Instructor. Where professorial rank or title does not appear to be suitable, the title "Visiting Lecturer" should be used. A visiting appointment may be full-time or part-time, salaried or unsalaried. The appointment is by definition a temporary one and the visitor is not eligible for staff benefits, except that those with salaried full-time appointments are eligible for health insurance coverage. The visiting title does not include eligibility for membership in the Senate of the Community Colleges. Membership, with or without voting privileges, may be extended to a visiting appointee by the faculties of the community college and the Division to which the appointee is assigned.

2.1.1.3.2 Voluntary Faculty–Community Colleges

Voluntary faculty members are those who have an official faculty appointment in a community college for which no stipend or salary is received and who devote only a part of their time to a program. Usually such faculty members are engaged in private practice or business, but they may hold full-time positions with other institutions and agencies. Voluntary faculty members are not eligible for tenure, for usual benefits available to full-time faculty members, or for membership in the Senate of the Community College. Faculty membership, with or without voting privileges, may be extended by its college to one (1) or more of its voluntary faculty.

Typical voluntary faculty members teach and supervise students in healthcare clinical settings, but may also be voluntary faculty in music, physical education, or any other subject for which they are qualified. Voluntary faculty may also be counselors or librarians. Visiting speakers or visiting lecturers are not voluntary faculty. Voluntary staff are covered by a different procedure.

Voluntary faculty are appointed by the President of a community college on the official “Notice of Primary Academic Appointment and Assignment” form (referred to as the “Appointment Form”) and reported to the Chancellor of the Community Colleges. The only additional documentation required is a completed “Voluntary Faculty Data Form.” These two documents should be forwarded to the Chancellor at the earliest opportunity for processing and reporting to the Kentucky Community and Technical College System President and the Board of Regents. Since the affiliation of Voluntary Faculty with the college is not documented in the payroll system, this appointment process is necessary to formalize the association. As with full-time faculty members, the appointment paperwork must be forwarded prior to assumption of duties.

Each Spring, voluntary faculty members for the following academic year should be appointed or reappointed at the same time the college is appointing or reappointing full-time faculty members. Voluntary faculty members may be appointed or reappointed for periods up to three (3) years in length. As noted above, each appointment must be reported prior to the beginning date of the voluntary assignment.

When reporting voluntary faculty appointments, a cover letter, or letter of transmittal, should accompany the required forms.

After the voluntary faculty appointments are approved by the Board of Regents, the Chancellor will provide each Community College President with a letter indicating the voluntary appointments that have been approved. Signed copies of each Appointment Form may then be distributed according to the instructions listed at the bottom of the forms.

2.1.1.3.3 Part-Time Faculty–Community Colleges

Part-time faculty are employed by the College to meet the needs of the instructional program. Term contracts are given to the part-time faculty who are appointed by the President on the official “Notice of Primary Academic Appointment and Assignment” form. The employment of part-time faculty members provides expertise which enhances the educational effectiveness of the college. Part-time faculty members are not eligible for the usual staff benefits nor for membership in the Senate of the Community Colleges. Membership, with or without voting privileges, may be extended to a part-time faculty member by the faculties of the community college and the Division to which the individual is assigned.

2.1.1.3.4 Emeritus Professors–Community Colleges

Upon retirement, tenured faculty members will retain their titles with the designation "emeritus."

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

Personnel with emeritus status are entitled to the following rights and privileges:

1. To be included in faculty lists in Kentucky Community and Technical College System and Community College bulletins and, upon request, to be provided mailboxes by their community college;
2. To be assigned office and/or laboratory space and furnished supplies for creative work (upon request, and subject to their availability and to the approval of the concerned academic unit);
3. To have faculty library privileges;
4. To be eligible to apply for Research Committee grants and publication subsidies;
5. To receive Kentucky Community and Technical College System identification cards;
6. To attend, without voting privileges, meetings of the Community College Senate;
7. To participate, upon invitation, as a non-voting member of a Division or community college faculty;
8. To hold membership in the University of Kentucky Federal Credit Union;
9. To use University recreation facilities upon presentation of suitable identification;
10. To purchase athletic tickets with previous priority status;
11. To make purchases at the University Book Store at employee discount rates;
12. To participate in academic processions;
13. To be appointed to represent the Kentucky Community and Technical College System and the Community Colleges at academic ceremonies at other institutions;
14. To receive notices of Kentucky Community and Technical College System and Community College events; and
15. To take part generally with the faculties in all social and ceremonial functions of the Kentucky Community and Technical College System and the Community Colleges.

Official retirees may be hired as a temporary part-time or full-time faculty member in one of two (2) ways:

1. On an approved fee schedule at the part-time per course instruction rate. Such an appointment shall be treated as a part-time per course faculty appointment. The standard Community College "Notice of Primary Academic Appointment and Assignment" form must be completed. Appropriate credentials must be on file at the applicable community college. No approval is needed outside the applicable community college.
2. With the approval of the Chancellor of the Community Colleges, the President of the Kentucky Community and Technical College System and the Board of Regents. Such an appointment may be full-time or part-time, for a maximum length of one (1) year. Reappointment for each subsequent year also requires approval of the individuals listed above and of the Board of Regents. This process requires planning to meet published Board of Regents' deadlines. The Board of Regents must approve the appointment prior to the effective date of the appointment. The standard Community College "Notice of Primary Academic Appointment and Assignment" form is used to initiate this process. Appropriate credentials must be on file at the applicable community college. The appointment form and a copy of credentials must be forwarded to the Chancellor for review of credentials and preparation for Board of Regents approval.
3. If the officially retired employee is 65 years of age, or older; will work for the Community Colleges longer than six (6) months; or has regular earnings - i.e. earning enough money to make payroll deductions for healthcare, etc., then the individual must be placed on health insurance.

In all cases the applicable community college should contact the Employee Benefits Office of the University of Kentucky to verify the status of the potential employee, and to check on benefit implications (social security earnings, medicare, etc.), and should then advise the retiree. The retiree may also wish to consult with the Employee Benefits Office. Additional questions should be addressed to the Vice President primarily responsible for Internal Affairs.

2.1.1.3.5 Administrators with Faculty Rank – Community Colleges

Persons cannot be tenured in administrative positions, although tenure, retirement, benefits, and vacation days may be held separately as a faculty privilege concurrent with an administrative appointment. A tenured faculty member who is employed in an administrative position will move respectively from a Group A position to a Group C position for salary increases. Such, for example, is the case if a Community College faculty member with tenure accepts an administrative position. The removal of persons from their administrative positions does not impair whatever rights they may have in their particular faculty ranks. Retirement benefits, vacation days, and sick days remain the same as faculty. Salary increases, however, are based on Group C salary increase policies.

An academic administrator with tenure who leaves an administrative position shall be entitled to receive a position in the academic unit in which the faculty member obtained tenure. Upon return to faculty status from an administrative position the salary for the faculty position shall be determined by the salary compensation policy.

Upon recommendation by the Chancellor of the Community Colleges, academic administrators hired to fill administrative positions from outside of the Community Colleges may be granted tenure in an academic unit following consultation with the President of the applicable community college and the appropriate Division Chairperson, and the tenured faculty members in the applicable academic unit.

2.1.1.4 Appointment, Promotion, and Tenure of Professional Librarians–Community Colleges

2.1.1.4.1 Appointment to Librarian IV and Librarian III–Community Colleges

The Presidents of the Community Colleges are delegated authority to make appointments to the ranks of Librarian IV and Librarian III. These actions are reported by the President of the applicable community college to the Chancellor of the Community Colleges.

2.1.1.4.2 Appointment to Librarian II and Librarian I –Community Colleges

Recommendations for appointment to the ranks of Librarian II and Librarian I, with or without tenure, must originate with the President of the applicable community college and be forwarded to the Community College Advisory Committee on Appointment, Promotion, and Tenure through the Chancellor of the Community Colleges. The Advisory Committee on Appointment, Promotion and Tenure will make its recommendations back to the Chancellor, who will add a recommendation and forward the file to the President of the Kentucky Community and Technical College System. The Kentucky Community and Technical College System President’s recommendation will be given final action by the Board of Regents.

2.1.1.4.3 Promotion to Librarian III–Community Colleges

The President of the applicable community college has been delegated authority to approve or disapprove promotions from Librarian IV to Librarian III. An approved promotion will be communicated through the Chancellor of the Community Colleges to the President of the Kentucky Community and Technical College System who will report it to the Board of Regents. In case of disapproval of such a promotion, the President of the applicable community college will inform the Librarian in writing and also notify the appropriate Dean for Academic Affairs.

2.1.1.4.4 Promotion to Librarian II or Librarian I–Community Colleges

Proposals for promotion to Librarian II or Librarian I will follow a process parallel to that described in Section 2.6. In each case, the President of the applicable community college will either approve the proposal and forward an affirmative recommendation to the Chancellor of the Community Colleges, or disapprove and stop the proposal and then inform the Librarian in writing and also notify the appropriate Dean for Academic Affairs. If the Chancellor of the Community Colleges receives the promotion file containing the Community College President's recommendation, the Chancellor of the Community Colleges will obtain a related recommendation from the Community College Advisory Committee on Appointment, Promotion, and Tenure and then will either approve the proposal and forward an affirmative recommendation to the President of the Kentucky Community and Technical College System, or disapprove and stop the proposal and notify the President of the applicable community college. If the President of the Kentucky Community and Technical College System receives the Chancellor's recommendation, the President of the Kentucky Community and Technical College System will either approve the proposal for promotion and make an affirmative recommendation to the Board of Regents for final action, or disapprove and stop the proposal and inform the Chancellor of the Community Colleges who, in turn, will notify the President of the applicable community college of such action. In a case where the Board of Regents takes final action, the President of the Kentucky Community and Technical College System, through the Chancellor of the Community Colleges, will inform the President of the applicable community college about the Board of *Regent's* action. The President of the applicable community college, in turn, will notify the Librarian and also inform the appropriate Dean for Academic Affairs.

2.1.1.4.5 Failure to Support Administrative Action for Promotion–Community Colleges

Whenever a recommendation to promote is disapproved by either the Chancellor of the Community Colleges or the President of the Kentucky Community and Technical College System, this fact must be reported back to the President of the applicable community college with supporting reasons, and an opportunity provided for a thorough discussion among the concerned parties. The President of the applicable community college will initiate the discussion with the faculty member; the Dean of Academic Affairs may be included in such a discussion at the request of the President of the applicable community college or the faculty member. Any related appeals through administrative channels and/or the Community College Senate Advisory Committee on Privilege and Tenure must be initiated in writing by the faculty member within sixty (60) days after being notified in writing by the President of the applicable community college of the disapproval of a recommendation to promote.

2.1.1.4.6 Review Periods–Community Colleges

An individual shall not remain at the rank of Librarian IV in the Community Colleges for more than three (3) years. If after that period, promotion to a higher rank cannot be justified, the individual's appointment at the Kentucky Community and Technical College System shall not be renewed. Non-tenured appointments at the Librarian III or Librarian II levels shall not exceed seven years, including previous full-time service at the rank of Librarian IV or higher at other institutions of higher learning, except that no more than three (3) years of previous service may be counted against this seven-year probationary period. Reviews shall follow the usual procedures for *promotion* and must be completed in time for the individual to be notified of the result in accordance with the Kentucky Community and Technical College System policies and procedures [or as otherwise set forth in the individual's Letter of Appointment]. Individuals at the rank of Librarian III must either be promoted at the end of the probationary period or shall not have their appointments renewed.

2.1.2.1 Faculty, Faculty Rank, and Faculty Titles–Technical Colleges

2.1.2.1.1 Full-Time Faculty–Technical Colleges

A ranked faculty member is a full-time employee of the Technical Colleges who has been appointed to one (1) of the four (4) regular academic ranks: Instructor in the Technical Colleges, Assistant Professor in the Technical Colleges, Associate Professor in the Technical Colleges, or Professor in the Technical Colleges; and others that are equivalent to the recognized ranks.

2.1.2.1.2 General Criteria for Ranks – Technical Colleges

Columns 1 and 3 of Attachment A *KCTCS Technical Colleges Guidelines for Credentials Required for Employment and Promotion of Teaching Faculty* provide information on requirements to initial appointments to technical college ranks of instructor, assistant professor, associate professor for certificate and diploma programs and courses and AAS and AAT degree programs and courses respectively.

2.1.2.1.3 Criteria for Promotion – Technical Colleges

Columns 2 and 4 of Attachment A *KCTCS Technical Colleges Guidelines for Credentials Required for Employment and Promotion of Teaching Faculty* provide information on requirements for promotion to technical college ranks of assistant professor, associate professor,

and professor for certificate and diploma programs and courses and AAS and AAT degree programs and courses respectively.

2.1.2.1.4 Definition of Faculty Eligible for Promotion – Technical Colleges

- A person who spends at least 50% of his/her time in a teaching capacity; 50% of his/her responsibilities are related to an instructional program. (Verify)
- Division/department chairs who are employed in an administrative division/department chair capacity and who do not teach will not be considered for promotion in rank. Division/department chairs from faculty ranks who are assigned division/department chair responsibilities will be required to meet the 50% clause.
- Division/department chairs must teach 50% of their time to be considered for promotion in rank.
- Professional librarians who hold a Master’s Degree in Library and Information Sciences from an American Library Association accredited program are eligible for the ranks of Librarian IV (Instructor), III (Assistant Professor), II (Associate Professor), and I (Professor).
- Faculty classified as part-time by Human Resources (HR) are not eligible to participate in the credentials and promotions process nor faculty governance.

2.1.2.1.5 Certificate and Diploma Programs: Promotions – Technical Colleges

2.1.2.1.5.1 Instructor to Assistant Professor – Technical Colleges

Performance Effectiveness: Good recommendations would consist of all required components from the following:

1. Successful completion of mentorship, KCTCS New Teachers Institute or have previous successful teaching experience
2. Student course evaluations**
3. Personal (annual) evaluations
4. Course Syllabi
5. Classroom Observations
6. Advising ***
7. Community Service and Institutional Service

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process.

Education: Completion of associate degree or equivalent* in teaching or related field.

*Equivalent of an associate degree is defined as:

1. Any combination of field-related experience, i.e. licensure, certification, apprenticeship, NOCTI, continuing education, ASE, A+, AWS, MACS, etc.
-

2. One year postsecondary diploma is equal to one year of work experience.
3. Two year postsecondary diploma is equal to two years of work experience.
4. An Associate Degree is 7000 hours or 3.5 years of full-time, field-related work experience.
5. An Associate degree equivalent can also be 64 college credit hours.

Work Experience*: 2 years

*Work experience must be field-related work experience.

Teaching Experience: 3 years, 3 of which must be KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

Professional Activities: Professional organization membership, campus committee membership, awards and recognition, etc.

2.1.2.1.5.2 Assistant Professor to Associate Professor – Technical Colleges

Performance Effectiveness: Must be rated as Very Good

The portfolio would include appropriate and sufficient documentation from the following required components to support the promotion. The Campus Peer Review Committee (CPR) would review and determine if the criteria were met.

1. Student evaluations of instruction**
2. Personal (annual) evaluations
3. Course Syllabi, proof of varied teaching modalities
4. Professional development, **25 hrs. per year**
5. Advising***
6. Community Service and Institutional Service
7. Campus participation: Senate, college-wide committees
8. Awards and recognition, published articles, or presentations at workshops and conferences.

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process.

Education: Bachelor's or equivalent* with 12 semester hours in teaching or related field.

*Equivalent of a Bachelor's degree is defined as:

1. Any combination of field-related experience, i.e. licensure, certification, apprenticeship, NOCTI, continuing education, ASE, A+, AWS, MACS, etc.
 2. One year postsecondary diploma is equal to one year of work experience.
 3. Two year postsecondary diploma is equal to two years of work experience.
 4. An Associate Degree is 7000 hours or 3.5 years of full-time, field-related work experience.
 5. An Associate degree equivalent can also be 64 college credit hours.
-

6. A Bachelor's degree equivalent is 14,000 hours or 7 years of full-time, field-related work experience.

Work Experience*: 2 years.

*For those in academic areas, one year of college equals two years work experience up to two years of education substituting for four years work experience.

Teaching Experience: Six years, three of which must be in KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

Recognized Leadership: Must be evaluated as Very Good.

Local Senate committee officer or chair or major Senate committee, accreditation committee standard chair, officer in faculty council, attended leadership academy, representative to board of directors, student organization advisor, officer in professional organization. (Examples that may be used to meet this requirement)

Minimum Time in Previous Rank*: Three years as Assistant Professor.

Note: Faculty hired prior to academic year 2000-01 may also demonstrate that initial appointment criteria for Assistant Professor in Attachment A has been met to fulfill part of this three year requirement for the initial promotion in rank. (Thereafter, time in the promoted rank must be served.)

2.1.2.1.5.3 Associate Professor to Professor – Technical Colleges

Performance Effectiveness: Must be rated as Excellent.

The portfolio would include appropriate and sufficient documentation from the following required components to support the promotion. The Campus Peer Review Committee (CPR) will review and determine if the criteria were met.

1. Student evaluations of instruction**
2. Personal (annual) evaluations
3. Course Syllabi, proof of varied teaching modalities
4. Professional development, **25 hrs. per year**
5. Advising***
6. Community Service and Institutional Service
7. Campus and System or District participation: local and system or state or national
8. Awards and recognitions, published articles, or presentations at conferences and workshops.
9. Professional memberships

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process.

Education: Bachelor's degree in teaching or related field.

Work Experience*: 2 years.

*For those in academic areas, one year of college equals two years work experience up to two years of education substituting for four years work experience.

Teaching Experience: 10 years, 6 of which must be under KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

System/District Leadership: Must be evaluated as Excellent.

Minimum Time in Previous Rank*: 6 years as Associate Professor

Note: Faculty hired prior to academic year 2000-01 may also demonstrate that initial appointment criteria for Associate Professor in Attachment A has been met to fulfill part of this six year requirement for the initial promotion in rank. (Thereafter, time in the promoted rank must be served.)

2.1.2.1.6 AAS and AAT Programs and Courses: Promotions – Technical Colleges

2.1.2.1.6.1 Instructor to Assistant Professor – Technical Colleges

Performance Effectiveness: Good recommendations would consist of required components of the following:

1. Successful completion of mentorship, KCTCS New Teachers Institute or have previous successful teaching experience
2. Student course evaluations**
3. Personal (annual) evaluations
4. Course Syllabi
5. Classroom Observations
6. Advising***
7. Community Service and Institutional Service

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process.

Education: Bachelor's or equivalent* in teaching or related field.

Work Experience*: 2 years.

*For those in academic areas, one year of college equals two years work experience up to two years of education substituting for four years work experience.

Teaching Experience: 3 years which must be under KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

Professional Activities: Professional organization membership, campus committee membership, awards and recognition, etc.

2.1.2.1.6.2 Assistant to Associate Professor – Technical Colleges

Performance Effectiveness: Must be rated as Very Good

The portfolio would include appropriate and sufficient documentation from the following required components to support the promotion. The Campus Peer Review Committee (CPR) would review and determine if the criteria were met.

1. Student evaluations of instruction**
2. Personal (annual) evaluations
3. Course Syllabi, proof of varied teaching modalities
4. Professional development, **25 hrs. per year**
5. Advising***
6. Community Service and Institutional Service
7. Campus participation: i.e. Senate or college-wide committees
8. Awards and presentations, published articles, or presentations at conferences and workshops.

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process.

Education: Bachelor's or equivalent* with 18 semester hours in teaching or related field.

Work Experience*: 2 years.

Teaching Experience: 6 years, 3 of which must be under KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

Recognized Leadership: Must be evaluated as Very Good.

Local Senate committee officer or chair or major Senate committee, accreditation committee standard chair, officer in faculty council, attended leadership academy, representative to board of directors, student organization advisor, officer in professional organization.

Minimum Time in Previous Rank*: 3 years as Assistant Professor.

Note: Faculty hired prior to academic year 2000-01 may also demonstrate that initial appointment criteria for Assistant Professor in Attachment A has been met to fulfill part of this three year requirement for the initial promotion in rank. (Thereafter, time in the promoted rank must be served.)

2.1.2.1.6.3 Associate Professor to Professor – Technical Colleges

Performance Effectiveness: Must be rated as Excellent.

The portfolio would include appropriate and sufficient documentation from the following required components to support the promotion. The Campus Peer Review Committee (CPR) would review and determine if the criteria were met.

1. Student evaluations of instruction **
2. Personal (annual) evaluations
3. Course Syllabi, proof of varied teaching modalities
- 4. Professional development, 25 hrs. per year**
5. Advising***
6. Community Service and Institutional Service
7. Campus and System or District participation: local and system or state or national
8. Awards and recognitions or published articles or presentations at conferences and workshops
9. Professional memberships

** Student course evaluations: faculty in correctional settings will have the student course evaluations completed by on-site administration.

***Advising: Non-occupational program faculty may submit materials which document collaborative or subject area information which supports the advising process

Education: Bachelor's degree required plus Master's degree or Master's equivalent* in teaching or related field.

*Equivalent of a master's degree is defined as:

1. Any combination of graduate education and teaching experience above the required ten years.
2. Two years of additional teaching experience equals 15 graduate credit hours.
3. Two years teaching experience equals one year of education with a maximum of four years teaching experience substituting for two years of education.

Work Experience*: 2 years.

Teaching Experience: 10 years, 6 of which must be under KCTCS*.

*KCTCS teaching experience includes teaching in the technical (KY TECH) or community college system prior to the establishment of KCTCS.

System/District Leadership: Must be evaluated as Excellent.

Minimum Time in Previous Rank*: 6 years as Associate Professor.

Note: Faculty hired prior to academic year 2000-01 may also demonstrate that initial appointment criteria for Associate Professor in Attachment A has been met to fulfill part of this six year requirement for the initial promotion in rank. (Thereafter, time in the promoted rank must be served.)

**2.1.2.1.6.4 Related Information:
COE/SACS Requirements for
AAS/AAT Degree Programs and
Courses**

A. COE Requirements: (*COE Handbook, p.51, B*)

4. Faculty members who teach general education courses in Associate Degree programs hold a minimum of a Bachelor's degree with 15 hours or 23 quarter hours in the teaching discipline. (In exceptional cases, evidence of outstanding professional experience or creative achievement in the field may be considered in lieu of formal academic requirements.)
5. Faculty members who teach in technical areas of associate degree programs hold a minimum of an Associate Degree. (In exceptional cases, evidence of outstanding experience and skills in the technical field may be considered in lieu of formal academic requirements.)

B. SACS Requirements: (*Criteria, pp. 43-44*)

Each full-time and part-time faculty member teaching courses in professional, occupational and technical areas other than physical activities courses that are components of associate degree programs designed for college transfer, or from which substantial numbers of students transfer to senior institutions, must have completed at least 18 graduate hours in the teaching discipline and hold a master's degree, or hold the minimum of the master's degree with a major in the teaching discipline.

In exceptional cases, outstanding professional experience and demonstrated contributions to the teaching discipline may be presented in lieu of formal academic preparation for faculty members teaching both transfer and non-transfer courses in these areas. Such cases must be justified by the institution on an individual basis.

C. Other Regulating Bodies:

Where other regulating bodies or accrediting agencies are a factor, those criteria must be met. (ex. Allied Health, Nursing)

D. KCTCS Policy on Collaborative Program Development:

Kentucky Community and Technical College (KCTCS) collaborative program development processes shall meet criteria specified by the accrediting bodies of the respective community and technical colleges and any required programmatic standards. (Board of Regents Policy 4.12, approved 9/16/98)

For collaborative programs, faculty must meet both SACS/COE requirements or document an exception.

2.1.2.1.7 Failure to Support Administrative Action for Promotion–Technical Colleges

When a recommendation to promote is disapproved by either the Chancellor for the Technical Colleges or the President of KCTCS, this fact must be reported back to the technical college CEO with supporting reasons and an opportunity provided for thorough discussion between the concerned parties. The technical college CEO will initiate the discussion with the faculty member; the appropriate division chair may be included in such a discussion at the request of the CEO or the faculty member.

Any related appeals through the Promotion Appeals Committee (PAC, a system subcommittee of the Technical College Senate) must be initiated in writing by the faculty member within fifteen (15) working days after being notified in writing by the technical college CEO of the disapproval of a recommendation to promote.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>5-15-02</u> Date(s) of Last Review	<u>5-15-02</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	5-15-02	(SIGNED)	5-15-02
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

2.2 Contracts

2.2.1 Contracts–Community Colleges

2.2.1.1 General

2.2.1.1.1 Tenure-eligible–Community Colleges

The term "tenure-eligible" refers to the contract of an untenured faculty member who will be eligible to apply for continuous contract status (tenure) upon completion of the requirements specified in Section 2.7.

2.2.1.1.2 Probationary Period–Community Colleges

The term "probationary period" shall mean that period during which a tenure-eligible faculty member is actively being considered for a tenured position as set forth in Section 2.7. During the probationary period, a faculty member shall have the same academic freedoms of all other faculty members.

Probationary periods are applicable to non-tenured appointments of faculty members on a full-time year-to-year basis in the regular, special title, extension, and librarian series of academic ranks and titles. Such non-tenured appointments may be for one year or other stated periods, subject to renewal. The total non-tenured period, however, shall not exceed seven (7) years, including previous full-time service with the rank of instructor or higher in other institutions of higher learning. However, in the case of a faculty member with more than three years in the academic profession, who is called from another institution and appointed at the rank of Associate Professor or below, it may be required that the individual serve in a probationary status for a period not to exceed four (4) years, even though thereby the individual's total non-tenure period in the academic profession is extended beyond seven (7) years. Should a period of prior service of a prospective faculty member involve significantly different institutional objectives or significantly different professional activity, with appropriate approval, all or part of the period of prior service may be eliminated from consideration in determining the maximum non-tenure *in the* Kentucky Community and Technical College System. Except for an approved leave of absence without pay for the duration of an election campaign or a term of office, time spent on leave of absence shall count as probationary period service unless, in granting and accepting the leave, the Kentucky Community and Technical College System and the individual agree to the contrary. An individual initially appointed to the rank of full professor may be given non-tenure status for a period not to exceed one (1) year.

Probationary periods (or maximum non-tenured periods) do not apply to faculty members appointed (1) in the visiting and voluntary series of academic ranks and titles, or (2) on a part-time or temporary basis. In all such appointments, faculty members are ineligible for tenure. However, if an individual on appointment in the visiting series, or on a temporary basis, subsequently should be appointed full-time in the regular or librarian series, time spent on

full-time appointment in the visiting series or on a temporary basis *in* the Kentucky Community and Technical College System shall be counted as part of the individual's probationary period which shall become applicable and defined when such a subsequent appointment occurs, unless waived by the Prior Service Committee.

2.2.1.2 Term Contracts–Community Colleges

Term Contracts of the Community Colleges are given to part-time faculty members, and are limited to the term of employment outlined in the applicable contract. Term Contracts do not confer upon a faculty member entitlement to continued employment after the term specified in the employment contract expires.

Term Contracts may also be used with ranked faculty members in special circumstances as follows: all summer session contracts; for replacements for one (1) semester or year for faculty on leave; or with the approval of the Chancellor of the Community Colleges for short-term curricular needs of the Community Colleges. Ranked faculty members may enter into such short-term curricular need arrangements for up to three (3) consecutive academic years, except under extraordinary circumstances and with the approval of the Chancellor of the Community Colleges.

All Term Contracts are issued on an individual basis as the necessity arises.

4-30-99			
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

**2.2.1.2.1 Faculty Employment Contracts
(Technical College Employees Hired
on/or after July 1, 1998;
Community College and System
Employees Hired on/or after
January 14, 1998)**

As a faculty member not in a tenurable appointment in a professional/technical field, you may be offered a series of employment contracts over a long term association with KCTCS. Similar contracts will apply to faculty in core general education fields in which demand for their talents is so high as to require market-based salary supplements. Contract lengths are outlined in the table below:

Title	Contract Term	Renewed Every
Full Professor	4 years	2 years
Associate Professor	3 years	2 years
Assistant Professor	2 years	1 year
Instructor	1 year	1 year
Adjunct Professor/Instructor	Semester, Term or Year	Semester, Term or Year

With these overlapping contract terms, faculty above the instructor level will have a minimum of one year's notice of KCTCS' intention not to renew the contract. Contract faculty are subject to all performance appraisal and other personnel policies during the terms of their contracts. They are expected to participate fully in all KCTCS governance and committee work, except those committees advising on tenure decisions.

<u>6-22-98</u>	<u>2-13-02</u>	<u>2-13-02</u>
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
 (SIGNED)	 2-13-02	 (SIGNED) 2-13-02
<hr/> Recommended by	<hr/> Date	<hr/> President, KCTCS Date

2.2.1.3 Continuous Contracts (Tenured Positions) – Community Colleges

Continuous contract rights are given to faculty members who have attained tenured status as outlined in Section 2.7. Faculty members employed under a continuous contract are entitled to annual contract renewal and shall be subject to the terms and conditions of employment that exist at the time of each annual renewal by the Community Colleges, unless separated pursuant to Section 2.8.

2.2.1.4 Locus of Appointments–Community Colleges

All faculty appointments to non-tenure or tenure-eligible, or Continuous Contracts have as the locus of their appointment the applicable academic unit of the applicable community college which is stated in their annual renewal. Dual appointments to different academic units may be granted a faculty member. In such a case, the President of the Community College, in consultation with the faculty member and appropriate Dean, will select one (1) academic unit as the faculty member's primary academic unit for the purpose of this policy (e.g., governance, evaluation, promotion, separation).

2.2.1.5 Length of Contracts–Community Colleges

Faculty are normally assigned on a 10-, 11-, or 12-month basis. Assignment for the summer sessions may be available for those assigned on a 10-month basis. Full-time faculty members employed on a 10-month basis shall be on assignment from August 1, through May 31, and are expected to be available for participation in appropriate academic activities during this period. Faculty members employed on an 11-month basis shall be on an 11-month assignment as outlined in the “Notice of Primary Academic Appointment and Assignment.” In addition, all members of the faculty shall be in actual attendance at least until after commencement, until all reports have been made and at least three (3) days prior to the first day of registration for the fall semester unless, for appropriate reasons, an absence is approved in advance by the President of the applicable community college.

All contracts for the employment of faculty shall be in a form substantially equivalent to the "Notice of Primary Academic Appointment and Assignment".

2.2.2 Contracts–Technical Colleges

(Policy development is in progress.)

4-30-99			
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

2.3 Search / Appointment / Orientation

2.3.1 Search / Appointment / Orientation – Community Colleges

2.3.1.1 Statement on Recruitment and Selection of Faculty–Community Colleges

It is the aim of the Community Colleges to recruit and select outstanding faculty members.

Before selecting a faculty member, an academic unit must assure that:

1. A vacant position is identified and authorized subject to availability of funds;
2. The position is described, including minimum requirements;
3. The position is announced and advertised;
4. A screening process to select one (1) or more finalists is utilized;
5. The terms for EEO are employed;
6. For finalists, employment and personal history inquiries are conducted;
7. One (1) or more finalists are interviewed;
8. A recommendation for appointment is made, or, in the event that no recommendation is made, the search is re-opened or terminated; and
9. The candidate selected is offered the position.

Applicable Kentucky Community and Technical College System Regulations for appointments must be followed.

2.3.1.2 The Search Committee–Community Colleges

The primary responsibility for recruiting faculty members is entrusted to a faculty search committee. Search committees normally consist of the designated administrative official responsible for recruiting faculty at the applicable community college (non-voting), the Division Chairperson, and faculty members representing the academic unit in which the appointment is to be made. In addition, at least one (1) faculty member should be appointed from outside the academic unit in which the appointment is to be made. It is recommended that all faculty members on the search committee be tenured or hold full-time, tenure-eligible appointments. Customarily, the search committee will be chaired by the Division Chairperson.

It is essential for the Chairperson of the search committee to keep the President of the applicable community college informed about the progress of the search. The Chairperson is also responsible for appropriately informing the faculty of the applicable community college about the search.

Search Committees for chief administrative officers are subject to the Open Meetings Law in Kentucky. Search Committees that are established or appointed by a community college at a division to screen, interview, and make recommendations regarding appointment of individual faculty members, however, are not subject to the Law. (See Attorney General Opinion 94-25.) Additional information regarding the scope and application at the open meetings law is available from the Office of the Chancellor of the Community Colleges.

2.3.1.3 Faculty Appointment and Assignment Periods – Community Colleges

Tenured faculty members are on continuous appointment. Non-tenured faculty members are appointed for part or all of a fiscal year basis (July 1 - June 30). Regular assignments of faculty members, however, shall be on nine-month (academic year), ten-month, eleven-month, and twelve-month bases within a fiscal year.

Faculty members employed on a nine-month (academic year) assignment basis normally shall be available for participation in academic activities from August 16 through May 15. There is no entitlement to vacation during this period. Faculty members employed on a nine-month assignment basis may be permitted to engage in KCTCS employment during an interim between regular assignment periods to a maximum extent of three (3) months or sixty-six (66) working days per year. Daily or monthly compensation for full-time KCTCS employment during such an interim shall not exceed 1/195 or 1/9, respectively, of an individual's regular nine-month assignment period salary for the fiscal year in which the activity occurs.

Faculty members employed through a ten-month assignment basis shall be normally available for participation in academic activities from August 1, through May 31, or during any other ten-month period which has been established after consultation with the affected faculty members, and approved by the appropriate chancellor. All full-time faculty members on a ten-month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each member of the teaching faculty shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three days prior to the first day of registration for the fall semester, unless for special reasons leave is approved. Vacation leave normally cannot be accumulated from one assignment prior to another; however, under unusual circumstances, provided it is in the best interest of the Kentucky Community and Technical College System and has advance approval by the college chief executive or administrative officer, a faculty member employed on a ten-month assignment basis also may take unused vacation leave during the assignment period following that in which the leave was earned. Faculty members employed on a regular ten-month basis may be permitted to engage in Kentucky Community and Technical College System employment during an interim between

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regular assignment periods to a maximum extent of two (2) months or forty-four (44) working days per year. Daily or monthly compensation for full-time Kentucky Community and Technical College System employment during such an interim shall not exceed 1/217 or 1/10, respectively, of an individual's regular ten-month assignment period salary for the fiscal year in which the activity occurs.

Faculty members employed on an eleven-month assignment basis shall be normally available for participation in academic activities from August 1, through June 30, or during any other eleven-month period which has been established after consultation with the affected faculty members and approved by the appropriate Chancellor. All full-time faculty members on an eleven-month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each member of the teaching faculty shall be in actual attendance at least until after Commencement and until all reports have been made, and at least three days prior to the first day of registration for the fall semester, unless for special reasons leave is approved. Vacation leave normally cannot be accumulated from one assignment period to another; however, under unusual circumstances, provided it is in the best interest of the Kentucky Community and Technical College System and has advance approval by the college chief executive or administrative officer, a faculty member employed on an eleven-month assignment basis may take unused vacation leave during the assignment period following that in which the leave was earned. A faculty member employed on an eleven-month assignment basis may be permitted to engage in Kentucky Community and Technical College System employment during an interim between regular assignment periods to a maximum extent of one (1) month or twenty-two (22) working days per year. Daily or monthly compensation for full-time Kentucky Community and Technical College System employment during such an interim shall not exceed 1/238 or 1/11, respectively, of an individual's regular eleven-month assignment period salary for the fiscal year in which the activity occurs. For faculty in the Community Colleges, the total of such internal overload compensation may not exceed 20% of the faculty member's base salary, or 20% of the Community Colleges' average faculty salary during the most recent academic year, whichever is greater.

A faculty member employed on a nine-month, ten-month, or eleven-month assignment basis shall not engage in two (2) or more Kentucky Community and Technical College System assignments during an interim between two (2) regular assignment periods unless a request for such has been forwarded through proper administrative channels and approved in advance by the appropriate Chancellor. For any such request which is approved, an individual's total compensation from all types of Kentucky Community and Technical College System assignments during such an interim shall not exceed the maximum compensation permitted in the absence of summer session teaching.

Faculty members employed on a twelve-month assignment basis shall be normally available for participation in academic activities from July 1, through June 30. All full-time faculty members on a twelve-month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are

eligible to take such leave; however, each member of the teaching faculty shall be in actual attendance at least until after Commencement, and until all reports have been made, and at least three (3) days prior to the first day of registration for the fall semester, unless for special reasons leave is approved. Faculty members employed on a twelve-month assignment basis may take vacation leave either during the assignment period in which the vacation leave is earned or during the subsequent assignment period.

Temporary faculty members on full-time assignment are entitled to the same holiday leave granted to regular faculty members; are not entitled to vacation leave; and are not entitled to compensation for unused holiday leave.

2.3.1.4 Orientation–Community Colleges

1. Either before or at the time of interview of an individual for an appointment in the professorial series, the Community College President shall inform the individual about the parts of Kentucky Community and Technical College System Policies dealing with appointment, promotion, and tenure; and shall provide access to these policies as requested.
2. At the time an appointment is tenured, an individual should be informed of general items regarding criteria for academic rank by the unit administrator.
3. The Community College President shall inform each new faculty member (within one (1) month of the beginning of employment) of the existence and locations of the following documents:
 - a. The Kentucky Community and Technical College System Policies dealing with appointment, promotion and tenure;
 - b. The Rules of the Senate of the Community Colleges;
 - c. The Rules and Bylaws of the Faculty of the community college hiring the new employee;
 - d. The rules and procedures of the new employee's Division; and
 - e. Student Rights and Responsibilities.

Access to any of these documents shall be provided by the Community College President as requested.

2.3.2 Search / Appointment / Orientation–Technical Colleges

(Policy development is in progress.)

4-30-99	11-20-01	11-20-01	
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	11-20-01	(SIGNED)	11-20-01
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

2.4 Faculty Personnel Files

2.4.1 Faculty Personnel Files–Community Colleges

Because all considerations of promotion and tenure require thorough documentation of the faculty member's record of pertinent activities in the Kentucky Community and Technical College System and the Community Colleges, as well as the relevant actions involving the individual's faculty status, a faculty file shall be maintained jointly by the Community College President and the individual faculty member, and should include the following:

1. All official correspondence between the unit administrator and faculty member concerning appointment or faculty status, including employment contracts;
2. The faculty member's official credentials including a current official transcript with an updated curriculum vitae;
3. Copies of publications and published reviews or letters concerning publications and/or copies of materials relating to creative productivity;
4. Copies of faculty performance reviews and evaluations, including the faculty member's Distribution of Effort Agreement and professional development plan;
5. Equal opportunity compliance forms;
6. Salary and fringe benefits data; and
7. Any additional information that the faculty member wishes to place in this file that pertains to the faculty member's professional background or accomplishments.

It shall be the responsibility of the faculty member and the President's office to provide materials for items 2, and 4 listed above for the faculty member's file.

Kentucky Revised Statutes 61.878 has been amended to provide that any employee may inspect and copy any record relating to that employee. Thus, writers of judgments which will be included in appointment, promotion, and/or tenure decisions should not be given assurances of confidentiality.

Records relating to employment and performance including salaries and wages, evaluations, and dossiers are maintained in the President's office during active use, after which time they are to be

2.5 KCTCS Performance Review

2.5.1 KCTCS Performance Review

KCTCS has initiated a common process of annual performance, planning and evaluation for full-time KCTCS faculty and staff. The purpose of annual performance review is individual and institutional improvement.

A Performance, Planning and Evaluation Program Form is used to establish annual goals and report accomplishments. Categories utilized are:

- Position Responsibilities
- Internal/External Service
- Professional Development
- Leadership

The annual performance review cycle consists of:

June 30– Supervisor completes the Planning Stage by meeting with the faculty and staff to establish goals for the upcoming academic year.

December/January – Optional Mid year Progress Report/meeting conducted by the supervisor with the faculty and staff.

April 1 – Completion of annual Performance Evaluation by supervisor

2.5.2 Faculty Performance Review

As part of a continuing program of improvement and growth both in the instructional and non-instructional areas, KCTCS colleges utilize a periodic performance review for all faculty. Faculty are evaluated in the following areas: instruction, student guidance/advising activities, internal service – institutional service, external service – community service, professional development activities, and educational leadership. The KCTCS Performance, Planning, and Evaluation Program Form (PPEPF) and the KCTCS Distribution of Effort Agreement (DOEA), which may be used in conjunction with the PPEPF, completed by the chief academic officer, division chairperson, and the faculty member and the faculty member's own Academic Personnel Report are the basis for the evaluation. To serve this purpose, input from students, colleagues and administrators are to be used. In the assessment of teaching and advising, student appraisal is to be included for at least one (1) semester each year.

The purpose of performance review is individual and institutional improvement. To help in achieving this purpose, the performance review process will determine, for each faculty member, both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period in the areas as outlined in the individual's KCTCS PPEPF and/or DOEA.

2.5.2.1 Criteria for Evaluation of Faculty for Appointment and Promotion

The following areas of activity are important in the evaluation of faculty for appointment and promotion:

Instruction;

Student Guidance-Advising Activities;

Internal Service – Institutional Service;

External Service – Community Service;

Professional Development Activities; and

Educational Leadership.

Since all appointments and promotions will be made on the basis of merit, a detailed statement on each of these areas will serve as a guide to review committees evaluating the expectations and accomplishments of a faculty member.

2.5.2.1.1 Instruction

The primary function of a faculty member in a KCTCS college is to provide instruction of superior quality. Markedly superior teaching is recognized as a distinct value and must be used as evidence for appointment and promotion of faculty. Objective evidence of the quality of teaching must be obtained and considered. Such evidence should consist of reports by colleagues, evaluation by students, and, if available, evaluation by graduates of the KCTCS college. Evidence of superior teaching also can be demonstrated by competence in the following:

1. Course objectives should be clearly defined. The relationship to prerequisites and courses which follow should be well conceived, and the relationship of the course to the field of study in general should be articulated.
2. The organization of the course should be in the form of an outline and assignments which reflect a logical and imaginative approach to the subject.
3. The content should be kept up to date and should be consistent with the level at which the course is offered in the curriculum.

A faculty member should establish the proper level of instruction in the course. The capacity and background of the students are not irrelevant in this regard, but the objectives of the course and its usefulness in preparing students for more advanced work should not be compromised. The level of instruction should not

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

make undue concessions to the limitations of students, but should not be so advanced that by not being comprehended the course fails to fulfill its purpose.

4. The faculty member should be aware of and, where appropriate, use newer educational media in teaching, including e learning or “blended” instruction.
 5. The faculty member should teach in such a manner that the students work to the level of their abilities, i.e., enrichment of opportunity for students to achieve at significantly different levels.
 6. The faculty member should be skillful in evaluating student progress. The faculty member also should have the ability to devise and use valid instruments for evaluation which are pertinent to the learning experiences provided by the course.
 7. The faculty member should be effective in presentation and interpretation of subject matter. Effective techniques of instruction vary with individuals but certain standards of performance have general applicability.
 - a. The faculty member should be poised and always in command of one's self and one's classroom situation;
 - b. The faculty member's presentations should always be organized in a manner conducive to learning and should always reflect thorough preparation;
 - c. The faculty member's manner of presentation and substance of presentation should hold the attention and interest of students;
 - d. The faculty member should establish with the class a rapport that is conducive to sustained and enthusiastic pursuit of the subject;
 - e. The faculty member should gain the respect of students for knowledge of the subject and ability to communicate and stimulate interest in the subject; and
 - f. The faculty member should establish a reputation as a teacher who is fair and thorough in evaluation and as a person who is interested in the progress of students.
 8. The faculty member should carry an appropriate share of the total instructional load of a division or department in a KCTCS college and should contribute to the maintenance of a vigorous tone in the division's or department's instructional program.
 - a. There is a quantitative, as well as a qualitative, dimension to instruction. Consideration should be given to a person who teaches a variety of
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courses, or to the faculty member who can teach effectively a large number of students;

- b. The positive tone of an instructional program is obviously an intangible property. A poor tone, however, is easy to discern; disinterested students, lack of rapport between the faculty member and students, and casual presentations in class are some of the more apparent characteristics. A most telling indication of "tone" is an atmosphere in which the student feels that the instructor and the student are working together on the problem, as contrasted to an atmosphere in which there is a cold war tension between the two parties; and
- c. The faculty member should have the respect of colleagues as a teacher.

2.5.2.1.2 Student Guidance-Advising Activities

KCTCS colleges strive to project a student-centered image by emphasizing, as one of their functions, the comprehensive attempt to meet the needs of students who vary widely in academic potential and academic interest. Academic advising is probably a more important function in KCTCS colleges than in four-year institutions due to the heterogeneity of the student body, the variety and complexity of decisions which the students must make, and the need for developmental programs to prepare students for collegiate work.

- 1. Faculty members in KCTCS colleges must be concerned with the opportunities to serve as advisers to students. For effective contributions as a student adviser the faculty member should:
 - a. Demonstrate an interest in working with students as an adviser;
 - b. Demonstrate the ability to deal effectively with students in a one-to-one relationship;
 - c. Demonstrate a willingness to learn the fundamentals of advising responsibility;
 - d. Have the knowledge and ability to refer students to other resource persons in finding solutions to specific problems; and
 - e. Develop a rapport with students which causes them to seek counsel and advisement.
 - 2. Faculty members in KCTCS colleges have responsibility for extending the teacher-student relationship beyond the classroom in a way that is conducive to the maturing of the intellect and emotions of the student. This responsibility involves more than formal advising.
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2.5.2.1.3 Internal Service – Institutional Service

The demonstration and evaluation of institutional service of a faculty member shall be based upon evidence of effective participation in college activities appropriate to the growth and viability of the institution and educational programs therein. Activities include, but are not limited to, committee involvement, workshop facilitation, continuing education, development of new program proposals, program accreditation, recruitment and marketing, grant proposal preparation, and mentoring of new faculty.

2.5.2.1.4 External Service - Community Service

KCTCS colleges have responsibility for service across the broad spectrum of the community to meet those needs not met by formal degree programs. All faculty members in a KCTCS college share this responsibility, and it is recognized that while the specific roles and responsibilities of individual faculty members in this area will vary, community service will be reflected in the overall responsibility (as noted on the PPEPF and/or DOEA) and evaluation of a faculty member's contribution to the college.

Community service as extensions of the faculty member's role as a teacher in a KCTCS college might include planning or directing such activities as:

1. Serving on community boards, foundations, committees, commissions;
2. Workshop facilitation;
3. Continuing education or customized industry courses;
4. Forums and community meetings;
5. Delivering lectures or seminars;
6. Arranging fine arts events, cultural events and recreational events;
7. Professional assistance; and
8. Working with K-12 schools.

2.5.2.1.5 Professional Development Activities

The demonstration and evaluation of the professional activities and service of a faculty member shall be based upon evidence of: professional growth and development in areas of primary assignment.

2.5.2.1.6 Educational Leadership

The demonstration and evaluation of the educational leadership and service of a faculty member shall be based upon evidence of: effective participation in activities appropriate to the formation of educational policy and faculty organization, effective performance of administrative duties where applicable, and recognition of educational leadership.

2.5.2.2 Standard Evaluation Form

A standard Performance Review Rating Form will be used for reporting the faculty member's performance for the rating period. This form will include space for written evaluations of each area of the PPEPF and/or DOEA, will provide a legend explaining the descriptive rating categories for the overall performance evaluation, will provide space for an overall written evaluation and recommendations for improvement, and will provide spaces for the signatures of the faculty member, the division chairperson, the chief academic officer, and the applicable KCTCS college chief executive officer. Signed copies of the completed form will be made available to the faculty member, for the files of the division chairperson, the chief academic officer, and for the faculty member's personnel files which are maintained by the chief executive officer of the applicable KCTCS college and by the KCTCS Human Resources office.

2.5.2.2.1 Descriptive Performance Ratings

The following descriptive performance ratings will be used for a summary evaluation to recognize both outstanding and marginal performance as well as those appraised as degrees of good or satisfactory:

1. Made an Exceptional Contribution: (The individual made an exceptional contribution to the KCTCS college during the review period). This category is reserved for those few whose contributions have attained special recognition, or who have given an extraordinary effort, or have excelled due to personal effort, expertise, and sacrifice. (It is expected that few (if any) faculty at an institution will receive this rating);
 2. Made a Reasonable and Positive Contribution: (The individual made an overall reasonable and positive contribution to the KCTCS college during the review period); or
 3. Failed to Make a Reasonable Contribution: (The individual failed to make a contribution that would reasonably be expected of a faculty member during the review period, consistent with the PPEPF and/or DOEA). This category may be used when a faculty member's performance fails to contribute positively to the organization (e.g. failure to perform at a level consistent with one's rank and experience, failure to carry out a reasonable work load, or failure to exhibit a level of quality that meets standards deemed reasonable for the individual's position in
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the institution). (It is expected that few (if any) faculty at an institution will receive this rating).

Colleges may utilize alternative performance rating categories with prior approval of the KCTCS President.

2.5.2.2.2 Performance Evaluation Process

The practice of reaching agreement with each faculty member on the distribution of effort for the ensuing academic year will be completed by June 30 for the upcoming academic year in conducting the Planning Stage. The chief academic officer, with the advice of the division chairperson and faculty members of that unit, will recommend the distribution of the faculty effort and other resources among the major functions for the ensuing year, taking into account instructional needs, indicated enrollment trends, potential resources available, and any other relevant indicators. This recommendation on distribution of effort for each division will be forwarded to and discussed with the applicable college chief executive officer, and agreement reached on distribution of effort within the college or division or department. In any case of disagreement that is not readily resolved, the decision of the applicable college chief executive officer will be final. Following these discussions, the chief academic officer and/or division chairperson will formalize with each faculty member an agreement on the distribution of effort expected of each faculty member in each major function for the upcoming academic year.

Information assembled in the process of evaluating each faculty member should be utilized by the chief academic officer, division chairperson or department head or the applicable college chief executive officer in assisting the faculty member in a program of self-improvement in relation to the faculty member's anticipated responsibilities for the forthcoming year. After the completion of the performance review process, the chief academic officer (and other faculty or staff members) may also be involved in assisting the faculty member in a program of self-improvement.

The standard form will provide opportunity for a written evaluation of performance in each active area of the PPEPF and /or DOEA. Possible active areas are:

Instruction;

Student Guidance and Advising Activities;

Internal Service – Institutional Service;

External Service - Community Service;

Professional Development Activities; and

Educational Leadership.

Written evaluations are required in any active area where performance is judged to be either 1) exceptional or 2) less than expected. Written judgments should be explicit in delineating outcomes (performance) which indicate that the performance of the individual faculty member is exceptional or less than expected. Written evaluations are encouraged, but optional, in any active area where performance matches expectations.

2.5.2.2.3 Overall Written Evaluation and Recommendations for Improvement

The standard form will provide a space for a written overall evaluation of performance and recommendations for improvement. A written overall evaluation is required.

Recommendations for improvement are required if performance in any active area of the PPEPF and/or DOEA has been judged as less than expected. In this situation, specific activities which would help the faculty member improve performance should be listed.

2.5.2.3 College CEO's Role

The CEO of each of the KCTCS colleges is responsible for the communication of the procedures to be used in the performance review to the faculty members of the applicable KCTCS college, prior to the beginning of each review process. The evaluation instruments or forms to be used by each KCTCS college will be developed by the college CEO, involving consultation with the appropriate faculty. The college CEO shall provide the KCTCS Human Resources Office with a copy of all local instruments, forms and instructions to be used in the evaluation process on or before October 20.

The college CEO shall review and finalize performance evaluations recommended by the chief academic officer of the applicable KCTCS college. Where there are differences, a conference will then be held between the college CEO and the chief academic officer to discuss the rating of each individual and to attempt to resolve any differences in judgment. There will be only one (1) official rating, that being assigned by the college CEO.

2.5.2.4 Chief Academic Officer's Role

The chief academic officer in conjunction with the division chairperson, using the various inputs described above, evaluates each faculty member in the division using the Performance, Planning, and Evaluation form. In the overall performance rating process, the chief academic officer in conjunction with the division chairperson (and the applicable college CEO) selects the evaluation category which best describes the judgment about the faculty member's overall performance. While relative weighting among any and all of the activities of a faculty member will be based on the PPEPF and/or DOEA, the determination of an overall judgment of performance will not be mathematically based on weighting of PPEPF and/or DOEA categories or numerical ratings. Rather, a summative judgment is made taking into consideration the PPEPF and/or DOEA and expectations, unique opportunities pursued, quantity and quality of efforts

made, and significance of the faculty member's overall contribution to meeting the goals of the division or department and the KCTCS college.

The chief academic officer will recommend an evaluation category to the college CEO. The chief academic officer or division chairperson will meet with each individual faculty member in the division or department. This meeting will focus on the faculty member's performance in the effort reflected in the PPEPF and/or DOEA for the review period. The chief academic officer or division chairperson will discuss the various inputs used, the written evaluations of the individual areas of the PPEPF and/or DOEA, the overall performance review rating, and any appropriate recommendations on how to improve performance in areas needing improvement. The official rating will be communicated to the faculty member by the chief academic officer or division chairperson during this meeting.

2.5.2.5 Division Chairperson's Role

The division chairperson, using the various inputs described above, makes a recommendation to the chief academic affairs officer on the evaluation of each faculty member in the division using the Performance, Planning, and Evaluation form. In the overall performance rating process, the division chairperson and the chief academic officer (and the applicable college CEO) select the evaluation category which best describes the judgment about the faculty member's overall performance. While relative weighting among any and all of the activities of a faculty member will be based on the PPEPF and/or DOEA, the determination of an overall judgment of performance will not be mathematically based on weighting of PPEPF and/or DOEA categories or numerical ratings. Rather, a summative judgment is made taking into consideration the PPEPF and/or DOEA and expectations, unique opportunities pursued, quantity and quality of efforts made, and significance of the faculty member's overall contribution to meeting the goals of the division or department and the KCTCS college.

The chief academic officer will recommend an evaluation category to the college CEO. The chief academic officer or division chairperson will meet with each individual faculty member in the division or department. This meeting will focus on the faculty member's performance in the effort reflected in the PPEPF and/or DOEA for the review period. The chief academic officer or division chairperson will discuss the various inputs used, the written evaluations of the individual areas of the PPEPF and/or DOEA, the overall performance review rating, and any appropriate recommendations on how to improve performance in areas needing improvement. The official rating will be communicated to the faculty member by the chief academic officer or division chairperson during this meeting.

2.5.2.6 Biennial Ratings

The performance of non-tenured faculty will be reviewed annually. At the discretion of the college CEO, tenured faculty members reviewed and rated in the category entitled "Made a Reasonable and Positive Contribution" may have the rating during the first year of the biennium apply for the biennium. If a tenured faculty member receives the top rating, this faculty member has the option of carrying forward the middle rating or being reviewed annually. If a tenured faculty member receives the bottom rating, this faculty member will be reviewed during the next

performance review period. Any tenured faculty member, upon request, shall be granted an annual review.

2.5.2.7 Appeals

The faculty member will be provided opportunities for appeal at both the individual KCTCS college and the KCTCS System levels. After consultation with appropriate faculty members, each college CEO will annually appoint a Faculty Performance Review Appeals Committee to hear appeals made by a faculty member, who, after a conference with the applicable college CEO, remains in disagreement with the rating received. After an appropriate hearing, the Faculty Performance Review Appeals Committee will make a recommendation to the college CEO, and the college CEO will accept or reject the recommendation of the Faculty Performance Review Appeals Committee and advise the faculty member of the decision. If the faculty member remains in disagreement with the decision, the faculty member may appeal to the Chancellor for a hearing before a Faculty Performance Review Committee appointed by the Chancellor. The Faculty Performance Review Committee will meet in a central location to hear the appellant, the college CEO, and the applicable division chairperson and/or chief academic officer. The Faculty Performance Review Committee will make a recommendation to the Chancellor. The Chancellor will accept or reject the recommendation of the Faculty Performance Review Committee, and advise the faculty member and the college CEO of the decision. The Board of Regents for the Kentucky Community and Technical College System has established a personnel dispute resolution system that results, in the final stage, in an independent third party appeal for all employees of the Kentucky Community and Technical College System, where applicable.

2.5.2.8 Schedule

The schedule (subject to change) for the review and evaluation process is:

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|--------------------------|---|
| On or before June 30: | Supervisor completes the performance evaluation planning stage the upcoming academic year, including a meeting with the employee. |
| On or before October 20: | A copy of all local evaluation instruments, forms, and instructions submitted to the KCTCS Human Resources Office; |
| On or before April 1: | Review completed by college and faculty members informed of results; |
| On or before April 16: | Deadline for individual faculty appeals to College President; |
| On or before May 1: | Appeals to the College President completed; |
| On or before May 16: | Deadline for faculty appeals to the Chancellor; and |
| On or before May 31: | Appeals to the Chancellor completed. |
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2.5.2.9 Input/Outcome

Input from students, colleagues, administrators, and other such sources as are pertinent to the academic unit are to be used. If letters or written comments are submitted by colleagues, these documents must be signed by the individual(s) providing the information. In the assessment of teaching and advising, student appraisal is to be included for at least one (1) semester each year.

The quantitative data are to be provided at least once annually by the faculty member to the division chairperson/chief academic officer through the Academic Personnel Report, which shall cover activities, functions, and time; and thus reports the distribution of effort, or through a substitute instrument approved by the Chancellor.

The outcome of this process is both a comprehensive review of the performance of the individual faculty member and a plan of action for any needed improvements. At the end of the formal performance review process the faculty member should have a good understanding of strengths and weaknesses in the areas of responsibility and of specific actions to take to make needed improvements.

2.5.2.9.1 Innovation and Experimentation

In those instances when the pedagogical techniques employed are planned and documented, and are clearly innovative and exploratory in nature, and when the effort of the faculty member is an initial one of experimentation, the impact of any negative student evaluation of teaching will be minimized. In addition, other indications of effort to improve instruction, such as suitable uses of technology, self-examination, and innovative and experimental approaches will be recognized.

2.5.2.9.2 Scholarship and Creative Work

Scholarship and creative work appropriate to the various fields are to be recognized in performance review.

2.5.2.9.3 Teamwork and Collaboration

Teamwork and collaboration appropriate to the various fields (such as interdisciplinary courses, Continuing Education/Community Service offerings, professional development, and so forth) are to be recognized in performance review.

2.5.2.10 English Language Assessment

In accordance with KRS 164.297(C) enacted by the 1992 General Assembly, each college shall institute English language proficiency assessment for all faculty members, including teaching assistants, for whom English is not their primary language, except for the teaching of foreign language courses. The instructors shall be evaluated periodically to demonstrate their ability to deliver all lectures and oral presentations in an English speech pattern which the students

understand. If a faculty member receives an unsatisfactory evaluation, the faculty member shall have one (1) semester to demonstrate the faculty member's ability. If a second unsatisfactory evaluation is received, the faculty member's contract shall be terminated.

2.5.2.11 Librarian Evaluation

Professional Librarians are evaluated under the same criteria as other ranked faculty as set forth in Section 2.5, as applicable. KCTCS colleges recognize that excellence in job performance is one of the most important attributes of a professional Librarian. The attributes and qualifications to be considered and documented in assessing job effectiveness must be related to the appropriate position and classification, and should include, but not necessarily be limited to, the following:

1. Assist with the planning, organization, and evaluation of library and information services;
2. Offer quality library and information services;
3. Instruct library users to access and evaluate information;
4. Remain informed on current trends for library and information services;
5. Participate in professional organizations and professional development opportunities;
6. Serve on assigned college and KCTCS committees; and
7. Meet professional standards and ethics that are in accordance with state regulatory statutes and/or the American Library Association (ALA) standards.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>11-13-02</u> Date(s) of Last Review	<u>11-13-02</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	11-13-02	(SIGNED) 11-13-02
Recommended by	Date	President, KCTCS Date

2.6 Promotion in Rank

2.6.1 Promotion in Rank–Community Colleges

The Community College Branch and its program can be no greater than the quality and performance of its faculty members. The following procedures and criteria offer minimum standards and requirements that should be exceeded in most, if not all, cases. These have been developed solely for the purpose of improving the comprehensive community college program by continually upgrading the quality and performance of faculty members.

In conducting procedures for appointment, promotion, granting of tenure, and termination of appointment affecting faculty members not assigned to a division, the appropriate Dean shall handle those procedural steps which are assigned to a Division Chairperson.

The President of the applicable community college, after consultation with the appropriate Division Chairperson, is responsible for initiating the promotion process by inviting a faculty member to prepare a vita and appropriate supporting materials. With the assistance of the faculty member and the Division Chairperson, the President of the applicable community college is responsible for gathering documentary materials and submitting the promotion file.

The President of the applicable community college has the responsibility for ensuring that each promotion file is complete and contains the advice of the appropriate Division Chairperson, and also the individual written opinions of the tenured faculty members of the appropriate Division. The applicable Community College President also has the responsibility, along with the Division Chairperson, for ensuring that the Community College President's recommendation includes remarks, if applicable, that one (1) or more of the letters of recommendation in a promotion file may be affected by personal bias. Each President of an applicable community college shall appoint a College Advisory Committee on Appointment, Promotion, and Tenure to review and advise on some or all recommendations to appoint or promote.

The Presidents of the Community Colleges are delegated authority to make appointments, reappointments, and terminal reappointments to the ranks of Instructor and Assistant Professor without reference to the College Advisory Committee on Appointment, Promotion, and Tenure. These actions are reported by the applicable Community College President to the Chancellor of the Community Colleges.

Recommendations for appointment to the ranks of Associate Professor and Professor, with or without tenure, must be forwarded to the Chancellor of the Community Colleges.

The Community College Advisory Committee on Appointment, Promotion, and Tenure will make its recommendation to the Chancellor of the Community Colleges who will add a recommendation and forward the complete file to the Kentucky Community and Technical College System President. The positive recommendation by the Kentucky Community and Technical College System President will be given final action by the Board of Regents. Whenever a promotion is disapproved and stopped by the Community College President, the Chancellor of the Community Colleges, or the Kentucky Community and Technical College

President, the faculty member will be informed by the President of the applicable community college of the action taken. The Community College President will, if requested, meet with the faculty member to discuss, informally, the considerations involved. The Division Chairperson may be included in such a discussion at the request of either the Community College President or the faculty member.

2.6.1.1 Promotion from Associate Professor to Professor–Community Colleges

After review by the local College Advisory Committee on Appointment, Promotion, and Tenure, the President of the applicable community college will make a recommendation, either affirmative or negative, in writing to the Chancellor of the Community Colleges on or before January 1. Faculty members who voluntarily choose not to have a promotion file reviewed by the Community College Advisory Committee on Appointment, Promotion, and Tenure should address a letter to the Chancellor of the Community Colleges stating their position and submit it as explanation with the Community College President's recommendation.

Individuals who have a negative recommendation from the Community College President, will be notified by the Chancellor of the Community Colleges of that recommendation and be given the opportunity to submit a promotion file directly to the Community College Advisory Committee on Appointment, Promotion, and Tenure. Those individuals who choose not to have their files reviewed by the Community College Advisory Committee on Appointment, Promotion, and Tenure thereby establish a new six (6) year period beginning July 1, of the year in which the choice is made.

Individuals for whom an affirmative recommendation is made by the Community College President and those who choose to have their file reviewed, even though there is a negative recommendation by the Community College President, will be considered for promotion in the usual manner.

Individuals being considered for promotion to either Associate Professor/Librarian II or Professor/Librarian I are expected to complete a promotion review notebook. The recommendations by the local college Advisory Committee on Appointment, Promotion, and Tenure on all promotions should be signed by all members of the committee and the vote of the committee given.

2.6.1.2 Promotion from Assistant Professor to Associate Professor or Professor–Community Colleges

Proposals for promotion to Associate Professor will follow the process described in Section 2.6. In each case, the President of the applicable community college will either approve the proposal and forward an affirmative recommendation to the Chancellor of the Community Colleges, or disapprove and stop the proposal and then inform the faculty member in writing and also notify the appropriate Division Chairperson. If the Chancellor of the Community Colleges receives the

promotion file containing the President's recommendation, the Chancellor of the Community Colleges will obtain a related recommendation from the Community College Advisory Committee on Appointment, Promotion, and Tenure and then will either approve the proposal and forward an affirmative recommendation to the President of the Kentucky Community and Technical College System, or disapprove and stop the proposal and notify the President of the applicable community college. If the President of the Kentucky Community and Technical College System receives the Chancellor's recommendation, the President of the Kentucky Community and Technical College System will either approve the proposal for promotion and make an affirmative recommendation to the Board of Regents for final action, or disapprove and stop the proposal and inform the Chancellor of the Community Colleges who, in turn, will notify the President of the applicable community college of such action. In a case where the Board of Regents takes final action, the President of the Kentucky Community and Technical College System, through the Chancellor of the Community Colleges, will inform the President of the applicable community college about the Board's action. The President of the applicable community college, in turn, will notify the faculty member in writing and also inform the appropriate Division Chairperson.

2.6.1.3 Promotion from Instructor to Assistant Professor–Community Colleges

An individual shall not remain as an Instructor in the Community Colleges for more than three (3) years. If after that period promotion to a higher rank cannot be justified, the individual's appointment at the Community Colleges shall not be renewed.

The President of the applicable community college has been delegated authority to approve or disapprove promotions from Instructor to Assistant Professor. An approved action will be communicated through the Chancellor of the Community Colleges to the President of the Kentucky Community and Technical College System who will report it to the Board of Regents of the Kentucky Community and Technical College System. In case of disapproval of such a promotion, the President of the college will inform the faculty member in writing and also notify the Division Chairperson.

2.6.1.4 Failure to Support Administrative Action for Promotion–Community Colleges

Whenever a recommendation to promote is disapproved by either the Chancellor of the Community Colleges or the President of the Kentucky Community and Technical College System, this fact must be reported back to the President of the applicable community college with supporting reasons, and an opportunity provided for a thorough discussion among the concerned parties. The President of the applicable community college will initiate the discussion with the faculty member; the appropriate Division Chairperson may be included in such a discussion at the request of the President of the applicable community college or the faculty member. Any related appeals through administrative channels and/or the Community Colleges Senate Advisory Committee on Privilege and Tenure must be initiated in writing by the faculty

member within 60 days after being notified in writing by the President of the applicable community college of the disapproval of a recommendation to promote. (See Section 2.16)

2.6.2 Promotion in Rank – Technical College Process

Note: Criteria for promotion in rank for technical college faculty may be found in administrative policy 2.1, section 2.1.2.1.

1. **By October 1, a Notice of Intent to Apply for Promotion must be submitted to the college CEO.**

 2. **College Peer Review Committee (CPR): *Membership*** to the CPR committee should consist of at least seven technical college faculty members. The faculty senate will select four members by a ballot vote of the full-faculty. The technical college CEO will select three members. Members selected by faculty vote must comprise a balance within the academic and occupational areas of the technical college, and have no direct responsibility in faculty performance evaluations. All members must hold a minimum rank of Assistant Professor with a minimum of five years teaching experience. The local Executive Council may approve exceptions to the qualifications for CPR membership. The member receiving the most votes in the faculty selection and one member selected by the technical college CEO will serve three-year terms. All other members will be elected for two-year terms beginning in the Fall. Uncompleted terms of elected members will be filled by the faculty senate and be for the period of the original term. An uncompleted term of an appointed member will be filled by the technical college CEO and be for the period of the original term. Members can serve for a maximum of two consecutive terms only.

 3. ***Participation*** on each CPR committee will require at least five of the seven members. A chair will be selected by a majority vote of the selected committee annually.

 4. ***Criteria for evaluation*** of the promotion application package will be taken from the approved Guidelines for Credentials and Promotion. A portfolio criteria checklist/worksheet will be used to assure uniformity among evaluators. The CPR committee members will rate the promotion portfolio; the committee chair will submit the committee's recommendation to the technical college CEO.

 5. ***Promotion from Instructor to Assistant Professor:***
 - The CPR committee shall review the submitted portfolio.
 - The CPR Chair shall send the committee recommendation (a memorandum stating the recommendation and the reason(s) for such) with the portfolio to the technical college CEO. [All worksheets are to be shredded.]
 - The technical college CEO is delegated the authority to approve or disapprove promotions from Instructor to Assistant Professor. The technical college CEO shall prepare a letter that includes comments on the contents of the promotion portfolio, action taken by the CPR committee, and the CEO action.
-

- An approved action by the technical college CEO will be communicated through the Chancellor for the Technical Colleges to the President of KCTCS, who will report it to the KCTCS Board of Regents.
- In the case of disapproval, the technical college CEO will inform the faculty member in writing and also notify the Division Chairperson.
- If the technical college CEO denies the promotion, the faculty member may appeal to the Promotion Appeal Committee (PAC, a system subcommittee of the Technical College Senate) within fifteen (15) working days of receipt of the written notification of disapproval from the technical college CEO.

Promotion from Assistant Professor to Associate Professor/Associate Professor to Professor:

- The CPR committee shall review the submitted portfolio.
 - The CPR Chair shall send the committee recommendation (a memorandum stating the recommendation and the reason(s) for such) with the portfolio to the technical college CEO. [All worksheets are to be shredded.]
 - The technical college CEO shall prepare a letter that includes comments on the contents of the promotion portfolio, action taken by the CPR committee, and the CEO recommendation, forwarded to the Chancellors' Office.
 - The technical college CEO will either approve the proposal and forward an affirmative recommendation to the Chancellor for the Technical Colleges or disapprove and stop the proposal and then inform the faculty member in writing and also notify the appropriate division chair with a copy to the Chancellors' Office.
 - Individuals who have a negative recommendation made by the technical college CEO will be notified by the Chancellor of the Technical Colleges and be given the opportunity to submit the promotion portfolio directly to the Technical College System Peer Review Committee (SPR) for consideration for promotion in the usual manner.
 - Upon receipt of the Chancellor's letter, the candidate notifies the Chancellor's office in writing if he/she wishes to submit the portfolio to the SPR.
 - The Chancellor's Office notifies the local CEO to send the portfolio (which has been in the CEO's keeping) forward.
 - No additional materials may be added to the portfolio at this stage.
 - The SPR (a system subcommittee of the Technical College Senate), convened by the Chancellor upon receipt of the technical college CEO's recommendation and the portfolio, will make its recommendation (a memorandum stating the recommendation and the reason(s) for such) to the Chancellor of the Technical Colleges, who will add a recommendation and forward the complete file to the KCTCS President. The positive recommendation by the KCTCS President will be given final action by the KCTCS Board of Regents. [All SPR worksheets are to be shredded.]
 - The Chancellor communicates the decision to the local CEO who notifies the candidate in writing of the decision to promote or the disapproval to promote and reason(s) for such.
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- When a recommendation to promote is disapproved by either the Chancellor for the Technical Colleges or the President of KCTCS, this fact must be reported back to the technical college CEO with supporting reasons and an opportunity provided for thorough discussion between the concerned parties. The technical college CEO will initiate the discussion with the faculty member; the appropriate division chair may be included in such a discussion at the request of the CEO or the faculty member.
- Any related appeals through the Promotion Appeals Committee (PAC, a system subcommittee of the Technical College Senate) must be initiated in writing by the faculty member within fifteen (15) working days after being notified in writing by the technical college CEO of the disapproval of a recommendation to promote.

*All recommendation memorandum/letters must accompany application throughout the promotion or appeal process locally and to the system level.

6. A **confidentiality statement** must be read and signed by each committee member.

7. **Timelines –Standard Promotion Process for Assistant, Associate Professor, Professor: (Dates subject to annually)**

- Annual Performance Reviews for Promotion Candidates – January 3 – February 7, 2002.
- Deadline for submitting promotion folders to CPR – on or before February 8, 2002.
- Deadline for CPR to forward to technical college CEO – on or before March 5, 2002.
- Deadline for technical college CEO to forward to Chancellor – on or before March 15, 2002.
- SPR Committee meets April 11 (Associate Professor).
- SPR Committee meets April 12 (Professor).
- Appeal Timeline: Once written notice of a disapproval is received, a faculty member has 15 working days to appeal the decision.

Note: If any deadlines required in the process are not met, this can constitute grounds for appeal.

8. **Appeal Process:**

The technical college faculty member may submit a letter of appeal to the technical college CEO (See Attachment F). No additional materials may be added at this stage. The college CEO adds a letter stating the process/procedure utilized and forwards the appeal (with a copy to the faculty member) to the Chancellor for the Technical Colleges for the PAC. The PAC has thirty working days from the Chair's receipt of the materials to submit a recommendation to the Chancellor's office.

Note: A candidate who is ultimately denied promotion in rank in a given year may apply in the next cycle or when qualified to do so.

9. **System Committees:**

The **Technical College System Peer Review Committee (SPR)** shall consist of seven members (five regular members and two alternates). Each technical college shall nominate two Senators for this committee, submitting the names to the Executive Council

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of the Technical College Senate, which makes a committee recommendation to the Chancellor. The KCTCS President shall appoint the committee and the committee chair after consultation with the Technical College Executive Council. Four members of the SPR shall serve two-year terms and three shall be appointed for a one-year term in the first cycle. Thereafter, all members will serve two-year staggered terms. A vacancy for an unexpired term shall be filled in the same manner.

The **Technical College System Promotion Appeals Committee (PAC)** shall consist of seven members (five regular members and two alternates). Each technical college shall nominate one Senator for this committee, submitting the names to the Executive Council of the Technical College Senate, which makes a committee recommendation to the Chancellor. The KCTCS President shall appoint the committee and the committee chair after consultation with the Technical College Executive Council. Four members of the PAC shall serve two-year terms and three shall be appointed for a one-year term in the first cycle. Thereafter, all members will serve two-year staggered terms. A vacancy for an unexpired term shall be filled in the same manner.

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(SIGNED)	5-15-02	(SIGNED) 5-15-02
_____ Recommended by	_____ Date	_____ President, KCTCS _____ Date

2.6.3 KCTCS Rank and Promotion Guidelines for Contract Faculty

2.6.3.1 Definition

Contract faculty are those full-time teaching faculty offered non-tenured contracts for specific contract terms as specified in administrative policy 2.2.1.2.1.

2.6.3.2 Process

Whereas a series of employment contracts may be offered at the discretion of the local chief administrative officer over a long-term association with KCTCS, contract faculty may be awarded promotion in rank for assistant professor, associate professor (without tenure), and professor (without tenure) according to the following process:

1. A *Notice of Intent to Apply for Promotion* must be submitted to the college CEO or the faculty member must be invited to apply for promotion according to existing promotion procedures.
 2. A promotion portfolio, which meets established promotion criteria, is to be submitted to the college faculty promotion peer committee utilizing existing procedures by the annual specified date.
 3. The existing college faculty promotion peer committee will evaluate the promotion portfolio; the committee chair will submit the committee's recommendation to the college CEO by the annual specified date.
 4. The college CEO is delegated the authority to approve or disapprove promotions for contract faculty from Instructor to Assistant Professor, Assistant Professor to Associate Professor, and Associate Professor to Professor. The college CEO shall prepare a letter that includes comments on the quality of the promotion portfolio, action taken by the college faculty promotion peer committee, and the CEO action.
 - An approved action by the college CEO will be communicated through the Chancellors to the President of KCTCS, who will report it to the KCTCS Board of Regents.
 - In the case of disapproval, the college CEO will inform the faculty member in writing and also notify the Division Chairperson.
 - If the college CEO denies the promotion, the faculty member may appeal to the system promotion appeals committee upon receipt of the written notification of disapproval from the college CEO, utilizing existing appeal timelines and processes.
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2.8 Resignation (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

In the event that you voluntarily leave the employment of KCTCS, certain procedures and courtesies must be observed. Written notice of resignation should be given early enough to obviate serious inconvenience to KCTCS. To leave "in good standing", you must give advance notice of two weeks if you are a nonexempt employee and one month if you are an exempt/non-faculty employee. Faculty members must provide one month notice of resignation before the end of duties during an academic year or one month after receiving notification of terms of appointment for the coming year, whichever date occurs later. However, the faculty member may properly request a waiver of this requirement in the case you must leave "in good standing" to be eligible for future employment with KCTCS of hardship or in a case where professional advancement would otherwise be denied.

A. Exit Interviews (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

When you leave employment, KCTCS would like to conduct an exit interview to discuss your reasons for leaving and any other impressions that you may have about KCTCS. During the exit interview, you can provide insights into areas for improvement that KCTCS can make. Every attempt will be made to keep all information confidential.

B. Return of KCTCS Property (All Employees)

Any KCTCS property issued to you, such as office or computer equipment, keys, parking passes or credit cards must be returned to KCTCS at the time of your termination. You will be responsible for any lost or damaged items. The value of any property issued and not returned may be deducted from your paycheck, and you may be required to sign a wage deduction authorization form for this purpose.

6-22-98		
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>

(SIGNED)	6-22-98	(SIGNED)	6-22-98
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Recommended by	Date	President, KCTCS	Date
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2.10 Faculty and Staff Tuition Waivers

Kentucky Community and Technical College System encourages self-improvement and career growth of regular, full-time employees, both faculty and staff, through the taking of supplemental educational courses and pursuing programs of study. These efforts may be to pursue a degree or for purposes of continuing professional education.

To facilitate career growth and to encourage personal and professional development of employees, the Kentucky Community and Technical College System will defray the tuition at a Kentucky public postsecondary institution for regular, full-time faculty and staff employees, and in state and locally operated secondary area technology centers. (See Attachment A-Council on Postsecondary Education Faculty and Staff Tuition Waiver Policy effective May 22,2000.)

1. A regular, full-time employee is eligible for tuition defrayal for courses taken at any postsecondary public institutions.
 2. For eligible employees, the maximum number of credit hours for which the tuition will be defrayed shall be no more than six (6) per term.
 - a. Tuition defrayal is available for all courses for which the employee is eligible to register.
 - b. Tuition defrayal is not available for audited, non-credit, continuing education, or community education courses.
 - c. If an employee registers for more hours than the maximum (6 per term) for which the tuition will be defrayed, the excess tuition shall be paid by the employee.
 3. The combination of summer sessions is considered as one term. Therefore, the total amount of tuition which may be defrayed shall not exceed the normal registration fee for six (6) hours of credit.
 4. Fees other than tuition (e.g., breakage fees, books, etc.) shall not be defrayed by the Kentucky Community and Technical College System.
 5. Employees utilizing this policy and who are part-time students shall not be eligible for the Student Health Service or other programs requiring student status but rather shall retain employee status for purposes of all such determinations.
 6. In the event an employee terminates employment with the Kentucky Community and Technical College System prior to the first day of classes, any previously approved tuition defrayal shall not be honored.
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7. Employees utilizing this policy shall be permitted, with their supervisor's or department head's and the institution's CEO approval, to take one (1) course for credit per term or combined summer session during the employee's normal working hours. All time away from work as a result of this policy should be made up within that regular workweek, resulting in no net loss of work time for which the employee is paid. As determined by the CEO, faculty may take up to two (2) courses as a part of their summer workload. If this is approved as a part of the summer workload, appropriate release time will be granted and the hours away from work do not have to be made up. Scheduling of classes and make up time should be approved in advance by the employee's supervisor or department head and the institution's president.

2.10.1 Dependent/Spouse Tuition Waiver (Employees under the KCTCS Personnel System)

Regular-status, full-time faculty and staff in the KCTCS personnel system are eligible for a tuition waiver for their spouse and dependent children. The following guidelines are applicable:

1. For eligible spouse/dependents, the tuition waiver is for classes taken at KCTCS colleges.
 2. The tuition waiver is for a maximum of three (3) credit hours per academic term (fall, spring, and summer).
 - a. Tuition waiver is available for all courses for which the employee is eligible to register.
 - b. Tuition waiver is not available for audited, non-credit, continuing education, or community education courses.
 - c. If a dependent/spouse registers for more hours than the maximum (3 hours per term) for which the tuition will be waived, the excess tuition shall be paid by the student.
 - d. Only a maximum of three (3) credit hours per term may be waived for a spouse/dependent student, regardless if the student has multiple qualifying relationships with more than one KCTCS employee.
 3. The dependent child must be age 23 or less, as defined by federal financial aid guidelines.
 4. The combination of summer sessions is considered as one term. Therefore, the total amount of tuition which may be waived shall not exceed the normal registration fee for three (3) hours of credit.
 5. Fees other than tuition (e.g., breakage fees, books, etc.) shall not be waived by the Kentucky Community and Technical College System.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

6. In the event that an employee terminates employment with the Kentucky Community and Technical College System prior to the first day of classes of a term for the dependent/spouse, any previously approved tuition waiver shall not be honored for the subsequent term.

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(SIGNED)	9-18-02	(SIGNED)	9-18-02
<u>Recommended by</u>	<u>Date</u>	<u>President, KCTCS</u>	<u>Date</u>

KCTCS ADMINISTRATIVE POLICY 2.10.1, ATTACHMENT A
(Kentucky Council on Postsecondary Education Policy)

2:51: FACULTY AND STAFF TUITION WAIVER PROGRAM POLICY

I. Statement of Purpose

The 1997 First Extraordinary Session of the General Assembly resulted in the creation of a faculty and staff tuition waiver program [KRS 164.020(32)] with the express purpose of promoting employee and faculty development. Specific responsibility was granted to the Council on Postsecondary Education to develop and implement this program. Consistent with stated legislative purpose, this policy sets out the parameters of this program, which is intended to enhance the professional development opportunities of the faculty and staff of the public postsecondary institutions and of state or locally operated secondary area technology centers.

II. Statutory Authority

KRS 164.020(32) provides that the Council on Postsecondary Education shall:

(32) Develop a statewide policy to promote employee and faculty development in all postsecondary institutions and in state and locally operated secondary area technology centers through the waiver of tuition for college credit coursework in the public postsecondary education system.

Any regular full-time employee of a postsecondary public institution or a state or locally operated secondary area technology center may, with prior administrative approval of the course offering institution, take a maximum of six (6) credit hours per term at any public postsecondary institution. The institution shall waive the tuition up to a maximum of six (6) credit hours per term; . . .

Additional requirements for employees of the Kentucky Community and Technical College System are stated in KRS 164.5807:

(6) A regular full-time employee may, with prior administrative approval, take one (1) course per semester or combination of summer sessions on the University of Kentucky's campus or at a community college during the employee's normal working hours. The University of Kentucky shall defray the registration fee up to a maximum of six (6) credit hours per semester or combination of summer sessions.

Section A. Definitions

1. "Course-offering institution" means the institution where an employee has enrolled to take a college credit course under the provisions of this policy.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

2. “Employing institution” means the institution or a state or locally operated secondary area technology center where an employee seeking a benefit under this policy works on a full-time basis.
3. “Institution” means a state-supported postsecondary institution as described in KRS 164.001(10).

**2.10.1.1 KCTCS Sponsored Employee Development
(Technical College Employees Hired on/or after
July 1, 1998; Community College and System
Employees Hired on/or after January 14, 1998)**

To strengthen its ability to serve students, employers and communities KCTCS may encourage or require employees to take additional course work or seminar training. If the course planned is determined by the College President or designee to be clearly job related, and available only during regular working hours, KCTCS will make every reasonable effort to grant appropriate release time with pay.

6-22-98

Date Approved by
President, KCTCS

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

2.11 Work Load

Faculty work load shall be assigned in an equitable manner within campus locations, according to KCTCS Policy 2.11.1.

Faculty work includes instruction, student guidance-advising activities, internal service-institutional service, external service-community service, professional development activities, and educational leadership. Faculty work may be performed in many locations and is not defined by time spent on campus or school premises.

Each academic year, faculty supervisors will develop in consultation with each faculty member a written plan of responsibilities and assignments. This plan will be used in the faculty performance reviews.

Faculty may be asked to assume overload assignments for additional compensation at rates approved by the college president. A faculty member may decline an overload assignment without prejudice to his/her record with KCTCS.

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Recommended by	Date	President, KCTCS Date

2.11.1 Work Load KCTCS Colleges

The Division Chairperson, with the approval of the chief executive officer of the applicable KCTCS college, will develop with the faculty member a written statement of responsibilities and assignments including institutional service. Distributions of effort or assignments within the broad areas of responsibility will vary with both faculty members and divisions and the requirements of specific programs and disciplines. The normal teaching load for faculty members in the KCTCS colleges is a combination of credit and contact hours - fifteen (15) credit hours per semester or equivalent for the academic year, fall and spring semesters. The maximum number of contact hours per week for a full-time occupational/technical instructor shall be determined by the chief executive officer but shall not exceed thirty (30).

2.11.1.1 Teaching Duties

In classes dependent upon faculty teaching laboratories and clinicals involving extensive contact hours, a commensurate adjustment in teaching load will be made. Consideration should be given to a person who teaches a variety of courses, or to the faculty member who can teach effectively a large number of students. Faculty members are expected to maintain regular office hours for consultation with students and are encouraged to take an active role in college and community life through work with committees and civic groups.

2.11.1.2 Non-Teaching Duties

Occasional circumstances may require that a faculty member take on an assignment beyond the scope of the individual's normal college responsibilities. In such cases, an approved fee schedule or appropriate per diem compensation is used. Prior administrative approval of an internal overload assignment is required.

2.11.1.3 Faculty Consulting and Other Overload Employment Outside the KCTCS Colleges

2.11.1.3.1 KCTCS Colleges

KCTCS has an obligation to encourage its faculty to assist in the transfer of knowledge from the KCTCS colleges into the general community. It recognizes that the effectiveness of its academic programs can be enriched by appropriate faculty involvement with the realities of social, economic, and technologic activities outside the colleges. Faculty members are uniquely qualified to assist in meeting a variety of societal needs by way of limited consulting activity. Personal participation in professionally relevant consulting activities should enhance a faculty member's competence as a teacher and a researcher.

With appropriate prior administrative approval, a faculty member employed on a full-time basis may render professional consulting services in the public interest to an individual association, governmental agency, business, or others. Such consulting activities, whether compensated or not, should not interfere with the fundamental responsibility of a faculty member to meet

regularly assigned duties and obligations to teaching and research, including being regularly available to students and colleagues, which are normally expected of a full-time faculty member and for which the faculty member receives compensation from the Kentucky Community and Technical College System. The chief executive officer of a KCTCS college has the authority to limit external consulting and other overload assignments for faculty in that college to less than the maximum extent when such limitation is necessary to meet the college's commitments to instruction and service.

At all times while on full-time or part-time appointment, during either an assignment period or a non-assignment period, faculty members must avoid any situations in which their involvement may actually conflict with their Kentucky Community and Technical College System duties and responsibilities. While it is not possible to anticipate every factual situation which might give rise to a conflict of interest, such a conflict of interest does arise within the meaning of this regulation when a faculty member represents the legal interest of another party against KCTCS or when a faculty member engages in litigation on behalf of another party against KCTCS. A conflict of interest also may arise in a case of a potentially patentable invention or discovery (see KCTCS intellectual properties policy and guidelines). Interpretations as to conflicts of interest in particular factual situations are to be made by the chief executive officer of the college with the proviso that an adverse decision can be appealed.

The above principles apply to all faculty members during the period of their active full-time employment by Kentucky Community and Technical College System.

Regardless of the assignment period, faculty who plan to consult or to undertake employment outside the Kentucky Community and Technical College System must complete Form F. Form F must be completed before a faculty member undertakes any consulting or outside employment. The information provided by the faculty member on Form F will be evaluated to ensure that there are no actual or potential conflicts of interest during the nine (9) -, ten (10) -, eleven (11) -, or twelve (12) - month assignment period and also during any non-assignment period, authorized leave, or vacation period. Professional services covered under KCTCS-enacted professional service plans are excluded from the approval process.

2.11.1.3.2 Approval Procedure

The variety of outside consulting or employment situations and the potential of such for detracting from a faculty member's regular KCTCS activities, for lacking professional relevance to the faculty member's field, or for constituting a conflict of interest for the faculty member demand a standard procedure for review and approval.

The following guidelines and procedures are set forth to aid in the interpretation of the policy for consulting, whether compensated or not. In general, any outside consulting demanding more than purely spare-time effort must be substantially justified in terms of the contribution its performance can bring to the faculty member's pursuit of teaching, research, and service. The basic responsibility for determining the appropriateness of any consulting is determined collaboratively by the chairperson, dean, chief executive officer, and the faculty member.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

When desiring to engage in such activities, a faculty member must make a formal proposal in writing to the concerned department or division chairperson using a copy of Form F. Since approval shall not be granted for blanket authorization to consult or engage in professional practice, a proposal should be specific. Such a proposal shall indicate the nature of the work to be performed, the estimated amount of time involved, the duration of the assignment, and the scale of compensation, if any. The division chairperson's recommendation on the proposal shall be forwarded to the college chief executive officer whose approval or denial shall be forwarded to the KCTCS System Human Resources (HR) Office. These proposals shall be made a matter of record by the HR who shall transmit periodic reports to the President of the Kentucky Community and Technical College System and to the Board of Regents.

Whenever a proposal by a faculty member is disapproved by an official of the college, it is the obligation of that official to provide the faculty member, upon request, with an oral statement of the reason for the decision. The faculty member also is entitled to appeal such a disapproval through established channels.

Faculty members engaged in consulting and other overload activities must not use the name of the Kentucky Community and Technical College System in such a manner as to suggest institutional endorsement or support of a non-KCTCS enterprise.

Requests for outside consulting that involve significant use of other KCTCS personnel, facilities, or equipment should be performed on a contractual basis with KCTCS rather than on an individual consulting basis.

A faculty member wishing to engage in continuing consulting must resubmit a request annually.

The following professional activities are subject to the guidelines set forth above, but are excluded from the approval requirements discussed in this section so long as any such activity occurs on no more than four separate occasions per year and does not result in compensation in excess of one thousand dollars (\$1,000) per occasion.

1. Occasional service on review panels, site visit teams, professional committees or boards;
2. Occasional lectures or seminars at other institutions;
3. Occasional telephone or office consultation; and
4. Occasional reading and evaluation of manuscripts, writing reviews, serving as expert witness, rendering professional opinions in depositions, etc.

Faculty members engaged in consulting and other overload activities must assure that they do not have a conflict of interest nor a conflict with regular workload and quality of instruction.

2.11.1.3.3 Special Considerations Regarding Faculty Consulting and Other Overload Assignment

KCTCS recognizes that there are occasional circumstances when a faculty member may be the most appropriate person to undertake KCTCS assignments which are beyond the scope of that individual's normal division, college, and System-wide responsibilities. Examples include the conducting of continuing education classes, the grading of correspondence courses, and participating in various types of sponsored activities for which the basic responsibility lies outside the faculty member's educational unit. Equity demands that procedures for compensation above the individual's regular KCTCS contract be provided for these situations. At the same time, however, the local nature of the circumstances and the relative closeness of participants suggest that special attention be given to the potential impingement on the individual's regular duties and the potential for conflicts of interest.

Additional compensation for internal overload assignments (e.g., continuing education classes, including extension and evening programs classes, and grading in correspondence courses) must be approved by the college chief executive officer.

If an internal overload assignment is to be compensated from sponsored project funds, the faculty member's proposal for overload employment shall be forwarded sequentially to the department or division chairperson, dean or chief executive officer of the college, principal investigator for the sponsored project, and the KCTCS System HR Office. (CEOs should coordinate with the System Office of Sponsored Projects and Contracts where appropriate.)

2.11.1.3.4 Internal Faculty Overload

1. **Restrictions on Internal Overload for Faculty.** Internal overload within the educational unit for faculty in KCTCS will be restricted to instructional assignments that are clearly above and beyond the duties and responsibilities recorded in the faculty member's approved Distribution of Effort Agreement.
 2. **College-Level Approval.** It is the chief executive officer's responsibility to evaluate the budgetary impact of a proposed overload and to determine, after due consultation with the faculty member, the division chairperson, and the appropriate dean, whether an instructional assignment is clearly above and beyond the Distribution of Effort Agreement.
 3. **Overload for Non-Credit Business and Industry Teaching.** Instructional assignments approved for overload above and beyond the Distribution of Effort Agreement may include credit courses and non-credit business and industry short courses, seminars, and educational programs.
 4. **Overload for Faculty on 'Released Time' or 'Reassigned Time.'** Overload pay is generally restricted to faculty carrying a normal teaching load of fifteen (15) credit hours per semester or equivalent for the academic year, fall and spring semesters. The maximum number of contact hours per week for a full-time occupational/technical instructor shall be determined
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

by the chief executive officer but shall not exceed thirty (30). However, faculty members who have been released from one or more courses to take on other duties may be paid overload for an additional instructional assignment if that assignment is clearly above and beyond the duties recorded in the approved Distribution of Effort Agreement.

5. Librarians, Counselors, and Mid-management Staff. Librarians and Counselors may be documented using appropriate forms and submitted for approval by the chief executive officer prior to the start of the semester for which the overload is requested. Exceptions to this deadline will be made for circumstances which arise after the start of the semester.
6. KCTCS System HR Office Submission. Overload payment requests must be documented using appropriate forms and submitted to the KCTCS System HR Office as notification by the chief executive officer prior to the start of the semester for which the overload is requested. Exceptions to this deadline will be made for circumstances which arise after the start of the semester.
7. Minimum / Maximum Overload Pay Limits. The minimum payment for credit classes shall be the college's existing per-course rate for part-time faculty. Overload payment for business and industry classes is a matter of local policy, as is the limit on the number of overload assignments permitted in a given semester or academic year.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>9-24-02</u> Date(s) of Last Review	<u>9-24-02</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	9-24-02	(SIGNED) 9-24-02
<hr/> Recommended by	<hr/> Date	<hr/> President, KCTCS <hr/> Date

2.11.3 KCTCS Outside Employment

KCTCS wants to assure that work for other employers does not create scheduling conflicts with your KCTCS duties or otherwise restrict your ability to perform your work assignments here. KCTCS requires reporting of "related" employment or consulting work if it is the type of instruction or training related service that KCTCS provides the public. This related work uses substantially the same professional knowledge and skills required in your KCTCS position.

You may seek additional related employment or consulting assignments outside of the KCTCS if you adhere to the following guidelines:

- You have submitted a description of the outside related employment on the appropriate form and it has been approved by the President or Director of your institution.
- The President or Director is confident that your work or consulting does not represent a diversion of regular KCTCS business which you are expected to secure or carry out as part of your KCTCS employment.
- The hours of your outside employment should not coincide with your KCTCS hours of scheduled work.
- Your outside employment should not conflict with your job responsibilities, KCTCS' interests or affect your ability to perform satisfactorily in your position.
- Your outside employment should not cause you to arrive late for, or leave early from, your scheduled work shift or hours.

Actions on outside employment requests shall be reported to the respective Chancellors to ensure consistency across their organizations.

KCTCS facilities and equipment may not be used in the conduct of your outside business or employment, with the exception of incidental local telephone calls, without explicit written permission from your School Director or College President.

6-22-98

Date Approved by
President, KCTCS

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

2.11.3.1 Running for or Serving in Elective or Appointive Office (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Like other citizens, KCTCS employees are free to engage in political activities so far as they are able to do so within the law consistent with their job-related obligations. When necessary, leaves of absence without pay may be approved for the duration of an election campaign or a term of office, provided that there has been a timely application for leave and that the requested leave is limited to a reasonable period of time. The terms of a leave of absence for this purpose shall be set forth in writing. The leave shall not affect unfavorably the tenure status of a faculty member, except that the time spent on such leave from academic duties does not count as a part of the introductory period unless agreed to otherwise. Elective and appointive part-time services on boards and commissions to which members of the faculty and staff are prepared to provide exceptional service shall be governed by policies on outside employment.

<u>6-22-98</u>		
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	6-22-98	(SIGNED)
<hr/> Recommended by	<hr/> Date	<hr/> President, KCTCS

2.14 Leaves

2.14.1.1 Family/Medical Leaves of Absence

KCTCS will not discriminate against employees as a result of the approved use of family care or medical leave or a proper request for such leave. Requests for family care and medical leave will be considered without regard to race, color, national origin, ethnic origin, gender, age, religion, creed, physical or mental disability, veteran status or political affiliation.

A family or medical leave of absence is an official authorization to be absent from work without pay for a specified period of time. Eligible employees may be entitled to job-protected family or medical leaves of absence if they are unable to work due to pressing family or medical concerns as follows:

1. Employees are eligible if they have been actively employed for twelve (12) months, and worked at least 1250 hours (an average of twenty-five (25) hours per week) during those twelve (12) months. This twelve – (12) month period "rolls back" from the date of leave to the prior twelve – (12) month period.
 2. Employees may request one (1) or more family care or medical leaves, however, the total amount of leave taken cannot exceed twelve (12) work weeks in any twelve – (12) month period. You may request an intermittent leave or reduced schedule leave to care for a seriously ill family member or if you have a serious health condition that warrants such a request.
 3. A family leave may be granted upon the birth or adoption of a child of the employee, or upon the serious health condition of the employee's child, spouse or parent.
 4. A medical leave may be granted due to the employee's own serious health condition.
 5. In appropriate circumstances we may require you to be examined by a KCTCS designated physician, at KCTCS' expense.
 6. In the event of a serious health condition of the employee or his/her child, spouse or parent, the employee must provide KCTCS with notice, as soon as practicable, of any needed time off, and a written doctor's certificate. The certification must include the date on which the health condition occurred, the probable duration of the condition, an estimate of the amount of time you need to be off work to care for the family member or for your own health condition, and confirmation that the nature of the condition warrants you to be away from work to care for yourself or your dependent.
 7. Employees are required to give thirty (30) days advance notice in the event of a foreseeable medical treatment. To assist us in arranging work assignments during your absence, we ask that you give us prior notice, to the extent possible, of an expected birth or adoption, as well as indication, to the extent known, of your expected return date. To facilitate your return to work, we also ask that you provide us with two (2) weeks
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

advance notification of your intended return date. Failure to do so may delay your return date.

8. For purposes of this policy, a child is defined as a natural or adopted child, foster child, stepchild or a legal ward. If the child is over eighteen (18), he/she must be unable to care for himself/herself due to a serious illness.
 9. A parent is defined as the employee's or his/her spouse's natural, adoptive, foster parent, stepparent or legal guardian.
 10. A serious health condition is defined as a disabling physical or mental illness, injury, impairment or condition involving 1) inpatient care in a hospital, nursing home, or hospice; or 2) outpatient care requiring continuing treatment or supervision from a health care professional.
 11. Leave of absence time available to you under other leave policies are counted towards the total time off available under this section.
 12. A Family Care Leave that relates to the birth or adoption of a child must be completed within twelve (12) months of the birth or adoption.
 13. Upon completion of a leave granted under this section, you will be reinstated to your original position, or an equivalent one.
 14. If, due to your own medical circumstances, you are no longer able to perform your original job, we will attempt to transfer you to alternate suitable work, if available.
 15. You must use any paid time off or other accrued paid time off, during your family care or medical leave. If the leave is related to your own serious health condition, you must use any accrued sick leave during your medical leave.
 16. While on a leave of absence provided for under this policy, KCTCS will continue your group health insurance benefits under the same terms as provided to others employees, for up to a maximum of twelve (12) weeks leave during any one (1) year period. If your leave extends beyond twelve (12) weeks, you will be offered the opportunity to purchase continuing coverage under state and federal COBRA continuation rules.
 17. Other benefits such as retirement, service credits, paid time off and the like, will be preserved at the level accrued as of commencement of the leave, but will not accrue further during any such leave period.
 18. The total amount of pay which may be received while on disability and paid leave will vary according to the amount of accumulated disability and paid leave time.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

- 19. During a period of disability, you may be eligible for disability pay benefits. Please refer to the applicable plan documents for details on eligibility, benefit amounts and other particulars.
- 20. If additional family care or medical leave is required you must, prior to expiration of the family care or medical leave, submit additional certification to KCTCS.
- 21. Should you seek a leave of absence for reasons other than described above, we will evaluate such a request based on particular circumstances present at that time, including but not limited to your current and anticipated work responsibilities, performance and business needs. KCTCS reserves the right to refuse such a request at its sole discretion.

6-22-98

Date Approved by
President, KCTCS

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

**2.14.1.2 Political Leave (Community College Employees
Hired Prior to January 14, 1998)**

Like other citizens, faculty members are free to engage in political activities, so far as they are able to do so within the law consistent with their obligations as teachers and scholars. When necessary, leaves of absence without pay may be approved for the duration of an election campaign or a term of office, provided that there has been a timely application for leave and that the requested leave is limited to a reasonable period of time. The terms of a leave of absence for this purpose shall be set forth in writing. The leave shall not affect unfavorably the tenure status of a faculty member, except that the time spent on such leave from academic duties does not count as probationary service unless agreed to otherwise. Elective and appointive part-time services on boards and commissions, to which members of the faculty and staff are prepared to provide exceptional service, shall be governed by policies on professional practice.

<u>4-30-99</u>		
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	4-30-99	(SIGNED) 4-30-99
<hr/> Recommended by	<hr/> Date	<hr/> President, KCTCS
		<hr/> Date

2.14.1.3 Unpaid Medical Leaves of Absence (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

KCTCS may grant an unpaid leave of absence for illness, disability or pregnancy. To request a disability leave of absence from your supervisor, you should submit, or have someone submit for you, a statement of ill health or disability from your doctor. (Pregnancy is treated, for the purposes of this policy, the same as an illness or disability.) An approved disability leave may be granted for up to ninety (90) days. If necessary, you may request extensions in thirty (30) day increments for a maximum of one (1) year. Whenever possible, you are required to give as much notice as possible of your pending need for a disability leave of absence.

In the case of pregnancy, please inform your supervisor as soon as possible of the date you and your doctor anticipate that you will begin your leave. We will make every effort to hold your position open, or return you to a similar position if one is available, for which you may be qualified.

At the time the disability leave begins, any accrued paid time off will be used. These benefits do not continue to accrue during a leave of more than thirty (30) days. This policy applies to all employees. Your group insurance booklet should be reviewed to determine your insurance coverage during a leave of absence.

Employees who must remain away from work for more than the period of time allowed above will be considered terminated from employment. They are welcome to re-apply subject to KCTCS' usual hiring policies.

Employees who develop an illness or physical condition which requires medical treatment or restrictions and precautions will be required to submit a physician's statement. This statement must give approval that continued full-time employment in his/her present position will not jeopardize his/her health or the safety of others, in the event she/he continues to work. A similar statement is required upon return from a disability leave.

Should your attendance or job performance suffer during the period preceding and/or following a disability leave, we will make every reasonable effort to accommodate you in accord with federal and state laws.

2.14.1.4 Flex Leave

KCTCS provides flex leave for a regular full-time employee in a position which has been established as a nine-month or more but less than twelve-month position. A position determined eligible for flex leave is justified as being in the best interest of KCTCS.

When in an established flex leave position, an employee is on flex leave during the period of scheduled time-off without pay. An employee in a flex leave position is considered as a regular

full-time employee for all personnel policy purposes in accordance with the following provisions:

- An employee on flex leave is not eligible to receive unemployment compensation while on flex leave.
- Paid time-off leave does not accrue during flex leave.
- Participation in insurance plans may continue during flex leave under the same conditions in effect during the year when the staff employee is working.
- Other privileges afforded the employee continue and may be used during flex leave.

2.14.2.1 Leave Balance Portability

Former employees of the University of Kentucky Community Colleges and the Department of Technical Education who elect to transfer their personnel policy coverage to KCTCS without a break in service carry existing annual leave, compensatory time off and sick leave balances with them. KCTCS policies will govern new leave accumulations.

2.14.2.2 Continuous Service

If you exercise your one time option to change your personnel policy coverage to these KCTCS policies, length of service for benefits calculations shall be your combined, uninterrupted service for KCTCS and/or the University of Kentucky Community College System and the Commonwealth of Kentucky.

<hr/> <p>6-22-98</p> <hr/>	<hr/> <p>Date(s) of Last Review</p> <hr/>	<hr/> <p>Date(s) of Last Revision <i>(Include all dates in chronological order)</i></p> <hr/>
<p>(SIGNED)</p>	<p>6-22-98</p>	<p>(SIGNED)</p>
<hr/> <p>Recommended by</p>	<hr/> <p>Date</p>	<hr/> <p>President, KCTCS</p>

2.14.2 Leave With Pay (Community College Employees Hired Prior to January 14, 1998)

2.14.2.3 Vacation Leave (Community College Employees Hired Prior to January 14, 1998)

All full-time faculty members on a ten (10) - month, eleven (11) - month, or twelve (12) - month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each member of the teaching faculty shall be in actual attendance at least until after commencement and until all reports have been made, and at least three (3) days prior to the first day of registration for the fall semester, unless for special reasons, leave is approved. Except for full-time faculty members on a twelve (12) - month assignment basis, vacation leave normally cannot be accumulated from one (1) assignment period to another. However, under unusual circumstances, provided it is in the best interest of the Kentucky Community and Technical College System and has advance approval by the college chief executive or administrative officer, a faculty member employed on a ten (10) - month or eleven (11) - month assignment basis also may take unused vacation leave during the assignment period following that in which the leave was earned.

Faculty members terminating their contracts prior to the end of an assignment period will be compensated on a prorated basis for vacation leave to which they are entitled during the assignment period. Pay for unused vacation leave shall be limited to a maximum of twenty-two (22) days at the end of employment and faculty members will be required to reimburse the Kentucky Community and Technical College System for vacation used in excess of the amount accrued at the time of termination.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>11-20-01</u> Date(s) of Last Review	<u>11-20-01</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	11-20-01	(SIGNED) 11-20-01
<u>Recommended by</u>	<u>Date</u>	<u>President, KCTCS</u> <u>Date</u>

2.14.2.3.1 Faculty Vacation Leave (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Faculty are granted 22 days of vacation leave annually. Should a faculty member leave the service of KCTCS before the end of their contract, they will be granted a pro-rata vacation accumulation provided they leave in good standing.

Half time faculty or faculty with greater than half time contracts earn a pro-rata share of vacation days. Faculty with less than half-time schedules do not earn vacation.

Except for emergencies faculty may not take vacation while their classes are in session. Faculty vacation will not be carried year to year without prior written authorization by the appropriate college chief executive or administrative officer.

2.14.2.3.2 Terminal Vacation Pay (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

As a regular full-time or half-time employee who is separating from employment with KCTCS, you are eligible to receive wages or salary for unused accumulated vacation leave, at your date of separation, provided that you meet the following criteria:

- You successfully completed the new employee introductory period.
 - You separate either (a) "in good standing," i.e., advance notice of two weeks for a nonexempt employee or one month for an exempt employee, (this notice may be waived at KCTCS' discretion) or (b) involuntarily for reasons other than misconduct.
 - You will receive terminal vacation pay in the amount equal to your current balance of vacation leave as of your date of separation. The amount you receive will not exceed one year of your annual vacation leave allowance.
 - Your date of separation is the last day that you actually work, even if terminal vacation pay is granted.
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2.14.2.3.3 Staff Vacation Leave (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

If you are a full-time or half-time employee, KCTCS provides you with vacation pay. Vacations are scheduled at times that are most convenient to the department with due consideration given to your preference.

If you are a full-time staff employee who works twelve months per year, your annual vacation allowance is as follows:

- Fifteen days each year during the first five years of service.
- Twenty days each year at the sixth year of service and thereafter.

If you are a full-time staff employee who works eleven months per year, your annual vacation allowance is as follows:

- Twelve days each year during the first five years of service.
- Eighteen days each year at the sixth year of service and thereafter.

Employees who work less than ten months per year accrue no vacation allowance.

Vacation earned is credited monthly on the 15th of the month and may be used when credited and scheduled with your supervisor. Monthly vacation accruals are as follows:

	Length of Contract/Schedule Year		
Length of Service	12 Months/year	11 Months/year	10 months
0-5 years of	1.25 days/month	1.1 day/month	1 day/month
6 years and over	1.67 days/month	1.5 days/month	1.4 days/month

For work schedules between half-time and full-time vacation, employees accumulate vacation on a pro-rata basis. If your scheduled work week is not to be consistent throughout the year, your pro rata percentage to full-time will be calculated on an annualized basis. The principle governing pro rata percentages under this policy is to provide, within reasonable limits, an equitable allocation of paid vacation time for an eligible employee who is not full-time but works half-time or more.

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Vacation balances are limited to 30 days. Vacation must be used within fifteen months following the close of the fiscal year in which it was earned. Exceptions for special projects on behalf of KCTCS must be authorized in writing by the college chief executive or administrative officer, or by the appropriate Chancellor or Vice President for System office employees.

<u>6-22-98</u> Approval Date	<u>11-20-01</u> Date(s) of Last Review	<u>11-20-01</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
<u>(SIGNED)</u> Recommended by	<u>11-20-01</u> Date	<u>(SIGNED)</u> President, KCTCS	<u>11-20-01</u> Date

**2.14.2.4 Sick Leave (Community College Employees
Hired Prior to January 14, 1998)**

Sick leave may be granted to academic appointees by the college chief executive or administrative officer, as determined by district leadership. Group I personnel, as defined in the retirement program, who are totally disabled, are entitled to six (6) months leave with pay after which a Total Disability Benefit Plan, for which premiums are paid by the Kentucky Community and Technical College System, becomes operative. Sick leave with pay for more than six (6) months requires approval by the KCTCS Vice President or Chancellor.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>11-13-02</u> Date(s) of Last Review	<u>11-13-02</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	11-13-02	(SIGNED)	11-13-02
<u>Recommended by</u>	<u>Date</u>	<u>President, KCTCS</u>	<u>Date</u>

2.14.2.4.1 Temporary Disability (Sick) Leave for Faculty (Technical College Employees Hired on/or after July 1, 1998; Community College Employees Hired on/or after January 14, 1998)

Faculty may be absent up to five (5) continuous working days with pay because of personal illness or injury. KCTCS requires appropriate notification so that class schedules and other professional duties can be covered. Your supervisor may require you to furnish medical documentation.

Faculty who are totally disabled for longer than 5 working days may apply for up to 30 calendar days of sick leave with pay. Such leave applications must be approved and granted by the college chief executive or administrative officer, as determined by district leadership. They may be renewed every 30 calendar days for a maximum of 6 months. Medical documentation is required for each grant of sick leave, including renewals. For medical leave with pay beyond 6 months, see long-term disability insurance, 3.6.6, under Employee Benefits.

Sick leave with pay may also be used for the purpose of tending to a serious illness suffered by a member of your immediate family, in the event the illness requires your personal time and attention, for up to five (5) faculty sick days with pay within a six (6) month period. Possible exceptions to the five (5) day limit may be made by the college chief executive or administrative officer, due to an employee's extreme extenuating circumstances, to allow up to a maximum of 30 working days of sick leave with pay. For purposes of this policy, immediate family includes spouse, child, parent, sibling, or person for whom you serve as legal guardian.

KCTCS may, at its sole and absolute discretion, require a doctor's certificate verifying the necessity for absence(s). Faculty may not use paid sick leave with pay until after three (3) months of employment.

Adjunct or part-time faculty working less than half-time are not eligible for temporary disability (sick) leave.

Excessive or unplanned absenteeism and tardiness are disruptive, and either violation may lead to disciplinary action, including termination of employment.

2.14.2.4.2 Temporary Disability (Sick) Leave for Staff Employees (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

As a regular full-time or half-time staff employee, if you must be absent from work because of a personal illness or injury you may be granted temporary disability leave (sick leave).

As a regular full-time employee, you accrue paid temporary disability leave (sick leave) at the rate of one day (7.5 hours) per month. Paid temporary disability leave allowance is earned for a month when your employment commences on or before the fifteenth day of the month. No paid temporary disability leave allowance is earned in the final month of employment when your termination occurs on or before the fifteenth day of the month. As a continuing employee, the one day of temporary disability leave earned per month is available for your use on the sixteenth day of that month (including the months you are on new employee introductory period).

If you are a regular half-time employee, you accrue paid temporary disability leave in an amount for the hours and/or days you work, directly proportionate to the amount received by a full-time staff employee. If your scheduled work week is not consistent throughout the year, the pro rata percentage to full-time will be calculated on an annualized basis. The principle governing pro rata percentages under this policy is to provide, within reasonable limits, an equitable allocation of paid temporary disability leave for an eligible employee who is not full-time but who works half-time or more.

In addition to utilizing sick leave in the event of your own illness, sick leave may also be used for the purpose of visiting doctors, dentists or other recognized practitioners. Sick leave may also be used for the purpose of tending to a serious illness suffered by a member of your immediate family, in the event the illness requires your personal time and attention. For purposes of this policy, immediate family includes spouse, child, parent, sibling, or person for whom you serve as legal guardian.

KCTCS may, in its sole and absolute discretion, require a doctor's certificate verifying the necessity for absence(s). Accrued paid temporary disability or vacation leave will be used during a period of temporary disability. You will be in a leave without pay status if neither accrued paid temporary disability leave nor vacation leave (if approved) is available or when you have exhausted both accrued paid temporary disability leave and vacation leave.

You should note the relationship between this policy and the Family and Medical Leave Policy. Excessive or unplanned absenteeism and tardiness are disruptive, and either violation may lead to disciplinary action, including termination of employment.

Upon termination of employment, there is no payout of terminal sick pay of the current balance of temporary disability leave days to the terminating employee.

**2.14.2.4.2.1 Annual Conversion of Staff
Temporary Disability Leave
(Former Community College
Employees Hired before
January 14, 1998)**

Former community college staff employees who are now covered by the KCTCS personnel system have the option of converting Temporary Disability Leave on an annual basis. Upon accumulating a balance of sixty-six (66) temporary disability leave days, an employee may, on an annual basis, voluntarily convert accrued temporary disability leave for vacation leave. An employee shall have accumulated and shall retain a minimum balance of sixty-six (66) temporary disability leave days to be eligible for this alternative conversion option. Only days in excess of sixty-six (66) accrued temporary disability leave days may be converted. One (1) vacation leave day shall be acquired for each three (3) temporary disability leave days surrendered. A maximum of twelve (12) temporary disability leave days may be converted in any one fiscal year.

An employee who converts twelve (12) temporary disability leave days and who did not use any temporary disability leave days during that fiscal year shall acquire five (5) vacation leave days as a result of the conversion.

The conversion shall occur only at the fiscal year end. The days acquired through the exchange shall be considered as earned days of the completed fiscal year, even though these days are not available for use until after July 1. Any converted day(s) shall become a part of the employee's vacation leave balance and shall be used in accordance with Kentucky Community and Technical College System Administrative Policies and Procedures 2.14.2.3.3. Conversion of temporary disability leave for vacation leave shall be final. An employee, who has a minimum balance of sixty-six (66) temporary disability leave days plus three or more days for conversion and who desires to convert accrued temporary leave days to vacation leave days, shall, in consultation with the human resources department insure that applicable form is completed. Conversion of accrued temporary disability leave to vacation leave for the preceding fiscal year shall be completed between July 1 and July 31.

Any costs as a result of this policy shall come from the department's regular salary account.

2.14.2.4.3 Sick Leave Pool

On a strictly voluntary, mutual benefit basis KCTCS employees who accrue sick leave may elect to participate in a KCTCS-wide Sick Leave Pool. The pool is intended as a source of salary continuance for other pool members whose serious health conditions prevent them from working and whose sick and vacation leave balances have been (or will be within 15 days) exhausted.

Employees with sick leave balances of at least 50 hours may elect to join the pool at anytime after they have met the minimum balance required, to be effective at the beginning of the

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following pay period. Pool members may withdraw at anytime. However, contributed sick leave time remains in the pool.

To participate you must contribute 2 days of sick leave per year to the pool. Contributions will be deducted from sick leave balances within 30 days of enrollment, and annually thereafter on the employee's anniversary date.

Awards of up to 150 hours (20 work days) may be made by the Sick Leave Pool Committee upon application from a pool member whose sick and other paid leave is exhausted. A single member may receive up to 3 awards (450 hours maximum) per year. Applications shall include medical documentation of personal illness including disabilities resulting from pregnancy, miscarriage, child birth or related maternal health causes and the medically necessary recovery therefrom. Personal health conditions include medically documented mental illness as well. Awards must be integrated with other KCTCS-sponsored income continuation benefits (e.g., long-term disability).

The Sick Leave Pool Committee shall have 4 members plus the KCTCS Director of Human Resources or designee who shall serve as chair. Decisions of the Sick Leave Pool Committee are final.

Committee Members are appointed by the President from among current pool participant/contributors. The President is encouraged to appoint staff members from both Community and Technical College sides of KCTCS operations.

The Pool Committee shall set and publish application procedures.

6-22-98	5-15-02; 11-13-02	5-15-02; 11-13-02	
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	11-13-02	(SIGNED)	11-13-02
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

2.14.2.4.4 KCTCS Sick Leave Sharing Program

This policy applies to *regular* status KCTCS employees (as opposed to *temporary* status) who have successfully completed their introductory period and are governed by policies in which the employees may accrue paid sick leave time.

A. Eligibility Requirements

Donor

- Any regular status KCTCS employee (Staff or Faculty) who has accrued a sick leave balance of more than 75 hours.
- Must maintain a minimum sick leave balance of 75 hours following any donation.

Recipient

- Must be a regular status KCTCS employee who has successfully completed their introductory period.
- Must have exhausted all available and accrued paid leave, including sick/TDL, vacation/annual and compensatory leave.
- Leave must be used exclusively for the serious health condition (as defined under The Family and Medical Leave Act (FMLA)) of an employee or an employee's family member as defined by KCTCS Staff TDL policy. The employee's or family member's health care practitioner, as defined under The Family and Medical Leave Act (FMLA), must document the condition resulting in the leave prior to approval of the donation.
- The condition resulting in the leave must require the employee to be absent for at least ten full consecutive workdays.
- Must not have been disciplined for abuse of sick leave or excessive absences within the past 12 months.

B. Donation Stipulations

Donations may only be made by and used for eligible employees employed within the same KCTCS District. For System Office employees, donations may only be made by and used for eligible employees within the System Office.

Minimum amount to be donated

7.5 hours

Maximum amount to be donated

None, however, every donor must maintain a minimum sick leave balance of 75 hours following any donation.

Minimum donated amount to be used by recipient

.25 hours

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

Where multiple donors donate sick leave to the same recipient, the sick leave shall be transferred to the eligible recipient in chronological order of receipt from donors' forms up to the maximum that has been certified to be needed by the recipient.

Donated sick leave shall be used in the order in which it is donated and shall be used on consecutive days of absence except as provided in this policy. Any applicable leave that an employee accrues while receiving donated leave shall be used before donated sick leave.

Communication of requests for donations will be made by the authorized representative of the college/System office. Requests will be made by withholding the name, identification, and the illness of the prospective employee recipient.

When the recipient of donated leave returns to work, unused donated leave will be restored to the donor(s) within 30 calendar days of the return date, unless the recipient provides medical evidence that he or she will require continued, intermittent medical treatment, and/or a reduced work schedule relating to the original condition for which leave was donated.

No employee shall directly or indirectly intimidate, threaten, or coerce any other employee for the purpose of interfering with the employee's right to voluntarily contribute sick leave under this program. For the purpose of this program, "intimidate, threaten, or coerce" shall include, without being limited to, the promise to confer or the conferring of any benefit or gain, or effecting or threatening to effect any reprisal.

Employees who have given notice of termination and/or retirement (verbal or written) may not donate sick leave.

All sick leave donations must be approved by the college chief executive or administrative officer, or by the appropriate Chancellor or Vice President for System office employees, following receipt and confirmation of all appropriate documentation and information (leave sharing requests, leave donation forms, statements from health care practitioners, etc.).

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(SIGNED)	5-15-02	(SIGNED) 5-15-02	
Recommended by	Date	President, KCTCS	Date

2.14.2.5 New Child Care Leave (Community College Employees Hired Prior to January 14, 1998)

Up to thirty (30) days of sick leave for purposes of new child care may be approved for faculty by the Chancellor of the Community Colleges. Complications arising in conjunction with new child care, when supported by appropriate medical statements, are grounds for authorizing additional leave.

Any leave without pay requested following or preceding a temporary disability leave is subject to the terms of the leave without pay policy.

<u>4-30-99</u>			
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(SIGNED)	4-30-99	(SIGNED) 4-30-99	
<hr/> Recommended by	<hr/> Date	<hr/> President, KCTCS	<hr/> Date

2.14.2.6 KCTCS Sabbatical Leave

The purpose of all sabbatical leaves is to provide opportunities for study, research, creative effort, improvement of teaching capabilities and methods and related travel in order that the quality of each recipient's service to the KCTCS students may be enhanced.

Faculty Sabbatical Leave. Faculty members are eligible for leaves of absence after six years of continuous service with KCTCS and/or antecedent organizations for leaves of absence under a different option after three years of continuous service. All such sabbatical leaves shall be approved by the Chancellor.

After six years of continuous eligible service, an individual may apply for one year's leave (academic year for appointees on academic year, 10-month, 11-month, or 12-month assignments) at one-half salary or six months' leave (academic semester for appointees on academic year, 10-month, 11-month, or 12-month assignments) at full salary.

After three years of continuous eligible service, an appointee may apply for six months' leave, a mini-sabbatical (academic semester for appointees on academic year, 10-month, 11-month, or 12-month assignments) at one-half salary. Normally, "continuous service" is interrupted by a sabbatical leave; i.e., no service prior to a sabbatical may be credited toward eligibility for future sabbatical leave. However, in the event that it becomes necessary for an individual to postpone a sabbatical leave at the request of and/or for the benefit of KCTCS or one of its education units, the period of postponement shall be counted as part of the six years of service necessary for the individual to again become eligible for sabbatical leave. The request for and/or agreement that the sabbatical leave be postponed must be made in writing by the president/ceo of the individual's institution and be approved by the Chancellor. The request or agreement must specify the period of postponement and the reason for it. In no case shall cumulative sabbatical leave be granted for a single period longer than one full year at full salary.

Leaves of absence without pay are not normally credited toward eligibility for sabbatical leave. However, exception maybe made when the leave enhances the value of the individual to KCTCS, e.g., a leave to accept a fellowship or a grant, service for professional organizations, etc. In no case shall the leave of absence without pay be considered as an interruption of continuous service. Sabbatical leave shall be granted with the understanding that the recipient, following the leave, will continue in service with the KCTCS for at least the length of the sabbatical leave.

Faculty may be required to document employment offers, and admission to educational programs prior to the granting of any sabbatical leave. KCTCS may also require you to furnish evidence of satisfactory work or academic performance in sabbatical period activities. Faculty earnings during sabbatical leaves may not exceed a faculty member's regular KCTCS earnings.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

To enable KCTCS to plan its instructional offerings during your absence on sabbatical, leave requests must be submitted six months before you plan to begin the leave. Your institution president/ceo must notify you within 60 days if your requested leave is to be postponed or denied and the reasons for the delay or the denial.

<u>6-22-98</u> Approval Date	<u>2-25-03</u> Date(s) of Last Review	<u>2-25-03</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
<u>(SIGNED)</u> Recommended by	<u>2-25-03</u> Date	<u>(SIGNED)</u> President, KCTCS	<u>2-25-03</u> Date

2.14.2.7 Educational Leave (Community College Employees Hired Prior to January 14, 1998)

To pursue an advanced degree, faculty members may request half-time or more leave, with proportional reduction in salary. If such educational leave for faculty development is recommended by the president/ceo of the applicable college and approved by the Chancellor, the faculty members shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Although a period of educational leave shall not be credited toward eligibility for sabbatical leave, it shall not be considered as an interruption of continuous service. Also, for non-tenured faculty members, such a period of educational leave shall not be counted as probationary period service.

2.14.2.8 Scholarly Fellowship Leave (Community College Employees Hired Prior to January 14, 1998)

To accept a scholarly fellowship which allows a faculty member to pursue a program of research, and which the funding agency will not process through the Kentucky Community and Technical College System, a faculty member may request leave with partial pay. If such leave is recommended by the president/ceo of the applicable college and approved by the Chancellor, the faculty member shall be entitled to normal faculty benefits and privileges during the period of temporary change in status. Time spent on scholarly fellowship leave shall count as probationary period service unless the Chancellor in granting the leave and the individual accepting it agree to the contrary.

<u>4-30-99</u>	<u>2-25-03</u>	<u>2-25-03</u>
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	2-25-03	(SIGNED) 2-25-03
_____ Recommended by	_____ Date	_____ President, KCTCS _____ Date

2.14.2.9 Holiday Leave

KCTCS observes the following holidays, with all departments and offices closed, except where continuous service is essential: New Year's Day, Martin Luther King Day, President's Day, Good Friday (1/2 day), Memorial Day, Independence Day, Labor Day, Presidential Election Day, Thanksgiving Day, Day after Thanksgiving Day, the day before Christmas Eve, Christmas Eve, and Christmas Day. When a holiday falls on a Saturday or Sunday, the KCTCS President will determine the day on which the holiday will be observed. The KCTCS System office shall publish a calendar each year showing days of holiday observance.

Faculty who remain available for meetings and other KCTCS business on site are paid during spring and fall break periods. You are assumed available unless you have been authorized vacation. Faculty leaving the area must use annual or unpaid leave.

As a regular full-time or half-time employee, you are entitled to regular pay on a holiday. If you are a regular employee and work less than one half time or are a temporary employee, you do not receive holiday pay.

If you are in a no pay status on the scheduled day immediately before and/or after a holiday, you will not be paid for the holiday. If a holiday occurs while you are on authorized vacation leave, you will not be charged vacation leave for the holiday.

In addition to the normal holiday schedule, employees may occasionally request time off in order to celebrate their particular religious holidays. In recognition of the religious diversity of its workforce, KCTCS encourages departments to accommodate such requests whenever possible. Time off for religious holidays will be charged to a vacation or personal day, if available, or may be unpaid.

Alternately, the time taken may be made up by working additional hours, provided the arrangement is approved by the department and is completed within a reasonable period.

Special holidays may be granted by action of the Board of Regents or the President. When granted, special holidays will be taken in accordance with a schedule arranged by the departments within the time period outlined by the President. A department with special scheduling and staffing problems may schedule the special holidays at the

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

department's convenience, as close to the holidays as possible, but normally within six weeks. A department with special scheduling and staffing problems has the option to grant an employee time off with pay or to reschedule the special holiday.

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<u>(SIGNED)</u> Recommended by	<u>6-04-01</u> Date	<u>(SIGNED)</u> President, KCTCS	<u>6-04-01</u> Date

2.14.2.10 Military Leave of Absence

If you are a full-time employee and are inducted in the U.S. Armed Forces, you will be eligible for re-employment after completing military service, provided:

- You show your orders to your supervisor as soon as you receive them.
- You satisfactorily complete your active duty service.
- You enter the military service directly from your employment with KCTCS.
- You apply for and are available for re-employment within ninety (90) days after discharge from active duty. If you are returning from up to six (6) months of active duty for training, you must apply within thirty (30) days after discharge.

2.14.2.11 Military Reserves or National Guard (Uniformed Services) Leave of Absence

Employees who serve in U.S. military organizations or National Guard may take the necessary time off without pay to fulfill this obligation and will retain all of their legal rights for continued employment under existing laws. These employees may apply accrued personal leave and unused earned vacation time to the leave, however, they are not obliged to do so.

You are expected to notify your supervisor as soon as you are aware of the dates you will be on duty so that arrangements can be made for replacement during this absence.

Uniformed Services leave with pay for Uniformed Services annual training shall be granted a regular employee who is a member of the uniformed services. During such leave the following conditions will apply:

1. Uniformed Services leave with pay will not exceed ten working days in any one federal fiscal year (October 1 to September 30).
2. Uniformed Services leave exceeding ten working days shall be without pay unless you request use of vacation leave with pay.
3. If you are a regular full-time or half-time employee, you will continue to accrue vacation and temporary disability leave.
4. Your benefits will remain in effect during Uniformed Services leave in a pay status.

If you use Uniformed Services leave without pay you must make arrangements for payment of insurance premiums and retirement contributions, as appropriate.

Upon completion of Uniformed Services leave, you must report for work at the beginning of the first full, regularly scheduled work period on the first full calendar day following the completion of the period of service and the expiration of eight hours after a period allowing for the safe transportation of the employee from the place of that service to your residence, or as soon as possible if reporting within this period is impossible or unreasonable through no fault of your own.

2.14.2.12 Special/Other Leave

As an employee, you may be authorized to take special leave from KCTCS for reasons other than those normally provided by other policies within this handbook.

Special leave may include leaves for reasons such as necessary additional education, care of a relative in the immediate family (provided temporary disability and/or FMLA leave are applicable), attendance at a professional meeting, or service temporarily with an outside agency. Other special leaves may be considered as requested, whenever special circumstances exist not otherwise provided for in these policies.

The Chancellor, subject to approval of the KCTCS President, may grant special leave with pay. A leave of absence with pay for more than 90 calendar days must be reported to the Board of Regents.

The President, School Director, the appropriate Chancellor, Vice President, or Assistant to the President may approve special leave without pay. Ordinarily, such leave will not be granted for a period in excess of one year.

2.14.2.13 Emergency Leave

Normal operations at KCTCS facility may be curtailed by declaration of the president or director of the school. School closings may occur for unusual conditions such as severe weather, fuel shortages, or other calamities. Upon employment, you should check with your supervisor to determine your responsibilities in case of an emergency.

Emergency leave time is paid at regular rates for both faculty and staff employees. It is counted as "time worked" for calculation of overtime pay.

2.14.2.14 Suspension of Institutional Operations

Employees receive paid leave during periods of scheduled institutional shutdowns for scheduled maintenance and other purposes. Such periods include the days between Christmas and New Year's Day.

2.14.2.15 Bereavement Leave (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

As a regular full-time or half-time employee, you may be granted up to three working days of bereavement leave with pay as follows:

1. In case of the death of a parent, brother, sister, spouse, child, grandparent, grandchild, parent-in-law, brother-in-law, sister-in-law, domestic partner, step-parent, daughter or son of the
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

employees spouse or domestic partner, and any relative living in the household of the employee or domestic partner, or other relatives for whom you are directly responsible. In cases requiring extensive travel time, you may be granted additional time off with pay. Total funeral attendance leave may not exceed five working days.

2. At the discretion of your department head, you may be allowed funeral attendance leave with pay up to one half of a working day to attend the funeral service of other relatives, associates or close friends.

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Date(s) of Last Revision
*(Include all dates in
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Date

(SIGNED)

President, KCTCS

**2.14.2.15.1 Funeral Attendance Absence
(Community College Employees
Hired Prior to January 14, 1998)**

The Community Colleges recognize that the occurrence of death in the immediate family will require the absence from work of a faculty member for a period of time.

All regular, full-time personnel may be allowed necessary absence with pay for attendance to funeral matters up to three days for cases involving parent, brother, sister, spouse or child, or other relative, for whom the faculty member is directly responsible. In cases requiring extensive travel time, additional time off may be granted, except that the total allowance with pay for funeral matters will not exceed five working days.

In case of a grandparent, grandchild, or an in-law relative of the degree indicated above, absence with pay may be granted up to one day for funeral attendance. In cases requiring extensive travel time, additional time off may be granted, except that the total allowance with pay for funeral matters will not exceed three working days.

Time off, without loss of pay, may be granted at the discretion of the college President, to attend the funeral service of other relatives, associates, or close friends. Such time off should not exceed one-half day.

In cases requiring excess of the above allowances or other absences requested for funerals of other relatives or friends, time off shall be granted without pay or may be charged to earned vacation.

5/19/99

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*(Include all dates in
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(SIGNED)

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(SIGNED)

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Date

President, KCTCS

2.14.2.16 Voting Leave

2.14.2.16.1 Voting (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

If you are eligible to vote in national, state, or local elections, we encourage you to exercise your voting privileges. Your work schedule normally permits adequate time for you to exercise your voting privilege, either before or after normal working hours. However, in the case where voting cannot be accomplished in off-duty hours, KCTCS grants you time off with pay (not to exceed two hours) to vote on election day.

If you desire time off to vote, please submit a request to your supervisor in advance of the election.

If you do not submit your request for time off to vote five days in advance, you may still receive time off to vote, but without pay.

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2.14.2.17 Court and Jury Duty

2.14.2.17.1 Jury Duty (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

If you are called for jury duty, you are encouraged to fulfill that responsibility and KCTCS will pay you for your time serving on jury duty. Please submit to your supervisor a copy of the call to jury duty as soon as possible after receipt. Upon completion of jury duty, please report as soon as possible to resume your assigned work accountabilities. If you are dismissed too late to return to your work shift, or if you work a second, third or other variable work shift, you should report to work at the beginning of the next assigned work shift. You will receive instructions from your supervisor, in advance of your assigned jury duty, for any specific reporting expectations. Supervisors are encouraged to accommodate employees on second or third shifts whose jury duty interrupts normal sleep schedules.

If you receive jury duty pay, you are entitled to keep it.

2.14.2.17.2 Court Appearances (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

A court appearance requires use of vacation leave, or leave without pay. If you are summoned, subpoenaed, or requested to appear as a party or a witness in a civil or criminal court case in which KCTCS requests your attendance, you are granted time off with pay to fulfill such responsibilities. However, under unusual circumstances, KCTCS may approve time off with or without pay for a court appearance. Unusual circumstances mean that some compelling KCTCS interest in the case justifies the employee's absence.

Immediately upon receipt of a summons, subpoena, or request to appear in court, present a copy of the document to your department head and request vacation leave or time off with or without pay, whichever is applicable. Upon completion of a court appearance, report to work at the

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beginning of the next regularly scheduled work period. If your court appearance does not require the full work period, report for work as soon as possible.

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President, KCTCS

2.14.3 Unauthorized Absences or Leaves

Faculty members who absent themselves from their classes and teaching responsibility without adequate notice and the permission of the applicable College chief executive officer or chief administrative officer may be subject to loss of pay. Such actions shall be considered as justification for disciplinary action, the non-renewal of a contract, or termination of an appointment before the end of the appointment period.

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(SIGNED)	5-15-02	(SIGNED)	5-15-02
Recommended by	Date	President, KCTCS	Date

2.15 Wage and Salary Administration

The goal of KCTCS' compensation program is to attract potential employees, meet the needs of all current employees and encourage well-performing employees to stay with our organization. With this in mind, our compensation program is built to balance both employee and KCTCS needs.

KCTCS applies the same principles of fairness to all employees, regardless of organizational level, race, color, citizenship status, national origin, ancestry, gender, sexual orientation, age, religion, creed, physical or mental disability, marital status, veteran status, political affiliation, or any other factor protected by law.

2.15.1 Pay Cycle

Payday is normally on the 15th and 30th day of the month for services performed during the previous pay cycle. The twice monthly pay schedule is made up of twenty-four (24) pay periods per year. Changes to the payroll cycle will be made and announced in advance whenever KCTCS holidays or closings interfere with the normal pay schedule.

2.15.1.1 Mandatory Deductions from Paycheck

KCTCS is required by law to make certain deductions from your paycheck. Among these are your federal, state and local income taxes and your contribution to Social Security as required by law. These deductions will be itemized on your check stub. The amount of the deductions will depend on your earnings and on the information you furnish on your W-4 form regarding the number of exemptions you claim. If you wish to modify this number, please request a new W-4 form from your immediate supervisor or designated organization representative immediately. Only you may modify your W-4 form. Verbal or written instructions are not sufficient to modify withholding allowances. We advise you to check your pay stub to ensure that it reflects the proper number of withholdings.

The W-2 form you receive annually reflects how much of your earnings were deducted for these purposes.

Any other mandatory deductions to be made from your paycheck, such as court-ordered garnishments, will be explained whenever KCTCS is ordered to make such deductions.

2.15.1.2 Employee Organization Dues Deduction

You may have dues for any employee membership organization which has registered, and been approved by the System President, with KCTCS deducted from your regular pay checks. "Employee organizations" are those whose primary mission is to serve KCTCS employees. The amount of the deduction is set by the organization. Dues deduction authorization forms are available at your local payroll/business office. Dues deductions will begin with the first check after a thirty (30) day processing period.

You may cancel your authorization to have dues deducted from your pay check by filing a written notice of cancellation with the same office at least 30 days before the end of the calendar quarter.

KCTCS will furnish a list including your name and home or mailing address to the organizations for which you authorize dues deductions.

2.15.1.3 Direct Payroll Deposit

Direct payroll deposit is the automatic deposit of your pay into the financial institution accounts of your choice. In addition, it may be possible for you to authorize KCTCS to make additional deductions from your paycheck, such as credit union loan payments, or payroll savings plans. Contact your immediate supervisor or designated organization representative for details and the necessary authorization forms.

2.15.1.4 Error in Pay

Every effort is made to avoid errors in your paycheck. If you believe an error has been made, tell your immediate supervisor or designated organization representative immediately. He/she will take the necessary steps to research the problem and to assure that any necessary correction is made promptly.

2.15.1.5 Wage Garnishments

We hope you will manage your financial affairs so that we will not be obligated to execute any court-ordered wage garnishments. However, when court-ordered deductions are to be taken from your paycheck, you will be notified. KCTCS acts in accordance with the federal Consumer Credit Protection Act, which places restrictions on the total amount that may be garnished from your paycheck.

2.15.1.6 Basis for Determining Starting Salaries (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Several factors may influence your starting rate of pay. Some of the items KCTCS considers are the nature and scope of your job, what other employers pay their employees for comparable jobs (external equity) and what KCTCS pays employees in comparable positions (internal equity).

Salary offers are made by KCTCS management using salary ranges for existing positions. If you are hired in a newly created position which is similar in size to other existing jobs within KCTCS, then the salary ranges of these comparable positions are used. If your position is unlike others on your campus, then the salary was based on comparisons to KCTCS positions of similar complexity and size.

2.15.1.7 Computing Pay

KCTCS will compute your time on the basis of a thirty-seven and a half (37.5) hour work week for all employees.

2.15.1.8 Overtime Pay (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

If you are a non-exempt employee, you will be eligible to receive overtime pay of one and one-half (1 1/2) times your regular hourly wage for approved hours worked over forty (40) hours in one (1) week. Exempt employees are not eligible for overtime pay. If, during that week, you were away from the job because of a job-related injury, paid holiday, jury duty, vacation day, those hours not worked would be counted as hours worked for the purpose of computing eligibility for overtime pay. Sick leave (accrued temporary disability leave) is not counted as hours worked for overtime pay calculation purposes.

Please note if you are a non-exempt employee, overtime hours will be computed only on those hours worked in excess of a forty (40) hour workweek. Any hours worked between 37.5 and 40 hours in the week would be paid on a straight rate basis or as compensatory time off.

All overtime must be approved in advance by your immediate supervisor.

2.15.1.8.1 Compensatory Time Off (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Non-Exempt employees may elect to accept overtime as compensatory time off (1.5 hours for every hour worked over 40 per week) in the payroll period within which the overtime was earned or in the immediately following payroll period

2.15.1.8.2 Work Performed on Holidays (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Full-time "non-exempt," those employees who are eligible for overtime pay in accordance with the Fair Labor Standards Act, employees who work on a holiday are considered to have worked

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overtime on that day and will be paid overtime for hours worked, regardless of the number of hours worked during that same work week.

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Date

President, KCTCS

2.15.2 Faculty Compensation Policies–Community Colleges

2.15.2.1 Proration of Salary for Faculty Members Terminating–Community Colleges

2.15.2.1.1 Faculty Members Employed on a 10-Month Assignment Basis

The period of service for faculty in this category is August 1, through May 31. One-tenth (1/10) of the annual salary is considered earned for each full month of service during this assignment period. A faculty member terminating service prior to May 31, will have earned one-tenth (1/10) of the annual salary for each full month of completed service. If termination occurs at a time other than the end of the month, the salary for that month will be prorated on the basis of calendar days. Taking into account vacation leave, if earned salary is less than the amount paid to the faculty member at time of termination, the faculty members will be required to reimburse the Kentucky Community and Technical College System for the difference.

2.15.2.1.2 Faculty Members Employed on 11-Month Assignment Basis

The period of service for faculty in this category is normally August 1, through June 30; however, with prior consultation with and approval of the Chancellor of the Community Colleges the month when the faculty member is not on assignment during a fiscal year may be other than July. One eleventh (1/11) of the annual salary is considered to be earned for each full month of service during an assignment period. A faculty member whose employment terminates prior to June 30, will have earned one-eleventh (1/11) of the annual salary for each full month of completed service. If termination of employment occurs at a time other than month-end, the faculty member's salary for that month will be prorated on the basis of calendar days. Taking into account vacation leave, if earned salary is less than the amount paid to the faculty member at the time of termination of employment, the faculty member will be required to reimburse the Kentucky Community and Technical College System for the difference.

2.15.2.1.3 Faculty Members Employed on a 12-Month Assignment Basis

The period of service for faculty in this category is July 1, through June 30. One-twelfth (1/12) of the annual salary is considered earned for each full month of service during this assignment period. A faculty member terminating service prior to June 30, will have earned one twelfth (1/12) of annual salary for each full month of completed service. If termination occurs at a time other than month end, the salary for that month will be prorated on the basis of calendar days.

2.15.2.2 Faculty Salary Conversion Related to Change in Assignment Period (Community Colleges Employees Hired Prior to January 14, 1998)

A faculty assignment period may be on a nine - (9) month, ten - (10) month, eleven - (11) month, or twelve - (12) month basis. In justifiable cases, a faculty assignment period is changed from one basis to another and such a change appropriately may be accompanied by a change in assignment period salary. The following table depicts the usual faculty salary conversions related to changes in faculty assignment periods. Any proposed exceptions to this conversion methodology must be approved by the appropriate administrators, and by the Chancellor.

Any administrative supplement in addition to the converted faculty salary shall be established in writing and shall be applicable only during the period of administrative assignment. Such a supplement shall not be a factor and, therefore, shall be removed before implementing any faculty salary conversion related to a change in assignment period.

FACULTY SALARY CONVERSION TABLE

New Assignment Period (Months)	Old Assignment Period (Months)	Salary Conversions
9	10	FAPS-9 = FAPS-10
9	11	FAPS-9 = 9/10 FAPS-11 = 0.90000 FAPS-11
9	12	FAPS-9 = 9/11 FAPS-12 = 0.81818 FAPS-12
10	9	FAPS-10 = FAPS-9
10	11	FAPS-10 = 9/10 FAPS-11 = 0.90000 FAPS-11
10	12	FAPS-10 = 9/11 FAPS-12 = 0.81818 FAPS-12
11	9	FAPS-11 = 10/9 FAPS-9 = 1.11111 FAPS-9
11	10	FAPS-11 = 10/9 FAPS-10 = 1.11111 FAPS-10
11	12	FAPS-11 = 10/11 FAPS-12 = 0.90909 FAPS-12
12	9	FAPS-12 = 11/9 FAPS-9 = 1.22222 FAPS-9
12	10	FAPS-12 = 11/9 FAPS-10 = 1.22222 FAPS-10
12	11	FAPS-12 = 11/10 FAPS-11 = 1.10000 FAPS-11

Relationships in this table are based on the ratio of the number of non-vacation or working months during the new faculty assignment period to the number of such months during the old assignment period.

Designations

- FAPS-09 = Faculty assignment period salary on nine (9)-month assignment basis
- FAPS-10 = Faculty assignment period salary on ten (10)-month assignment basis
- FAPS-11 = Faculty assignment period salary on eleven (11)-month assignment basis
- FAPS-12 = Faculty assignment period salary on twelve (12)-month assignment basis.

2.15.3 Faculty Compensation Policies–Technical Colleges

(Policy development is in progress.)

4-30-99		
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Recommended by	Date	President, KCTCS Date

2.15.5 Shift Differential

KCTCS recognizes the need for supplemental pay for some designated positions and/or for hours of work that may be in periods of time or in circumstances other than those considered normal. The KCTCS System Office for Human Resources is responsible for establishing and administering supplemental pay policies.

One of these types of supplemental pay is referred to as a shift differential, a premium pay in addition to the normal hourly rate of pay.

A differential rate of pay shall be added to the regularly established rate of pay for employees working on recognized second and third shift operations.

Current established shift differential rates are:

\$.30 per hour for second shift

\$.40 per hour for third shift

The college president/chief administrative officer, or other appropriately designated official, shall determine the exact hours of the second and third shift operations for the college as an entire operation.

The local college Human Resources Office shall coordinate and insure that all local college employees within similar job classifications (example custodial/service and maintenance - not specifically titles) shall or shall not receive a shift differential.

An employee who works hour(s) immediately prior to or immediately following the employee's regularly scheduled work shift shall receive a rate of pay appropriate to each shift for the hours worked in the shift.

Shift differential pay is added to the normal hourly wage rate as a basis for computing the overtime rate, but it is not added to the normal hourly wage rate for computing annual increments.

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2.16.2 Appeals

2.16.2.1 Appeals (Community College Employees Hired Prior to January 14, 1998)

2.16.2.1.1 Appeals through Regular Administrative Channels

Normally a faculty member's appeal is initiated with the faculty member's immediate supervisor. If not satisfied with this level of appeal, the faculty member may elect to proceed to the next higher administrative level while informing the administrator at each preceding level of this intention. If the appeal is made in writing and the faculty member requests that it be forwarded through regular administrative channels to a higher level, the intermediate administrators must forward the appeal but may also forward their comments and recommendations along with the faculty member's materials.

Any member of the Kentucky Community and Technical College System community (faculty, staff member, or student) with a complaint about an alleged violation of these responsibilities shall process it through normal channels. Accordingly, the process should begin with discussion with the person accused of the violation. Although the rules state that "the process should begin with discussion with the person accused of the violation", a student is not required to discuss his/her complaint with the faculty member before seeking mediation by the ombud or other appropriate mediator as designated by the college president. If a satisfactory solution between the parties cannot be accomplished, then the accused's immediate supervisor or, if the complainant is a student, the academic ombud (or other appropriate mediator as designated by the college president) should be asked to mediate. If such mediation proves unsuccessful then the matter should be forwarded to the next administrative level with a written report concerning the matter with copies of the report to the parties involved. This process of mediation and report should follow normal channels up to and including the president of the college to which the person accused of a violation is assigned.

In the event that after the appropriate processing through these channels the president of the college is unable to mediate satisfactorily between the parties, or in the event that the president of the college is the complaining party and is unable to accomplish a satisfactory solution with the accused, he/she shall make a written report containing his/her recommendations and findings, and forward it to the appropriate Chancellor through the Community College Senate Advisory Committee on Privilege and Tenure with copies to the accused and the complainant. Upon receipt of the report from the president, the committee shall set a date for a hearing which must be within thirty (30) days of receipt of the president's report. The Committee shall then determine whether to hold closed or open hearing(s) after consultation with the parties in dispute. After the completion of the hearing(s) the Committee shall forward its recommendations to the Chancellor with respect to (1) whether or not the accused has violated the Code, and, if so, (2) the type of sanction, if any, which should be imposed. The Chancellor shall make a final decision after review of the report of the Committee. In any event, however, the accused shall

have the normal right of appeal to the Kentucky Community and Technical College System *President* and the Board of Regents in accordance with established procedures.

2.16.2.1.2 Appeals through the Community College Senate Advisory Committee on Privilege and Tenure (All Community College Faculty)

The Community College Senate Advisory Committee on Privilege and Tenure is charged with giving preliminary consideration to the following matters referred to it by the Chancellor, the Community College Senate, or individual faculty or staff members of the Community Colleges:

1. Cases of appointment termination for cause of a faculty member who has tenure;
2. Cases of dismissal of a faculty member during a limited appointment;
3. Cases of non-renewal of a probationary appointment with less advance notice than specified by the Kentucky Community and Technical College System Procedures;
4. Cases of allegation by a faculty member on a non-tenured appointment that a decision for non-reappointment violates the faculty member's academic freedom;
5. Cases of allegation by a faculty member on a non-tenured appointment that a decision for non-reappointment violates either Merit as the Basis for Appointment or Equal Opportunity of the policies, stated in 5a and 5b, banning certain discriminatory practices in academic employment; cases of allegation by a Community College administrator that a decision to terminate an appointment to that administrative post, or not to reappoint, violates academic freedom; and
 - a. Merit as the Basis for Appointment

All appointments shall be made strictly on the basis of merit. An applicant for a position shall not be discriminated against on the basis of race, color, religion, sex, sexual orientation, marital status, beliefs, age, national origin, or political affiliation. Additionally, the Kentucky Community and Technical College System shall not discriminate against any applicant for employment because of Vietnam-era veteran status, disabled veteran status, or physical or mental handicap in regard to any position for which the applicant for employment is qualified.

Members of the Board of Regents, except those elected to the Board as faculty representatives or as a student representative, and relatives by blood or marriage of any member of the Board of Regents are ineligible

for appointment to any position in the Kentucky Community and Technical College System. No relative by blood or marriage of the President of the Kentucky Community and Technical College System shall be employed in a position at the Kentucky Community and Technical College System. Similarly, no relative of a Chancellor or any Vice President shall be employed in a position in KCTCS. Waiver of the above regulation may be permitted by the Board of Regents on a stated temporary basis, not to exceed two years, when it is otherwise impossible practically to fill a position with a fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Regents. No relative by blood or marriage of any administrative officer of the Kentucky Community and Technical College System, or of any member of the *Kentucky Community and Technical College System* faculty, may be appointed to any position in the Kentucky Community and Technical College System over which the related officer or staff member exercises supervisory or line authority.

b. Equal Opportunity

Equal opportunities shall be provided for all persons throughout the Kentucky Community and Technical College System in recruitment, appointment, promotion, payment, training, and other employment practices without regard to race, color, religion, sex, sexual orientation, marital status, beliefs, age, national origin, or political affiliation. Further, the Community Colleges shall not discriminate against any employee or applicant for employment because of Vietnam-era veteran status, disabled veteran status, or physical or mental handicap in regard to any position for which the employee or applicant for employment is qualified.

The Kentucky Community and Technical College System Board of Regents is responsible for the development of an affirmative action program by which full implementation of this policy can be effected in the Community Colleges.

6. Cases of termination of a tenured appointment or the dismissal of a person prior to expiration of a non-tenured appointment, because of financial emergency and all similar cases.

The function of the committee in all such cases is to attempt to effect a resolution and, in cases of failure, to recommend to the Chancellor action to be taken.

The Community College Senate Advisory Committee on Privilege and Tenure may, upon request, advise individuals on the interpretation of Kentucky Community and Technical College System privilege and tenure policies and procedures, with copies of the interpretations sent to the Community College Senate Council, the Chairperson, the President of the Community College,

and the Chancellor. The committee may also consider allegations of faculty members who believe that their privilege as scholars has been abridged or abused. Faculty members should address statements to the Chairperson of the committee, describing in detail the reasons why they believe their privilege has been abused. The committee reviews the statement and determines whether conditions warrant further investigation. On conclusion of investigation, the committee makes recommendations to the faculty member and files a copy of these with the Chancellor. Recommendations may also be made to the Chancellor with a copy sent to the faculty member.

2.16.2.2 Appeals–Technical Colleges

(Policy development is in progress.)

2.16.2.3 Appeals to the Affirmative Action Officer

Appeals related to matters such as discriminatory actions and Equal Employment Opportunity complaints are directed to the Kentucky Community and Technical College System Affirmative Action Officer.

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_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
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_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

2.18 Hiring Policies (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

We carefully select our employees through appropriate selection procedures, including but not limited to written applications, personal interviews and reference checks. After all available information was considered and evaluated, you were selected to become a member of our team!

This selection process helps KCTCS find and employ people who:

- are concerned with their own personal success and the success of KCTCS;
- want to do a job well;
- can carry on their work with skill and ability; and
- can work well with our team.

KCTCS encourages and promotes career opportunities. If you are interested in new career opportunities, contact Personnel. Opportunities for advancement are also enhanced by self improvement through other training and development programs.

2.18.1 Employee Background Check (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Prior to becoming an employee of KCTCS, a job-related background check was conducted. As you may know, a comprehensive background check may consist of prior employment verification, professional reference checks, and education confirmation. As appropriate, a credit, criminal, health examination and/or driving record history may also have been obtained.

2.18.2 Credit Investigation (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Following the requirements imposed by the Federal Truth-In-Lending and the Fair Credit Reporting Acts, a federal statute that regulates the activities of consumer reporting agencies and users of credit reports, and protects consumers from invasions of privacy by placing certain restrictions on persons who may use or disseminate credit information about consumers, KCTCS may conduct a pre-employment credit check only on those applicants for positions that involve financial responsibility. Your employment with us may be conditional upon our review of the information in the credit check. KCTCS reserves the right to conduct this credit check at any time after you have been employed.

Remember, you have certain legal rights to discover and to dispute or explain any information prepared by the credit checking organization.

2.18.3 Driver's License and Driving Record (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Employees whose work requires operation of a motor vehicle must present and maintain a valid driver's license and a driving record acceptable to our insurer. You will be asked to submit a copy of your driving record to KCTCS from time to time. Any changes in your driving record must be reported to your immediate supervisor or designated organization representative immediately. Failure to do so may result in disciplinary action, up to and including possible termination.

2.18.4 Health Examinations (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

KCTCS reserves the right to require an offeree's or employee's participation in a health examination to determine the employee's ability for performing his/her essential job functions. All such health exams shall be paid for by KCTCS.

2.18.5 Criminal Records (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

KCTCS' has zero-tolerance for violence in the workplace. KCTCS may conduct a pre-employment criminal check on those applicants for positions that may involve close, unsupervised contact with the public. When appropriate, the criminal record is checked to protect KCTCS' interests and that of its employees and customers.

2.18.6 New Employee Orientation (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

On your first working day, you will be asked to complete employment paperwork. Depending on your department's workload, your immediate supervisor will introduce you to your co-workers and office layout. Please feel free to ask your colleagues any questions not answered during your orientation.

2.18.7 Introductory Period (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

The first 6 months of employment is an introductory period for staff members. For faculty hired between September 16 and March 15 the introductory period is 7.5 months (225 days.) For

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faculty hired between March 16 and September 15, the Introductory period extends to March 15 of the following year. (See also faculty contracts p. 48) Time worked on temporary or adjunct appointments is not credited toward completion of the introductory period. During the introductory period, work performance is monitored and assessed in order to determine whether or not continued employment status should be granted. During the introductory period an employee may be terminated at any time. An employee may access the independent third party appeal process during her/his introductory period only in cases involving statutorily prohibited discrimination.

6-22-98

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*(Include all dates in
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(SIGNED)

Recommended by

6-22-98

Date

(SIGNED)

President, KCTCS

2.19 Attendance

2.19.1 Attendance/Hours of Work

Your particular hours of work will be determined and assigned by your supervisor. Should you have any questions concerning your work schedule, please ask your supervisor.

2.19.2 Flex-Time

In its continuing effort to increase job satisfaction, morale of employees, and effective operation, KCTCS encourages flexible work hours scheduling. Based on business need and supervisory approval, you may have the opportunity to propose the hours that you prefer to work. The total hours that you work per pay period (not to exceed forty hours per week) will be the same as your current number of hours worked.

2.19.3 Work Schedule

The normal work week for a non-exempt, full-time staff employee is thirty seven and one half hours, distributed over five consecutive days, Monday through Friday. The normal work week for an exempt full time employee is a minimum of 37.5 hours. Your supervisor will establish your work schedule as operational needs demand.

2.19.4 Work Arrival and Departure

Your supervisor will inform you of your expected arrival time. An employee scheduled to work is expected to remain on the job performing the duties of the job until the completion of the scheduled work day.

In addition to the hours of service the department maintains, exempt employees are governed by completion of tasks as well as responsibility for assuring that projects are completed on time. This may require additional work outside of the scope of normal work hours. When these occasions arise, employees are expected to fulfill their responsibilities.

2.19.5 Rest Periods

You are not required to work more than four hours without being permitted a paid rest period of at least fifteen minutes. Your rest period is in addition to your regularly scheduled lunch period. Please arrange your rest period in a manner that enhances the maintenance of full service in your department.

If you are scheduled to work a seven and one half hour day, you are permitted two fifteen-minute rest periods, one near the middle of the shift before your meal period and one near the middle of the shift after your meal period.

2.19.6 Meal Periods

Your meal period is scheduled as near as possible to the middle of a work day or shift of more than five hours. During your meal period, you are free from all work of any type. Your meal period is not counted as hours worked.

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President, KCTCS

SECTION 3

Equal Opportunity, Benefits, Health and Safety Related Policies

3.1.1 KCTCS Policy for Employing People With Disabilities

It is a policy of the KCTCS to comply with the Americans With Disabilities Act (the “ADA”), and applicable state and local laws that forbid discrimination in employment against qualified individuals with disabilities.

3.1.1.1 KCTCS Procedure for Employing People With Disabilities

The purpose of these procedures is to support equal opportunity in employment for all qualified persons with disabilities and to accommodate qualified individuals with disabilities.

In support of its policy to comply fully with the ADA and other federal and state laws that prohibit discrimination in employment against qualified individuals with disabilities, the Director of Human Resources of the applicable college will use the following procedures:

1. Review recruiting, advertising, and job application procedures to provide persons with disabilities meaningful employment opportunities. Upon request, the applicable college will make applications available in alternative accessible formats, such as providing assistance in completing employment applications. Pre-employment inquiries will be made only with regard to an applicant’s ability to perform the duties of the position, not any disabling condition. The applicable college may, however, make pre-employment inquiries into the ability of an applicant to perform job-related functions, and may ask an applicant to describe or to demonstrate how, with or without reasonable accommodation, the applicant will be able to perform job-related functions;
 2. Require pre-employment physical examinations only after conditional job offers, and only for those job categories for which physical examinations are given to all persons entering the position. Pre-employment medical examinations may or may not be job-related and consistent with business necessity. Medical examinations of existing employees will be required only when job-related and justified by business necessity;
 3. Conduct voluntary medical examinations and activities, including voluntary medical histories, which are part of the KCTCS’ employee health program;
 4. Maintain all medical-related information in a confidential manner in separate confidential files;
 5. Provide reasonable accommodation to all persons with disabilities. whether applicants for employment or employees, except where making an accommodation would create an undue hardship on the applicable college or the KCTCS;
 6. Entitle all qualified employees with disabilities to equal pay and other forms of compensation (or changes in compensation) as well as job assignments, promotion and demotion, leaves of absence (including sick leave), fringe benefits, and other terms, conditions, or privileges of employment; and
-

7. Notify all individuals with disabilities that the applicable college and the KCTCS provide reasonable accommodation to qualified individuals with disabilities. by including a statement to this effect in applicable policy manuals. and by posting the Equal Employment Opportunity Commission's poster regarding non-discrimination against the disabled and other protected groups in conspicuous places upon the college premises where notices to employees and applicants for employment are customarily posted.

3.1.1.2 KCTCS Accommodation Procedures

1. All requests for accommodation from qualified applicants and employees with disabilities must be in writing; contain the name, address, and telephone number of the person requesting the accommodation; and describe the reason for which the accommodation is being requested. Requests for accommodation must be referred to the Director of Human Resources of the applicable college, or a designee.
 2. Upon receipt of an accommodation request, the Director of Human Resources of the applicable college will meet with the applicant or employee requesting the accommodation to discuss and identify the precise limitations resulting from the disability and potential accommodations that allow the individual to perform the essential functions of the job.
 3. If necessary, the Director of Human Resources of the applicable college will discuss potential accommodations with the individual's supervisor or potential supervisor. In addition, the Director of Human Resources of the applicable college may contact outside agencies specializing in providing technical assistance for persons with disabilities, or consult with medical experts about potential accommodations.
 4. In order to identify a reasonable accommodation, the Director of Human Resources of the applicable college will:
 - a. Consult with the supervisor and written job description to determine the purpose and essential functions of the job involved;
 - b. Consult with the person with a disability to determine specific physical or mental abilities and limitations as they relate to the essential job functions. The barriers to job performance and potential methods of overcoming these barriers will be identified and
 - c. Consult with the person with a disability to identify potential accommodations and assess the effectiveness of alternative potential accommodations.
 5. In order to evaluate potential accommodations. The Director of Human Resources of the applicable college may do one (1) or more of the following:
 - a. Request a written statement from the physician of the person with a disability to verify the disability and legitimate need for an accommodation;
 - b. Require the individual to be examined by a medical expert selected by the applicable college to help identify effective accommodations;
-

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

- c. Require the individual to be evaluated by a psychologist, psychiatrist, rehabilitation counselor, occupational or physical therapist, or any other professional with knowledge of the person's disability; and
 - d. Require access to the individual's medical records.
6. The Director of Human Resources of the applicable college or a supervisor who has a need to know (e.g., the individual's supervisor, or, if an applicant, prospective supervisor), will determine the feasibility of potential accommodations. The factors taken into consideration shall include, but may not be limited to, the following:
 - a. The nature and net cost of the accommodations needed, including tax credits and deductions or outside funding available to the applicable college or to the KCTCS;
 - b. The financial resources of the applicable college or of the KCTCS, as appropriate, the number of employees of the applicable college or the KCTCS and the effect on expenses and resources of the applicable college or of the KCTCS;
 - c. Consideration of special types of employment operations where, on a case-by-case basis, providing a particular accommodation might be an undue hardship; and
 - d. The impact of making the accommodation on the operation of the applicable college or of the KCTCS, including the impact on the ability of other employees to perform their duties and the impact on the ability to conduct the business of the applicable college or of the KCTCS.
7. A college is not required to make a reasonable accommodation if such accommodation would impose an undue hardship on its operation or the operation of the KCTCS. However, if a particular accommodation would impose an undue hardship, the applicable college or the KCTCS, as appropriate, must consider whether there are alternative accommodations that would not impose such hardship.

An undue hardship is an action that requires significant difficulty or expense in relation to the size of the applicable college or of the KCTCS, as appropriate, the resources available to it, and the nature of the operation.

The concept of undue hardship includes any action that is:

- a. unduly costly;
 - b. extensive;
 - c. substantial;
 - d. disruptive; or
 - e. that would fundamentally alter the nature or operation of the applicable college or the KCTCS.
 8. The Director of Human Resources of the applicable college in consultation with the Chancellor for the KCTCS shall determine whether an accommodation can be made without causing the applicable college or the KCTCS undue hardship. All accommodation requests involving expenditures not budgeted shall be reviewed with and approved by the Chancellor for the KCTCS prior to granting any accommodation.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

9. In choosing between several effective accommodations which would provide an equal employment opportunity, the applicable college and the KCTCS will consider the preference of the individual to be accommodated; but if there are two (2) or more effective accommodations, the applicable college, or the KCTCS, as appropriate, may choose the least expensive accommodation, or the accommodation which is easiest to provide.

10. Once the decision is reached as to whether an accommodation can be made without causing either the applicable college or the KCTCS undue hardship, or how an accommodation will be made, the Director of Human Resources of the applicable college or the Chancellor for the KCTCS, as appropriate, will inform the applicant or employee of the decision regarding the accommodation.

11. Although the duty to accommodate is legally triggered by a request from an applicant or employee, situations may arise where an employee who is known to have a disability may be having difficulty performing the essential job functions. In these circumstances, the employee's supervisor may discuss the matter with the Director of Human Resources of the applicable college or with the Chancellor for the KCTCS, as appropriate. If it is determined that the employee should be approached about the possibility of the applicable college or the KCTCS providing a reasonable accommodation, the Director of Human Resources of the applicable college or the Chancellor for the KCTCS, as appropriate, and the employee's supervisor will jointly initiate a discussion with the employee about the need for an accommodation.

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_____ Recommended by	_____ Date	_____ President, KCTCS Date

3.2 Personnel Records

3.2.1 Personnel Records–Community Colleges

Each community college and the Community College Branch, as applicable, maintains a personnel file on each employee for the purpose of review as appropriate. The president of the applicable community college or the Chancellor for the Community Colleges, as appropriate, shall designate an Official Records Custodian to maintain an official file for all active employees.

The types of documents maintained and retained in the personnel files may include:

1. Application for Employment;
2. Résumés or Curriculum Vitae;
3. Payroll Authorization Records (PAR);
4. Vacation and temporary disability records (which should be forwarded by the department/division as completed or upon separation);
5. Faculty-Staff Information Sheets;
6. Performance Evaluations;
7. Disciplinary Records, Consultation Reports, and other related documentation;
8. Appropriate insurance, retirement, and other benefits information;
9. Employee Separation Sheet; and
10. Diplomas, certificates, training records, and related personal accomplishment documentation which may be submitted.

3.2.2 Personnel Records–Technical Colleges

(Policy development is in progress.)

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_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

3.3.1 Harassment Based on Race, Gender, Age, National Origin, Color, Religion, or Disability

KCTCS intends to provide a work environment that is pleasant, professional, and free from illegal discrimination. Persons, including students, shall not be forced to tolerate a hostile work environment. A hostile environment is created when persons are forced to suffer harassment based upon their race, gender, age, national origin, color, religion, or disability.

3.3.1.1 What is Harassment?

Workplace harassment may create a hostile work environment if the harassment interferes with an employee's job performance. Harassment can take many forms, including, but not limited to, innuendo, suggestive comments, threats, insults, jokes, horseplay, rumors, pictures, signs, writings, e-mail, and gestures, based upon another person's gender, race, age, national origin, color, religion, or disability.

3.3.1.2 Responsibility

All employees, and particularly immediate supervisors, have a responsibility for keeping our work environment free of harassment. Any employee who becomes aware of an incident of harassment, whether by witnessing the incident or being told of it, must report it to their immediate supervisor or the designated management representative with whom they feel comfortable. When management becomes aware of the existence of harassment, it is obligated by law to take prompt and appropriate action, whether or not the victim wants the KCTCS to do so.

3.3.1.3 Reporting Harassment

While KCTCS encourages you to communicate directly with the alleged harasser, and make it clear that the harasser's behavior is unacceptable, offensive or inappropriate, it is not required that you do so. It is essential, however, to notify your supervisor immediately even if you are not sure the offending behavior is considered harassment. Any incidents of harassment must be immediately reported through the normal supervisory channels, or by contacting the Personnel office, or through the complaint resolution procedure. Appropriate investigation and disciplinary action will be taken. All reports will be promptly investigated with due regard for the privacy of everyone involved. However, confidentiality cannot be guaranteed. Any employee found to have harassed a fellow employee or subordinate will be subject to severe disciplinary action up to and including termination. KCTCS will also take any additional action necessary to appropriately remedy the situation. Retaliation of any sort will not be permitted. No adverse employment action will be taken against any employee making a good faith report of alleged harassment. KCTCS accepts no liability for harassment of one employee by another employee. The individual who makes unwelcome advances, threatens or in any way harasses another employee is personally liable for such actions and their consequences. KCTCS may or may not provide legal, financial or any other assistance to an individual accused of harassment if a legal complaint is filed.

3.3.1.4 Consensual Relationships Policy

The definition of "consensual relationship" includes a mutually agreed upon romantic relationships and/or a relationship involving physical intimacy.

KCTCS acknowledges its responsibility to provide clear direction to its College communities about the professional risks associated with consensual relationships in which a definite power differential between the parties exists. Inasmuch as KCTCS is committed to fostering the development of learning and work environments characterized by professional and ethical conduct and free of discriminatory behavior, consensual relationships between instructor and student or supervisor and employee are discouraged. KCTCS recognizes that it cannot regulate such personal decisions, but views them as sources of concern for two reasons:

- 1 Abuse of Power: Individuals entering into consensual relationships involving a power differential must recognize that (i) the reasons for entering such a relationship may be a function of the power differential; (ii) where power differentials exist, even in seemingly consensual relationships, consent shall not be considered a defense if a complaint of sexual harassment or retaliation is brought; and (iii) the individual in the relationship with greater power will bear the burden of accountability.

- 2 Conflict of Interest: Conflicts of interest may arise in the connection with consensual relationships between instructors or other KCTCS staff and students, or between supervisors and subordinates. Our nepotism policy prohibits individuals from making or influencing decisions affecting those with whom they have intimate, familial relationships. The same principles apply to consensual relationships.

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Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
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(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

3.3.3 Immigration Law Compliance (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

All offers of employment are contingent on verification of your right to work in the United States. On your first day of work you will be asked to provide original documents verifying your right to work and, as required by federal law, to sign Federal Form I-9, Employment Eligibility Verification Form. If you at any time cannot verify your right to work in the United States, KCTCS may be obligated to terminate your employment.

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(SIGNED)

Recommended by

Date

President, KCTCS

3.3.6 Kentucky Community and Technical College System Environmental Health and Safety Policy

It is the policy of the KCTCS to provide a safe and healthy environment for its students, faculty, staff and visitors. KCTCS intends to be a role model for the Commonwealth in its environmental stewardship, health protection, and safety standards and in its compliance with all laws and regulations relating to the environment, health and safety. These goals will be part of the management objectives for units at all levels of the KCTCS. Employees and students are expected to support these goals in all KCTCS activities.

KCTCS is committed to developing and maintaining a sustainable and environmentally responsible mode of operation, within the context of its educational mission, fiscal constraints, and responsibilities to students, faculty, staff, alumni, and the local communities. This commitment to environmental responsibility is intended both to educate the KCTCS community about environmental issues and to minimize, to the extent practicable, KCTCS's impact on the environment.

3.3.6.1 Environmental Health and Safety Programs and Responsibilities

A. KCTCS Facilities Management, Environmental Health and Safety Section

The Environmental Health and Safety Section is responsible for development, oversight and management of environmental health and safety programs that protect the environment, provide safe and healthy conditions for work and study, and comply with applicable laws and regulations. Staff will function as consultants to heads of academic and administrative units in all areas of environmental health and safety. In addition to consultation, the office will make health and safety investigations as necessary and upon request, will assist safety committees in the development of intra-departmental safety programs, and participate in health and safety training and education projects.

The Environmental Health and Safety Section will provide technical assistance in determining existing or potential health and safety hazards. Assistance can be provided through consultations and code interpretations either for existing operations and facilities or for those which are being planned. Additionally, the Section will inspect and report on the environmental health and safety aspects of KCTCS operations and facilities. Such inspections may be routine or by request. The results will be reported to the appropriate administrative personnel.

The Section will maintain reference materials from local, state, and federal agencies, particularly in regard to rules and procedures affecting campus operations, and will assist in the technical interpretation of same. The Section will develop additional appropriate environmental health and safety standards for unique campus situations and submit them for administrative approval.

B. College Presidents, Deans, Faculty Division Chairs and Other Heads of Academic and Administrative Units

College Presidents, Deans, Faculty Division Chairs and other heads of academic and administrative units have a primary responsibility for the health and safety of their staff and students and for compliance with all applicable laws and regulations; for providing funds needed for safety and health improvements and for making those improvements; and for ensuring that supervisors, employees and students comply with the duties set forth herein. In addition, some units may have other specific requirements and responsibilities established by agencies external to KCTCS.

The formation of safety committees within each college is encouraged.

C. Supervisors

Each supervisor has certain specific responsibilities for providing a working environment free from safety and health hazards for those supervised. These responsibilities include, but are not limited to, the following:

1. Informing new employees about safety and health procedures, rules and regulations, as well as their specific responsibilities.
 2. Assuring that required equipment and personal protective equipment are provided, maintained and used.
 3. Taking prompt action when unsafe acts or conditions are reported or noted.
 4. Providing for health and safety training and education on a continuing basis.
 5. Promptly investigating and reporting all on-the-job accidents and requesting medical treatment if required.
 6. Promptly investigating and reporting all job-related health or safety problems.
 7. Coordinating or conducting internal inspections to assure safe and healthful conditions.
 8. Requesting the assistance of the next higher level of supervision regarding budget requests for health and safety improvements.
-

D. Employees

Each employee has certain specific responsibilities to comply with existing safety and health standards, rules, and regulations. The responsibilities include, but are not limited to, the following:

1. Following all safety and health standards and rules.
2. Reporting all hazardous conditions to the supervisor.
3. Wearing or using prescribed personal protective equipment.
4. Reporting any job-related injuries or illnesses to the supervisor and seeking treatment promptly.
5. Refraining from the operation of any mechanical equipment without both proper instructions and authorization.

E. Students

Students are responsible for following all health and safety standards and rules.

F. Committee Charge

That a KCTCS system wide committee on environmental health and safety be appointed to review and oversee recommended safety policies and procedures and to annually review issues regarding safety as required by external regulatory agencies. The members of the committee will serve a staggered three (3) year term. The President will appoint the members and the chairperson.

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The recommended membership for the Committee on Environmental Health and Safety Committee includes:

- Environmental Health & Safety Section
- Division of Facilities Management
- College Student Representative
- College Faculty Member
- Chairperson

4-30-99

Date Approved by
President, KCTCS

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

Recommended by

4-30-99

Date

(SIGNED)

President, KCTCS

4-30-99

Date

3.3.7 KCTCS Reporting Accidents and Injuries

Accidents or injuries may occur when employees are working and are defined as any act, including occupational diseases, which interrupts an intended course of action and results in reportable injuries to a person, or damage to equipment or property. A reportable injury is one which requires the injured to cease the activity in which they may be engaged or causes the absence of the injured for a period of time, and requires either first aid or medical attention. In order to comply with federal and state laws, and to ensure that the KCTCS is cognizant of all accidents and injuries, there are two (2) forms for reporting accidents, injuries, and occupational illnesses.

One is the Employer's First Report of Injury, which is required under the Kentucky Workers' Compensation Act. Once all pertinent information is obtained, the supervisor will immediately telephone the college Human Resource Office, which must immediately contact the Workers' Compensation Branch and report the injury. This must be submitted promptly to the appropriate Kentucky Community and Technical College System office which will submit the report to the appropriate state agency within three (3) working days of knowledge of the injury.

The second form is the Standard Accidental Injury Report, which is used to report the facts from investigation of all accidental injuries and contracted occupational diseases of employees, students, and visitors.

This form is prepared by the injured person's immediate supervisor, or other person assigned to conduct the investigation, within 24 hours of an injury. The original report should be forwarded to the appropriate Kentucky Community and Technical College System office and a copy submitted to the appropriate academic unit or administrative division.

3.3.8 Respect to Exposure to Bloodborne Pathogens

The Policy and Manual of Procedures on Bloodborne Pathogens is on file with the Director of Human Resources at each KCTCS college.

The following staff and faculty members are identified as having occupational exposure to bloodborne pathogens:

1. Staff of Health Services, and faculty and staff in health related academic disciplines;
2. Staff of Operations and Support Services;

3. Faculty and Staff Athletic divisions; and
4. Specific academic personnel in research situations.

3.3.9 KCTCS Employee's Right to Know

The Employee Right to Know Act of 1983 defines handling procedures for working with and handling hazardous and toxic chemicals. A copy of this Act in its entirety may be obtained from the Director of Human Resources at each KCTCS college. The following summarizes the provisions of the Act:

1. Provides for occupational safety and health;
2. Defines “hazardous substance”;
3. Defines “harmful physical agent”;
4. Requires employers using hazardous substances and harmful physical agents to provide employees with certain training information;
5. Requires that hazardous substances and harmful physical agents be labeled under certain circumstances;
6. Creates a right to refuse to work under conditions violating the state Occupational Safety and Health Act;
7. Creates a right to refuse to work with a hazardous substance or harmful physical agent under certain conditions; and
8. Provides penalties.

3.3.10 KCTCS Serious Disease

Employees or students with infectious, long-term, life-threatening, or other serious diseases may continue their work as a part of the KCTCS as long as they are physically and mentally able to perform the duties of their job or meet their academic responsibilities without undue risk to their own health or the health of other employees or students.

Serious diseases include, but are not limited to, cancer, heart disease, multiple sclerosis, hepatitis, tuberculosis, human immunodeficiency virus (HIV), and acquired immune deficiency syndrome (AIDS). The KCTCS will support, where feasible and practical, educational programs to enhance employee and student awareness, and understanding of serious diseases.

The mere diagnosis of HIV, AIDS, AIDS-Related Complex (ARC), or AIDS virus antibodies, or any other serious communicable disease is not, in itself, sufficient basis for imposing limitations, exclusions, or dismissal. Harassment of individuals with or suspected of being infected is not

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acceptable behavior at any KCTCS college and will be strictly censored. The diagnosis of the condition, as any other medical information, is confidential.

In working with employees or students diagnosed with HIV, AIDS, or any other serious communicable disease, each community/technical college and the KCTCS, as appropriate, will proceed on a case-by-case basis, with the advice of medical professionals.

Factors to be considered include:

1. The condition of the person involved and the person's ability to perform job duties or academic responsibilities;
2. The probability of infection of co-workers or other members of the community based on the expected interaction of the person in the community/technical college setting;
3. The possible consequences to co-workers and other members of the community, if infected;
4. Possible reasonable accommodations and modifications to the individual's job, or other obligations to take account of the condition;
5. Risk to the person's health from remaining on the job or in the community; and
6. Other appropriate factors.

Any determination with respect to an employee or student will be made following consultation with the affected employee or student, the employee or student's treating physician (if available), and such other persons as need to be involved in such a situation.

Disclosure will take place only if deemed medically advisable and legally permissible. The county Health Department will be informed of all cases of diseases required to be reported under state or federal law.

4-30-99	9-24-02	9-24-02	
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	9-24-02	(SIGNED)	9-24-02
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

3.3.12 Sales and Solicitation

So that employees may perform their duties free from interruptions, the KCTCS prohibits employees from making unauthorized sales to or solicitation of employees and/or the general public on System property. Unauthorized sales or solicitation may include collection of money, political campaigning, solicitation of subscriptions, or the sales of merchandise, e.g., house wares, cosmetics, food, tickets, raffles, etc.

Various charitable organizations may, from time to time, conduct on campus solicitations of contributions from employees. These charitable solicitations may be carried out by (1) use of the KCTCS mail service and/or (2) access to the payroll deduction system.

Any solicitation by an employee of any kind of merchandise, publications, or services, or solicitation of subscriptions, etc., other than by a staff employee whose job description includes sales by authorized stores, food services places, departments, or divisions is prohibited except upon permission of Community College President or Technical School Director.

6-22-98

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

3.3.13 KCTCS Substance Abuse

3.3.13.1 Drug Abuse

3.3.13.1.1 KCTCS Policy Regarding Drug Abuse

The KCTCS is committed to providing a healthy and safe workplace for its employees. Conduct which is a violation of this policy poses unacceptable risk and disregard for the health, safety, and welfare of co-workers, students, and the total KCTCS community.

The unlawful possession, use, dispensation, distribution, or manufacture of controlled substances by employees, while on KCTCS property and/or on KCTCS business, is prohibited.

Any employee who engages in the unlawful possession, use, dispensation, distribution, or manufacture of controlled substances, while on KCTCS property and/or KCTCS business, or who is convicted of a criminal drug statute violation which occurred in the workplace or while on KCTCS business is subject to disciplinary action, up to and including suspension or discharge.

3.3.13.1.2 Legal Use of Prescribed Medicines

The legal use of prescribed medicines under the direction of a licensed physician is permitted. Employees in selected positions, designated by KCTCS, are required to make such use known to an appropriate KCTCS representative, as described in college standard operating procedures. Employees using prescribed medicines should consult with a physician concerning the safe use of the drug during working hours.

3.3.13.1.3 Delegation

Authority for enforcement of this policy is vested with the Chancellors/Vice President.

3.3.13.1.4 Procedure

The KCTCS provides for its employees educational programs and general information on the following:

1. The dangers of drug use and abuse in the workplace;
 2. KCTCS Drug Free Policy;
 3. The availability of drug counseling, rehabilitation, and employee assistance programs; and
 4. The penalties for violation of the KCTCS Drug Abuse Policy.
-

In the Community Colleges /Technical Colleges, whenever a supervisor witnesses the unlawful possession, use, dispensation, distribution, or manufacture of controlled substances by an employee, that supervisor shall notify the President/Director who shall (1) immediately notify the appropriate police authority, (2) suspend the employee pending further investigation, and (3) inform the community college/technical college chief official for Human Resources.

The college president/director in conjunction with the employee's supervisor and the community/technical college chief personnel officer, shall conduct an investigation and, based on the factual information obtained from all parties, determine whether there has been a violation of this policy, and report the evidence to the Chancellor.

If the employee is engaged in the performance of a grant or contract, the Chancellor(s) shall notify the Kentucky Community and Technical College System President and the appropriate Kentucky Community and Technical College System staff that an investigation has been instituted.

All discussions, investigations and basis for disciplinary or rehabilitative actions shall be strictly confidential.

If the evidence confirms that the staff employee has violated this policy, the Chancellor(s) in conjunction with the President of a community/technical college, and with the Kentucky Community and Technical College System staff, in accordance with Kentucky Community and Technical College System policies and procedures, shall determine the appropriate sanction to include the following:

1. Disciplinary action up to and including suspension or discharge; and/or
2. Referral to an employee assistance program and/or drug rehabilitative program.

3.3.13.1.5 Student Employees

If evidence confirms that a student employee has violated this policy, the President/Director of a community/technical college with the community/technical college chief personnel officer, consistent with Kentucky Community and Technical College System policies and procedures, shall determine the appropriate sanction in accordance with the student employee's status as an at-will employee.

Nothing in this policy shall be construed to prohibit or interfere with whatever appropriate disciplinary action may be taken in accordance with the student employee's student status, as provided by the Code of Student Conduct.

Whenever a supervisor notices an employee with overt signs of mental or physical impairment thought secondary to substance abuse, or when job related behavior or work performance suggests substance abuse, the President/Director shall refer the employee to an appropriate local rehabilitation health service.

The decision to acknowledge substance abuse and accept therapeutic intervention rests with the employee, and participation in an employee assistance program or rehabilitation program is voluntary. However, refusal to participate in appropriate intervention program(s) shall result in disciplinary action, up to and including suspension or dismissal.

The community/technical college President/Director with the community/technical college chief personnel officer shall monitor the progress of the employee and inform the supervisor of the employee's progress and anticipated safe return to the job.

If an employee with suspected substance abuse and/or poor work performance, thought secondary to that substance abuse, refuses employee assistance program referral and/or appropriate rehabilitation services, the community/technical college President/Director with the community/technical college chief personnel officer and the employee's supervisor shall institute the appropriate work performance evaluation and action.

In compliance with the Federal Drug-Free Workplace Act of 1988 (Section 5151), an employee shall abide by this Drug Abuse Policy, and notify the immediate supervisor if the employee is convicted of a criminal drug offense occurring in the work place or while on KCTCS business within (5) days after the conviction. The immediate supervisor shall immediately notify the President/Director of the community/technical college when a staff employee is involved.

If the employee is under federal contract or grant, the immediate supervisor shall notify the sector chief personnel officer who shall notify the Chancellor who in turn shall notify the appropriate federal contract/granting agency within ten (10) days after notification by the supervisor of the conviction.

Within thirty (30) days after an employee's conviction for a drug offense on KCTCS property and/or on KCTCS business, the KCTCS shall take appropriate sanctions and remedies in accordance with this policy, and Kentucky Community and Technical College System policies and procedures, up to and including suspension or dismissal, and/or satisfactory participation in an approved substance abuse assistance/rehabilitation program.

3.3.13.1.6 Drug Free Workplace Notification

Set forth in Appendix I is a memorandum regarding Drug-Free Workplace Notification.

3.3.13.1.7 KCTCS Policy on Alcohol Abuse

KCTCS is committed to providing a healthy and safe workplace for its employees. The problem of alcohol abuse constitutes a growing national crisis; therefore, the KCTCS has this alcohol abuse policy.

Conduct which is a violation of this policy poses unacceptable risk and disregard for the health, safety, and welfare of co-workers, students, and the total KCTCS community.

Alcohol abuse, or being under the influence or the unauthorized use or consumption of alcohol on KCTCS property or while on KCTCS business, is prohibited and is subject to disciplinary action up to and including suspension or discharge.

Reporting to work under the influence of alcohol is prohibited and is subject to disciplinary action, up to and including suspension or discharge.

Authority for enforcement is vested with the Chancellor(s)/Vice President.

3.3.13.1.8 Procedure Regarding Alcohol Abuse

The KCTCS provides educational programs and general information on the danger of alcohol use and abuse in the workplace. The KCTCS trains its supervisors to recognize mental and physical signs of problem drinking.

In the KCTCS, the supervisor shall notify the community/technical college President/Director who shall (1) suspend the employee pending further investigation and (2) inform the community/technical college chief personnel officer.

The community/technical college President/Director in conjunction with the employee's supervisor and the community/technical college chief personnel officer shall conduct an investigation and, based on factual information obtained from all parties involved, determine whether there has been a violation of this policy.

All discussions, investigations and basis for disciplinary or rehabilitative actions shall be strictly confidential.

If the evidence confirms that the staff employee has violated this policy, community/technical college President/Director, with the employee's supervisor and the community/technical college chief personnel officer, shall review the factual information to determine the appropriate action which includes as follows:

1. Disciplinary action up to and including suspension or discharge; and/or
2. Referral to an employee assistance program or rehabilitation program.

If evidence confirms that a student employee has violated this policy, the community/technical college President/Director, consistent with Kentucky Community and Technical College System policies and procedures, shall determine the appropriate sanction in accordance with the student employee's status as an at-will employee. Nothing in this policy shall be construed to prohibit or interfere with whatever appropriate disciplinary action may be taken in accordance with the student employee's student status, as provided by the Code of Student Conduct.

Whenever a supervisor notices an employee with overt signs of mental and physical impairment thought to be secondary to substance abuse, or when job related behavior or work performance

3.3.14 KCTCS Smoking Policy

Smoking at each community/technical college and in the offices of the KCTCS is not permitted.

3.3.15 Policy of KCTCS Governing Speakers from Off Campus

In the historical role of a democratic institution of higher learning devoted to the search for truth, KCTCS is dedicated to maintaining on its campuses a spirit of free intellectual inquiry and an open exchange of ideas. It promotes vigorous, uninhibited debate and discussion, as well as critical and objective evaluation of divergent points of view.

KCTCS expects that various speakers who come to the campus will represent different shades of opinion, and that some will express controversial and unpopular views. It is essential to free inquiry and the ultimate discovery of truth that all ideas be freely expressed and freely subjected to critical analysis in the community/technical college setting. To this end, KCTCS has reexamined, reaffirms and makes explicit its traditions in this area.

KCTCS encourages its administration, faculty, and students to invite outside speakers to its campus. The appearance of such speakers does not imply approval or disapproval of them or of their views. They are brought to the campus because it is believed that their discussions will further the educational goals of the KCTCS.

Each community/technical college and KCTCS will act responsibly in inviting speakers and guests who are also expected to act responsibly. This policy requires that no law or governing regulation of the KCTCS be violated by the speech or program. KCTCS also requires that meetings on its campuses, at which off-campus speakers appear, be peaceful and orderly, and in no way interfere with the proper functioning of a community/technical college or the KCTCS. Further, the KCTCS through the Office of the Chancellors may prescribe conditions for the conduct of programs at which off-campus speakers appear. These conditions may include requiring a Community Colleges /Technical Colleges official or a senior faculty member to chair the program, requiring opportunity for comments and questions from the floor, or such other practices as may be necessary to preserve order and to insure an atmosphere of open exchange of ideas. In addition, a Community College President/Technical College Director or the Chancellors may take appropriate action to insure that the community is provided with a balanced exposure to divergent opinions on controversial issues.

The protection of student freedom of discussion on the community/technical college campuses is a necessary facet of the preservation of the spirit of free inquiry to which KCTCS is dedicated. Faculty members must bear the major responsibility for carrying out the mission of disseminating knowledge. The conduct of this mission requires an atmosphere of freedom to examine and discuss all ideas, including the novel and sometimes unpopular. KCTCS expects the examination and discussion of ideas to be conducted in a fashion appropriate to the educational function and dignity of KCTCS in accordance with its policies. Subject to this expectation and

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their own exercise of responsibility and discretion, faculty members, administrators, and registered student organizations are free to bring speakers to community/technical college campuses, providing that proper arrangements for the use of community/technical college facilities have been made.

4-30-99			
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Recommended by	Date	President, KCTCS	Date

3.3.16 Kentucky Community and Technical College System Policy and Procedural Guidelines for the Management and Use of Facilities

For the purpose of management and use of facilities at the various community colleges comprising the Kentucky Community College & Technical College System, the following policy guidelines are set forth.

This policy covers the facilities of the 13 community colleges under the management of the Chancellor of the Community Colleges and their satellite locations throughout the state of Kentucky, and the 15 technical colleges under the management of the Chancellor of the Technical Colleges.

I. Definitions

For the purpose of this Policy Statement the following terms are defined:

- A. Facilities - Buildings and grounds owned by the Commonwealth of Kentucky and assigned to the various colleges within the Kentucky Community & Technical College System.
- B. College Units and Groups - Budgeted units within the Kentucky Community & Technical College System, recognized student organizations, and college affiliated organizations.
- C. Non- College Groups - Those groups that are neither included in Section 1.B nor co-sponsored by a college's community service program.

II. Policy Guidelines for the Management of Facilities in the Kentucky Community & Technical College System

- A. The responsibility for management and allocation of space within the Kentucky Community & Technical College System will be in the Office of the President with the advice and input of the Chancellors.
 - B. In order to promote operational efficiency and to provide administrative flexibility within the Kentucky Community & Technical College System, the President, except as noted in Section II.K, hereby delegates this function to the president of each community college and director of each technical college.
 - C. The System's facilities shall be used only for educational, cultural, or charitable purposes, or other purposes as determined by the President for the Kentucky Community & Technical College System in accordance with the KCTCS Board of Regents and the *Rules of the Senate of the Community Colleges*.
 - D. College facilities shall not be used to further the interests of a political party or be used to advance or inhibit religion.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

- E. Non-college groups or agencies may apply for the use of college facilities when the program to be presented is of an educational, cultural, or charitable nature, or relates to other purposes consistent with the role of the college and is approved by the college president or director.
 - F. College facilities shall be made available to college units and groups and non-college groups only after it has been determined that the facility has not been scheduled and is not otherwise expected to be used for academic functions.
 - G. Non-college groups which charge a registration or admission fee for the program and those groups which are not cosponsored by the college as part of the college's community service program, with the exception of cases covered in Sections II.H and II.I, shall be charged a fee for the use of the facility sufficient to cover all costs involved. Auxiliary enterprise operations shall be charged a fee for space occupied.
 - H. There shall be no charge to the State's universities for the use of college facilities provided these are used for educational purposes during normal operation times. A fee shall be charged for the use of facilities outside of the normal operational periods established by the college and for other than educational purposes.
 - I. There shall be no charge to non-college groups or agencies presenting charitable programs during normal operational periods where the sole sponsors and promoters are Kentucky groups or agencies and the total net proceeds are given to Kentucky charities.
 - J. When college facilities are used by a non-college group, a memorandum of agreement between the group and the college shall be negotiated in advance stating the conditions and charge for the use of the facility and setting forth the responsibilities of the group and the college.
 - K. A memorandum of agreement normally shall not exceed one semester or an equivalent time period. The President of KCTCS must approve an agreement for a longer period of time.
 - L. Except as noted in Section II.K, the local college president or director is hereby delegated the responsibility of entering into a memorandum of agreement with a non-college group for the use of a college's facility.
 - M. The use of a college's name by a non-college group in a manner which is inconsistent with the role of the colleges is prohibited.
 - N. Each college shall designate one or more unrestricted areas to be available to college units or groups for the purpose of conducting any lawful demonstration, meeting, or assembly without having to reserve such areas in advance.
 - O. Solicitations by any college unit or group, or any non-college group, for subscriptions, sales of merchandise of any kind whatsoever, publications, or services upon college
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property (other than by the authorized stores, eating places, or vending operations of a college) are prohibited except upon written permission of the college president or director.

III. Procedural Guidelines for the Management and Use of Facilities in the Kentucky Community & Technical College System

- A. All requests for the use of facilities by college units and groups and non- college groups shall be forwarded to the local college president or director or the president's or director's designee.
- B. All requests shall be in writing and received by the local college president or director or the president's or director's designee at least 48 hours prior to the scheduled event.
- C. All applications from college units and groups and non-college groups will be considered in order of receipt. Scheduled academic activities and community service functions shall have priority for the use of a college facility.
- D. The best interest of the college may make it necessary occasionally to cancel an event. When such a cancellation becomes necessary, the unit or group holding the reservation shall be given notice as far in advance as possible.
- E. A memorandum of agreement for use of a facility by a non-college group will be signed by the president or director of the college entering into the agreement and a representative of the non-college group using the facility.
- F. Charges for the use of facilities by non-college groups shall be developed individually by each college and shall be sufficient to cover all costs involved.
- G. Any organization or group using a college facility shall take proper care of the facility and its equipment and shall be financially responsible for any damage thereto during use resulting from abuse or neglect.
- H. Funds collected from the non-college groups for the use of facilities shall be deposited in an appropriate college general fund income account.

4-30-99

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

4-30-99

(SIGNED)

4-30-99

Recommended by

Date

President, KCTCS

Date

3.3.17 KCTCS Emergency Assistance

3.3.17.1 Procedure

For any emergency - medical crisis, fire, bomb threat, etc., the steps listed below should be followed:

1. Call 911. They will make all other arrangements such as calling the paramedics, fire department, police, etc.;
 2. Specify - "This is an emergency;"
 3. Identify yourself and your phone number;
 4. Identify the type of emergency: fire, bomb, accident, or other condition, if possible (i.e., unconscious, heart attack, convulsions);
 5. Clearly state the location of the emergency;
 6. Keep the telephone line clear after completing the call;
 7. Dispatch one individual to a location near the emergency to meet the nurse or paramedics and to escort them directly to the emergency;
 8. While awaiting the arrival of emergency help;
 - a. Attempt to gather the names of any persons requiring medical attention;
 - b. Ask anyone who witnessed the event to remain for questioning;
 - c. Keep non-participant observers away from emergency site;
 9. Meet the emergency help and public safety staff to provide them with any information gathered. Upon their arrival, they are in charge of the emergency;
 10. If the emergency involves a student, the Chief Student Affairs Administrator should be contacted for assistance and follow-through. Depending on the nature of the emergency, other community/technical college or outside consultants may be contacted. To the degree possible, confidentiality will be maintained. In certain cases, however, (e.g., involving serious threat to oneself or others), the Chief Student Affairs Administrator may need to consult one or more other individuals.
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3.3.17.2 KCTCS Fire Alarm

If a fire alarm is sounded:

1. Leave the area immediately;
2. Use the designated fire route or proceed to the nearest exit;
3. The last person to leave an area should close all doors behind them;
4. Provide assistance to those who need it in exiting the building. Do not use the elevators;
5. Once outside building, stand at least 150 feet away from the area;
6. Do not re-enter the building until an “all clear” is given by the fire marshal or other official; and
7. Once outside, move to a clear area at least 500 feet away from the affected area keeping streets, fire lanes, hydrants, and walkways clear for emergency vehicles and crews.

3.3.17.3 KCTCS Bomb Threat Procedure

In the event an evacuation is deemed necessary by college or public safety personnel, the building fire alarm will be activated or you will be verbally instructed to leave the premises. In this event, you should:

1. Walk quickly to the nearest exit and alert others to do the same;
 2. Provide assistance to those who need it in exiting the building. Remember that elevators are reserved for persons with physical disabilities. Do not use the elevators in case of fire;
 3. While evacuating, look for suspicious objects. Report anything suspicious to the security personnel. Do not touch any suspicious object;
 4. All individuals should report directly to a clear area 500 feet from the affected building; and
 5. Do not leave the evacuation point until you are told to do so by a community/technical college official.
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3.3.17.4 KCTCS Earthquake Procedure

During an earthquake, remain calm and quickly follow these steps:

1. If indoors, take cover under heavy furniture, in interior doorways or against an interior wall. Stay away from windows or glass and exterior doorways. Avoid bookcases, cabinets, or other structures that may fall;
2. If outdoors, move quickly to an open area away from buildings, trees, utility poles, and electrical lines. Do not attempt to enter a structure or building;
3. If you are in a vehicle, stop as quickly as safety permits away from buildings and electrical wires. Stay in the vehicle for the shelter it provides;
4. After the initial shock, evaluate the situation. If the facilities are damaged or medical help is needed, contact the Business Office giving them all relevant information. Protect yourself at all times and prepare for after shocks;
5. If an emergency exists which requires building evacuation, activate the fire alarm and alert others verbally to leave the building. Walk to the nearest exit;
6. Provide assistance to those who need it in exiting the building. Remember that elevators are reserved for persons with physical disabilities. Do not use the elevators in case of fire;
7. Once outside, move to a clear area at least 150 feet away from the affected area keeping streets, fire lanes, hydrants, and walkways clear for emergency vehicles and crews; and
8. Do not return to an evacuated building unless you are told to do so by a community/technical college official.

3.3.18 KCTCS Fund-Raising Policy

While KCTCS encourages employees' fund-raising on its behalf, proper coordination and approval is necessary to avoid conflicts and confusion.

Therefore, all fund-raising activities conducted on behalf of or in the name of the Community Colleges /Technical Colleges as a whole, or any individual community/technical college, by any employee shall be coordinated together with the office of the President/Director of the applicable community/technical college or the Chancellor. Grants or gifts may not be accepted on behalf of the applicable community/technical college or the Chancellor(s), as applicable, without the approval of the college president/director or the Chancellor(s).

It is unlawful for anyone to appropriate for their use or the use of another the name, logo, seal, emblem, or any other trademarks or service marks of a community/technical college or of the KCTCS without the written permission of the President/Director of the applicable

community/technical college or of the Chancellor for the Community Colleges /Technical Colleges, as applicable.

3.3.19 Outside Activities– KCTCS

Employees are required to conduct their activities on behalf of KCTCS with the utmost good faith and loyalty. Employees may not compete with the community/technical college at which they work or with the Community Colleges /Technical Colleges, or convert business opportunities of the community/technical college at which they work or of the Community Colleges /Technical Colleges to their personal gain or advantage, or the gain or advantage of another. Employees may not convert confidential information or trade secrets of the community/technical college at which they work or of the Community Colleges /Technical Colleges to their personal gain or advantage, or the gain or advantage of others.

3.3.20 KCTCS E-Mail Policy

Electronic mail is regarded as private correspondence between individuals. KCTCS takes reasonable security precautions to ensure the privacy of this correspondence, both when it is in transit between electronic mailboxes and when it is stored in an individual's electronic mailbox. Faculty should be advised, however, that electronic media are not entirely private, and confidential information should be sent by other means.

Accessing another individual's personal electronic mail or files without their specific permission is considered gross misconduct. No one has authority to read another person's electronic mail unless explicitly given authority to do so by the owner of that mail.

3.3.21 KCTCS Travel Policy

Official travel in Kentucky, and within the other forty-nine states and the District of Columbia, and travel to foreign countries is governed by Kentucky Revised Statutes, Chapters 42, 44, and 45. These regulations apply to all travel of KCTCS and affiliated corporations. Special rules and regulations apply to out-of-country travel charged to non-state funds. (See KCTCS Business Procedures Manual.)

4-30-99

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

4-30-99

(SIGNED)

4-30-99

Recommended by

Date

President, KCTCS

Date

3.3.22 KCTCS Motor Vehicle Policy

3.3.22.1 Safe Vehicle Operation

Seat belts should be worn at all times by driver and all passengers in accordance with state law.

Pre-trip and post-trip inspection of key vehicle safety features (tire-tread condition and inflation, brakes, lights) is very important. Do this each time before getting in a vehicle.

Driver Selection - The Chief Business Officer should determine that each driver meets KCTCS minimum requirements.

1. This can be done by completing the driver certification sheet, and providing a photocopy of a valid driver's license (photocopy),
2. Provide certificate of insurance if using own vehicle.

Driver Training - The Chief Business Officer should ensure that each driver knows all rules about operations of KCTCS vehicles.

1. Vehicles are for official use only (NO PERSONAL USE);
2. The driver must be alert at all times, especially when parking or backing;
3. The driver should be aware of the importance of pre-trip and post-trip inspections. These should be documented; and
4. All persons must follow legal requirements for driver and passengers to wear seat belts at all times.

3.3.22.2 Persons Authorized to Use Vehicles

The following guidelines shall apply in consideration of the assignment of the drivers of a KCTCS or Department of Transportation vehicle. The department heads are responsible for ascertaining these guidelines:

1. Must be a current KCTCS employee;
 2. Must possess a valid operator's license;
 3. Must complete a Driver's Certification Form and submit to institution business office.
-

Institutions may impose additional requirements for approving drivers of KCTCS vehicles as they desire. When properly authorized and licensed, the driver is then acting as an agent of KCTCS while driving on KCTCS business and will be covered by the KCTCS Motor Vehicle Insurance Policy.

3.3.22.3 Occupancy

The number of passengers transported in any vehicle must comply with and not exceed the manufacturer's specifications and the guidelines established by the National Safety Council.

3.3.22.4 Out-of-State Travel

All qualified drivers as determined and approved under guidelines above are permitted to drive out-of-state. Student drivers of vans, trucks, buses, and vehicles of the 4-wheel drive type are not permitted. Only qualified employees are permitted to drive these types of vehicles out-of-state.

Any exception to the above must have the prior approval of appropriate Kentucky Community and Technical College System office.

3.3.22.5 Vehicle Problems or Repairs

If a problem or accident occurs while operating a Department of Transportation (DOT) leased vehicle, please call (502) 564-2260. If the vehicle is inoperable, DOT will be responsible for the vehicle and any subsequent repairs. Repair work for these vehicles can be approved by Fleet Management, up to \$1,000.

3.3.22.6 Vehicle Accidents

An operator whose vehicle is involved in an accident resulting in damage to the vehicle, any other property, or to any person, regardless of whether or not the operator was in the vehicle at the time of the accident, must immediately contact a law enforcement agency, obtain an accident report, and submit a copy of the report to the Office of Facilities Management, Property Management Division within five (5) working days and one copy to the State Police if required by statute.

3.3.22.7 Vehicle Credit Cards

KCTCS vehicles that are leased from the Department of Transportation are issued credit cards for gasoline and oil purchases. All KCTCS employees driving these vehicles must purchase whenever feasible, fuel using the locations/sites that are listed under contract with Kentucky Fuel

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

Accounting Systems, Inc. Fuel can be purchased from a local vendor. Before refueling, make sure the station accepts our Commonwealth of Kentucky credit card. Before signing, clearly print the license number and the mileage on the front of purchase slip. A self-service pump must be used. Do not use premium fuel.

<u>4-30-99</u> Approval Date	<u>7-1-99</u> Date(s) of Last Review	<u>7-1-99</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) <u>Recommended by</u>	7-1-99 <u>Date</u>	(SIGNED) <u>President, KCTCS</u>	7-1-99 <u>Date</u>

3.3.23 Policy on Deadly Weapons

I. Purpose

The Kentucky General Assembly has explicitly recognized the authority of colleges and universities to regulate the possession of deadly weapons on any property owned or controlled by them, including the right to prohibit possession of such weapons by any person or entity using or enjoying said property or premises. This policy applies to all property and premises owned or controlled by KCTCS including off-campus facilities used for events controlled, sponsored, or managed by KCTCS.

II. Prohibition

- A. Except as provided in Subsection III of this policy, deadly weapons are not permitted on any property owned or controlled by KCTCS, including but not limited to the following – classrooms, laboratories, residence halls (if applicable), clinics, office buildings, performance halls, museums, recreation facilities, farms and forests, parking lots and structures, and all outdoor areas of the campus of any unit of KCTCS. This prohibition is applicable to persons who possess and persons who do not possess lawfully issued licenses (or permits) to carry deadly weapons.
 - B. Students who possess deadly weapons in violation of this prohibition are guilty of violations of the Code of Student Conduct and are subject to disciplinary action under that Code, including expulsion from the community college or technical college. Employees (faculty or staff) who possess deadly weapons in violation of this prohibition are guilty of misconduct and subject to disciplinary action under KCTCS Policies and Procedures, including termination of employment. Others who possess deadly weapons in violation of this prohibition will be directed to remove their weapons or themselves from KCTCS property or premises, with all appropriate legal actions (including arrest) being taken upon failure to comply.
 - C. For purposes of this policy, "deadly weapon" means (1) any weapons from which a shot, readily capable of producing death or other serious physical injury, may be discharged, (2) any knife other than an ordinary pocket knife or hunting knife, (3) billy, nightstick, or club, (4) blackjack or slapjack, (5) nunchaku karate sticks, (6) shuriken or death star, or (7) artificial knuckles made from metal, plastic, or other similar hard material.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

III. Exceptions

The following actions or activities do not violate this policy:

- A. Possession of deadly weapons by peace officers acting in the course of official duties.
- B. Possession of deadly weapons as a part of legitimate academic or work-related activities (e.g., historical preservation, law enforcement training, etc.).
- C. Possession of deadly weapons by a person authorized to have such possession by the President or his/her designee, but only if such person fully complies with any and all restrictions imposed upon such possession by the President or his/her designee.

5/19/99

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

5/19/99

(SIGNED)

5/19/99

Recommended by

Date

President, KCTCS

Date

3.3.24 KCTCS Policy on Live Animals on Campus

These guidelines refer to pets on campus, animals used for assisting campus personnel and students, and live animals for laboratory use.

3.3.24.1 Pets on Campus

Dogs, pets and other animals are not permitted within a KCTCS owned or leased building at any time. This policy applies to cafeterias, grills, other eating areas, classrooms and offices.

3.3.24.2 Animals Used for Assisting Campus Personnel or Students

Service or therapy animals accompanied by persons with disabilities, provided they are properly trained and harnessed in conformity with local ordinances, may be permitted.

Service or therapy animals should be registered with the Disability Services Office when required to be used on KCTCS property.

3.3.24.3 Live Animals for Laboratory Use

The Institutional Animal Care and Use Committee (IACUC), a national organization, specifies the proper care for all laboratory animals and for providing humane care and facilities. In addition, proper vet care and preventive medicine is required for laboratory animals used in research and instruction.

Therefore, due to the complexity of these regulations, this policy prohibits the use of the following in the laboratories of KCTCS facilities: venomous insects, snakes, or vertebrate animals.

3.3.24.4 Exceptions

Exceptions may be permitted in specified circumstances, including

- private residence owned by KCTCS*,
- demonstrations for educational purposes lasting one week or less, and
- animal science classes with applied competencies.

** Note: Dorms are not considered private residences.*

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

An exception may be granted by the president/ceo of the college following a recommendation by the division chair.

4-3-01
Approval Date

11-19-02
Date(s) of Last Review

11-19-02
Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)
Recommended by 11-19-02
Date

(SIGNED)
President, KCTCS 11-19-02
Date

3.3.25 KCTCS Workplace Violence Policy

KCTCS is committed to providing faculty, staff, students and visitors with a safe and secure workplace that encourages productive employment and is as free as possible from intimidation, threats of violence and acts of violence.

KCTCS will not tolerate intimidation, threats of violence and/or acts of violence committed by or against KCTCS employees, or members of the public, while on KCTCS property or while performing KCTCS business at other locations.

KCTCS employees who commit violent acts or who are found to engage in behavior in violation of this policy will be subject to disciplinary action, up to and including termination. Also, appropriate legal action may be taken against employees and/or others who violate this policy, including, but not limited to, protective orders, criminal prosecution, trespassing them from KCTCS campuses, etc.

3.3.25.1 Prohibitions

KCTCS strictly prohibits acts of intimidation, threats of violence and/or acts of violence in the workplace, on campus or other locations where KCTCS business is conducted. Types of behaviors that are prohibited and in violation of this policy include but certainly are not limited to:

- Intimidating, threatening, malicious or hostile statements, actions or gestures,
 - Name-calling, shouting, obscene language or gestures, stalking and other abusive behavior,
 - Intimidation through direct or veiled verbal and/or written threats,
 - Intimidation through unjust exercise of power or authority,
 - Threatening comments regarding, or references to, violent events and/or behaviors,
 - Throwing objects in the workplace regardless of the size or type of object being thrown, or whether a person is the target of the thrown object,
 - Physically touching another person in an intimidating, threatening, malicious or hostile manner, including such acts as: fighting, hitting, slapping, poking, kicking, pinching, grabbing, pushing, bullying, hazing, “getting in your face”, and fist-waving/shaking/pounding,
 - Carrying or displaying weapons (see related policy KCTCS APP 3.3.23),
 - Intimidating, threatening, malicious or hostile phone calls – includes calls made by one employee to another inside or outside the workplace, or by an employee in the workplace to an individual outside (non-member) of the workplace,
-

- Intentional damage, destruction or sabotage of company/institutional property or equipment or another's property or equipment or any substantial threat to damage, destroy or sabotage property or equipment,
- Vandalism, arson, or sabotage,
- Bomb threats (see related policy KCTCS APP 3.3.17.3),
- Rape/sexual assault, and
- Any other act or behavior that is determined to be offensive, inappropriate, threatening and/or violent in the workplace, on campus or other locations where KCTCS business is conducted.

3.3.25.2 Employee Responsibilities

It is the responsibility of every KCTCS employee to assist and cooperate in making the workplace as safe and secure as possible.

- Refrain from acts of intimidation, threats of violence and/or acts of violence in the workplace, and if necessary, seek assistance to resolve personal issues that may lead to such acts,
- Report any actual or perceived violation of the Workplace Violence Policy to your next-in-line supervisor who is not a party to the violation, or directly to the KCTCS Workplace Violence Prevention Assessment and Response Team, and
- Employees are strongly encouraged to report to their supervisor situations that occur outside of the workplace that may affect workplace safety and security, i.e., domestic violence, instances where protective orders have been issued, etc.

Any conduct, behavior or “jokes” that are inappropriate and involve intimidation, threats of violence and/or acts of violence will be taken seriously by KCTCS. No employee shall be subjected to criticism, reprisal or retaliation for good faith reporting of inappropriate behavior or threatening or violent incidents pursuant to this policy.

3.3.25.3 Supervisor Responsibilities

Assess situations, make judgments on the appropriate response, respond to reports of or knowledge of violence, document incidents, and consult the KCTCS workplace violence Prevention Assessment and Response Team.

- Any reports of threats and/or violence, will be evaluated immediately and confidentially, and appropriate action will be taken, where possible, in order to protect the employee from further violence.
 - Appropriate disciplinary action, up to and including termination of employment will be taken when it is determined that KCTCS employees have committed acts of threats and/or violence.
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3.5 Fringe Benefits (Community College Employees Hired Prior to January 14, 1998)

3.5.1 Mandatory Benefits

3.5.1.1 Worker's Compensation

The College System has provided for the welfare of its employees in compliance with the Kentucky Workers' Compensation Law.

1. All employees of the College System, full-time and part-time, who sustain on the job, work-related injuries, are eligible for workers' compensation benefits, as provided under the Kentucky Workers' Compensation Law.
2. An employee sustaining a job related injury must report the injury to a supervisor, as soon as possible. The employee, along with the employee's supervisor, must complete a special form (S.F.1.) provided for this program. An original and two (2) copies are to be sent to the Workers' Compensation Office at the Community College Central Office. These forms should be signed by the supervisor and mailed to the Workers' Compensation Office at the earliest possible moment. The supervisor may wish to call the Workers' Compensation Office to report the accident before completing the forms. The completed forms should be sent to the Workers' Compensation Office on the day the accident occurs, or at least by the following day. The reporting forms should be available in each community college Business Office or they can be obtained by contacting the Workers' Compensation Office.
3. To be eligible for compensation, an employee must have received personal injuries or contracted an occupational disease directly caused by the job in the course of and resulting from employment at the community college. This coverage is limited to the employee and does not cover the employee's family.
4. For additional information concerning benefits under the Workers' Compensation Law, consult the Workers' Compensation Office.

3.5.1.2 Unemployment Compensation

As of July 1, 1972, the Community Colleges came under the provisions of the Kentucky Unemployment Insurance Law. For information concerning the coverage and details of the program, individuals should contact their local Unemployment Insurance Office. The Community Colleges provide unemployment compensation to eligible former employees.

3.5.1.3 OASDI and Medicare (Social Security)

All faculty of the College System are covered by the Old-Age and Survivors Insurance of the Social Security Program and thus are eligible for benefits in accordance with the laws governing this program.

Each eligible person must have or obtain a Social Security Card and supply to the community college a completed Treasury Form W-4, K-4, with the Social Security Number, and other information necessary in withholding insurance contributions.

The OASDI and Medicare taxes are deducted from the pay of faculty members, and the College System adds its contribution.

3.5.1.4 ERISA

Employees are entitled to certain rights and protections under the Employee Retirement Income Security Act of 1974 (ERISA). ERISA provides that all plan participants shall be entitled to:

1. Examine, without charge, at the Human Resources Office of the applicable community college, all plan documents, including insurance contracts, and copies of all documents filed by the Plan Administrator, the Human Resources Office, and with the U. S. Department of Labor, such as annual reports and plan descriptions;
2. Obtain copies of all plan documents and other plan information upon written request to the plan administrator. The plan administrator will make a reasonable charge for the copies; and
3. Receive a summary of the plan's annual financial report. The plan administrator is required by law to make available to each participant a copy of this summary financial report.

In addition to creating rights for plan participants, ERISA imposes duties upon the people who are responsible for the operation of the employee benefit plan. The people who operate an employee's plan, called "fiduciaries" of the plan, have a duty to do so prudently, and in the interest of the employees and other plan participants and beneficiaries.

No one, including an employee's employer or any other person, may fire the employee or otherwise discriminate against the employee in any way to prevent the employee from obtaining a benefit from this plan or exercising rights under ERISA. If an employee's claim for a benefit is denied, in whole or in part, the employee must receive a written explanation of the reason for the denial. The employee has the right to have the plan administrator review and reconsider the claim.

Under ERISA, there are steps an employee can take to enforce the above rights. For instance, if the employee requests materials from the plan and does not receive them within thirty (30) days, the employee may file suit in federal court. In such a case, the court may require the plan administrator to provide the materials and pay an employee up to \$100 a day until the employee receives the materials, unless the materials were not sent because of reasons beyond the administrator's control.

If an employee has a claim for benefits which is denied or ignored, in whole or in part, the employee may file suit in a state or federal court. If it should happen that the plan fiduciaries misuse the plan's money, or if the employee is discriminated against for asserting rights, the employee may seek assistance from the U. S. Department of Labor, or file suit in federal court.

The court will decide who should pay court costs and legal fees. If the employee is successful, the court may order the person the employee sued to pay these costs and fees. If the employee loses, the court may order the employee to pay these costs and fees, for example, if it finds the claim is frivolous.

Questions about the plan should be directed to the plan administrator. An employee should contact the nearest area office of the Labor-Management Services Administration, U. S. Department of Labor, for questions regarding this statement or about rights under ERISA.

3.5.1.5 Health Insurance Continuation (COBRA)

The Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA) requires that employers who sponsor group health plans offer employees and their families the opportunity for a temporary extension of health coverage (called "continuation coverage") at group rates in certain instances where coverage under the Plan would otherwise end. This is intended to inform, in a summary fashion, of rights and obligations under the continuation coverage provisions of the law.

An employee, the employee's spouse, or dependent become Qualified Beneficiaries if the employee, the employee's spouse, or dependent are covered under the employer's group health plan and would lose coverage upon the happening of one (1) of the following events (called a Qualifying Event):

1. Death of the covered employee;
2. Termination (for reasons other than gross misconduct) or reduction of hours of the covered employee's employment;
3. Divorce or legal separation of the covered employee from a spouse;
4. Entitlement of the covered employee for Medicare; or

5. Dependent ceases to be “dependent child” under the group health plan.

In such a case, each Qualified Beneficiary would have the right to elect to choose continuation coverage if the group health coverage would be lost. The employee, employee’s spouse, or dependent children (where applicable) would each, as a Qualified Beneficiary, have the option to select continuation coverage for a period shown as follows:

REASON FOR TERMINATION	UNDER GROUP PERIOD
Voluntary Termination of Employee	18 months
Involuntary Termination of Employee (Except for Gross Misconduct)	18 months
Reduction in Work Hours of Employee	18 months
Disability of Employee as Determined under the Social Security Act	29 months
Death of Employee	36 months
Divorce or Legal Separation	36 months
Employee Becomes Entitled to Medicare	36 months
Dependent Child No Longer Qualifies as Dependent Under Group Health Plan	36 months

3.5.1.5.1 Special Rule for Multiple Qualifying Events

If the employee elects continuation coverage following a termination of employment or reduction in hours and, during the 18 month period of continuation coverage, a second event (other than a bankruptcy proceeding) occurs that would have caused the employee to lose coverage under the plan (if the employee had not lost coverage already), the employee may be given the opportunity to extend the period of continuation coverage to a total of 36 months. If a beneficiary elected continuation coverage as the spouse or dependent of a covered employee, who experienced a termination of employment or reduction in hours, and during the continuation period the employee or former employee became entitled to Medicare, the beneficiary may be given the opportunity to extend coverage for 36 months from the date the covered employee becomes entitled to Medicare.

3.5.1.5.2 Special Rule for Retirees and Newly Acquired Dependents

The retiree, spouse, or dependent of a retiree whose employer's group health plan is lost or substantially eliminated within one (1) year before or after the employer's filing of a Title 11 Bankruptcy filing can elect to remain in the employer's group health plan until the retiree's death. After the retiree's death, the retiree's survivors can obtain up to an additional three (3) years of continuation coverage.

Newly acquired dependents of Qualified Beneficiaries such as children and spouses are to be given the same opportunity to obtain coverage as for an employee with, and under the same conditions as, such dependent's coverage. The newly acquired dependent's coverage is not as a Qualified Beneficiary, and as such, their continuation coverage will end upon termination of the Qualified Beneficiary's continuation coverage.

The continuation coverage will not be conditioned on a physical examination or other evidence of insurability, and will be identical, with very few exceptions, to the coverage provided to similarly situated employees or family members. Please note that the beneficiary may be required to pay all or part of the premium for this continued coverage and an administrative fee.

Under COBRA, the Community Colleges must notify the Plan Administrator (except where the employer is the Plan Administrator) within thirty (30) days of an employee's death, termination of employment or reduction in work hours, Medicare entitlement, and bankruptcy proceedings. In these cases, the plan administrator must then notify the Qualified Beneficiary of the right to elect continuation coverage. This notice must be provided within fourteen (14) days after the plan administrator receives notice that one (1) of these events has occurred. However, with respect to multi-employer plans, to the extent the plan so provides, the Community Colleges may have an extended period of time for notifying the plan administrator of one (1) of the qualifying events, and the Plan Administrator also may have an extended period for providing notice to the Qualified Beneficiary.

In all other cases, the employee or family member has the responsibility to notify the plan administrator of a divorce, legal separation, a child losing dependent status, a disability as determined under the Social Security Act, or a newly acquired dependent under the group health plan. In these cases, the employee has sixty (60) days from the date that the employee would lose coverage because of one (1) of the events described previously to notify the Plan Administrator of the Qualifying Event. In all cases, the beneficiary has sixty (60) days from the date of the notice from the plan administrator or from the date the beneficiary would lose coverage (whichever is later) to inform the plan administrator that the beneficiary wants continuation coverage. The election of continuation coverage is deemed to include an election for family members who will lose coverage under the group health plan unless otherwise specified.

The continuation coverage extends from the date of one (1) of the events described previously to:

1. Eighteen months (in the case of termination or reduced work hours), or 29 months (in the case of disability), or 36 months (in all other cases described previously except retirees and newly acquired dependents (see “Special Rules”).
2. The date the Community Colleges no longer provides any group health plan to its employees.
3. The date the premium for continuation coverage is not paid on time.
4. The date the person whose coverage is being continued becomes covered under another group health plan unless the other plan contains an exclusion or limitation with respect to a pre-existing condition.
5. The date the person whose coverage is being continued becomes entitled to Medicare benefits (unless the qualifying event is the employer’s Title 11 Bankruptcy).
6. The date the beneficiary is divorced from a covered employee, subsequently remarries, and becomes covered under another group health plan, in which case the beneficiary can continue until the maximum allowed period of termination or upon being covered for pre-existing conditions if the new plan excludes or limits benefits for the pre-existing condition coverage plan covers it, whichever occurs first.

To prevent a lapse in coverage, if the beneficiary selects continuation coverage, the beneficiary can pay any required premium within forty-five (45) days after the election. If the Community Colleges' group health plan provides a conversion privilege to other beneficiaries, the Community Colleges must also provide the beneficiary and family members with the opportunity to enroll under a conversion health plan during the 180-day period preceding the date that continuation coverage expires.

3.5.1.5.3 Independent Contractor and Other Service Performers

Self-employed individuals, independent contractors and agents, and directors who are (or were) covered by a group health plan maintained by an employer for one (1) or more common law employees may also be eligible for continuation coverage. Continuation coverage is provided if the individual was covered under the employer’s group plan by virtue of performing services for the employer.

3.5.1.5.4 Working Aged

COBRA also affects the rights of employees and spouses who are over 65 years of age. Unless the Community College Branch is exempt from COBRA, then it must offer employees and

spouses, age 65 and over, “working aged,” the same health insurance coverage that is offered to younger workers and their spouses.

3.5.2 Carrier Benefits (Community College Employees Hired Prior to January 14, 1998)

3.5.2.1 Group Term Life Insurance

Regular full-time faculty are insured for \$7,500 under the Basic Life Insurance Program. Dependents are not covered under this plan. This insurance may be increased optionally to a total of one (1), two (2), or three (3) times the employee's basic annual salary. The premium for the basic insurance is paid by the College System whereas that for the optional amount is paid by the employee through payroll deduction.

3.5.2.2 Group Accident Insurance

This insurance covers death and dismemberment resulting from an accident. It provides coverage twenty-four hours a day, every day of the year, world-wide, for accidents on or off the job. Any amount of principal sum (in multiples of \$5,000), between a minimum of \$10,000 and a maximum of \$100,000 may be purchased. You may enroll in the single plan or the family plan which provides dependent coverage to employees as of July 1, 1997. This insurance terminates when you terminate your employment with the College System or retire. It cannot be converted to an individual (non-group) policy. The insurance terminates upon separation or retirement from the Community Colleges.

3.5.2.3 Disability Income Protection

The College System provides long-term disability income insurance at no cost for all regular full-time faculty of the Community Colleges as of July 1, 1997, who have completed one (1) year of employment. Any benefits received from Social Security and/or worker's compensation are included in arriving at the total benefit amount.

Long-term total disability is defined as the inability, by reason of sickness or bodily injury, to engage for more than six (6) full calendar months in any occupation for which the employee is reasonably fitted by education, training, or experience. To be eligible for disability benefits, the onset of the disability shall have occurred after the employee's coverage becomes effective, and must also meet the requirements for approval by the College System and the insurance company.

This income protection plan provides monthly benefits for as long as the employee remains totally disabled or until the employee retires in accordance with College System rules. In addition to income benefits, retirement plan payments will continue to be made on the employee's behalf, provided the employee was participating in one (1) of the College System retirement plans on the date of disability.

The waiting period may be waived for those faculty who have had similar coverage within the last six (6) months prior to their employment by the College System.

3.5.2.4 Liability Insurance

Full-time and part-time faculty have "wrongful acts" liability coverage under the Community Colleges' Educators Legal Liability policy. The policy covers the faculty member in the discharging of duties while employed by the College System.

3.5.2.5 Health and Dental Insurance

The College System offers health and dental insurance coverage to regular full-time employees through several companies. Comprehensive Major Medical plans and Health Maintenance Organization (HMO) plans are offered. Some are available only to employees who reside in the Lexington area. Faculty members are encouraged to read the information about these plans, which may be obtained from their community college Business Office or the Employee Benefits Office at the Kentucky Community and Technical College System, before enrolling.

3.5.2.6 Health Insurance Credit

The College System will provide a contribution toward the cost of a health insurance plan for regular full-time employees. Enrollment in one (1) of the health insurance plans offered by the University is required to be eligible for this benefit.

3.5.2.7 Cat-Select Program (125 Plan)

The Cat-Select Program (125 Plan) is a three-part program which allows eligible faculty members to pay with tax free earnings for health insurance for dependent family members, other health care expenses and dependent care expenses. The health care expense portion of the plan requires a one-year (1) waiting period for employment.

3.5.3 Institutional Benefits (Retirement Plan for Community College Employees Hired Prior to January 14, 1998)

3.5.3.1 Basic Retirement Program

Persons having academic appointments are classified in the Group I retirement plan. Eligibility of personnel for classification in Group I is conditional upon:

1. Regular full-time employment;
 2. Employment in a faculty position or a position otherwise specifically approved for Group I by the President; and
 3. Occupation of a position not covered by the United States Civil Service Retirement Plan.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURE

Upon completion of one (1) year of regular full-time service, the College System will contribute to the retirement plan on behalf of faculty members who are enrolled. Participation of eligible Group I personnel becomes a condition of employment upon completion of one (1) year of service and attainment of age 30, and is mandatory.

The University of Kentucky Board of Trustees has authorized three (3) retirement plan carriers, effective July 1, 1988, to be used by College System Employees: Teachers Insurance Association Annuity/College Retirement Equity Fund (TIAA/CREF), Fidelity Investments, and Twentieth Century Investors. It is the Board's intention that College System employees be given a wide range of investment options during the years in which contributions are being made on the employees' behalf, as well as a wide range of withdrawal options at the time of retirement.

The preliminary service period shall be waived, upon notification to the retirement section of the employee benefits office within the first 30 days of employment, for employees with tenure or for employees who have 403(b) retirement vehicles issued by one (1) or more of the authorized retirement plan carriers.

All eligible Group I personnel who have satisfied the age and service requirements for mandatory participation shall be required to contribute on a salary reduction (pre-tax) basis. All contributions are to be made by the participant in accordance with the schedule provided in 3.5.3.1.1, however, this provision shall not apply to any participant who prior to December 22, 1986, was making contributions on a salary deduction (after tax) basis.

3.5.3.1.1 Contributions as a Percent of Basic Annual Salary

By the Participant	By the Institution	Total
5%	10%	15%

The College System deducts the contribution of the participant from regular salary payments, adds its contribution, and remits the combined sum to the retirement plan carrier(s) selected by the participant for the purchase of retirement benefits.

The participant will direct the portion of the combined retirement contribution that is to be remitted to each carrier, if two (2) or more carriers are selected. The participant also must advise each retirement plan carrier of which investment options have been chosen and, if two (2) or more options are selected with a single carrier, of the part of the retirement contribution that is to be allocated to each option.

A participant may change the ratio of allocating funds among retirement plan carriers or change options by completing the appropriate paper work. Changes in allocating contributions among the plan options is accomplished by the participant directly with the retirement plan carrier.

Retirement benefits purchased with the employee and College System contributions shall become the property of individual participants immediately upon purchase. All benefits are for the sole purpose of providing retirement or death benefits.

If, by applying the above-stated percentages, there is a violation of federal or state laws, as a result of the employer or employee contributions, then these percentages shall not be applied to the extent of violating applicable laws. In such cases, the amount of the employer contribution that cannot be forwarded to a retirement plan carrier shall be paid to the employee as a temporary salary increase for the balance of the calendar year.

The University of Kentucky Retirement Plan has been approved by the UK Board of Trustees and KCTCS.

**3.5.3.2 Phased Retirement Policy and Program
(3.5.3.2-3.5.3.2.4 Approved by KCTCS for All
Faculty)**

3.5.3.2.1 Purpose

The Phased Retirement Program is designed to provide an opportunity for eligible full-time faculty members to make an orderly transition to retirement through part-time service. It is entirely voluntary and will be implemented by written agreement between faculty members and the Colleges. The Program is ongoing but may be eliminated at any time by the Colleges. The effective date of the Program is July 1, 1996.

3.5.3.2.2 Eligibility and Approval

The Phased Retirement Program is available to all full-time faculty members who are tenured or have continuing employment status and have completed fifteen (15) years of full-time faculty service and who have reached the date of normal retirement as defined in the Retirement Plan. Individuals who have already taken regular retirement are not eligible for phased retirement under this Program.

A decision to request or not request phased retirement appointments rests entirely with individual faculty members. A request for phased retirement by any faculty member who satisfies the eligibility requirements set out in the plan must be made:

1. During the period from July 1, 1996, to June 30, 1997, if such eligibility requirements are satisfied before July 1, 1996; or
2. Within one (1) calendar year after satisfying such eligibility requirements if such requirements are satisfied on July 1, 1996, or thereafter.

Phased retirement that is requested and approved must commence at the beginning of the first fiscal year following approval of the request.

The Phased Retirement Program does not create an absolute right of faculty members to a phased retirement. Phased retirement appointments must be requested by eligible faculty members but shall be granted only when such appointments are in the best interests of the Colleges.

A faculty request for phased retirement shall be submitted to the division and college for initial endorsement and is subject to final approval by the Chancellor for the Colleges. A request for phased retirement shall be submitted at least six (6) months before the date upon which such appointment would become effective, unless a later submission of such a request would be totally acceptable to the affected division and college.

3.5.3.2.3 Terms and Conditions

Phased retirement appointments under this Program shall be subject to the following terms and conditions:

1. Phased retirement appointments involve a reduction of employment from full-time to half-time. Such appointments may consist of full-time work for one-half (1/2) of a regular appointment period (e.g., full-time work for one (1) semester of an academic year appointment) or half-time work for a full regular appointment period (e.g., half-time work in each of the two (2) semesters of an academic year appointment). Teaching, advising, continuing education, community service, professional development, educational leadership, and institutional service assignments under such an appointment shall be determined by agreement between the faculty member and a division chair, a dean/college president, or a director of an academic unit and shall be set forth in detail in the written phased retirement agreement.
2. The salary of a faculty member on a phased retirement appointment shall be reduced by fifty percent (50%) from the salary such faculty member would have received but for the election of phased retirement under this program. Faculty members electing phased retirement appointments shall not be eligible for proportional merit salary increases during the period of their phased retirement program. A faculty member on a phased retirement appointment shall be considered for disability benefits on the basis of the salary such faculty member received as a full-time faculty member immediately before electing phased retirement under this program.
3. Phased retirement under this program shall not exceed three (3) years in duration. Faculty members who request and receive phased retirement appointments shall agree in writing to accept full retirement from the Colleges no later than three (3) years after the commencement of reduced employment under this program. The agreement to retire at the end of the reduced employment period is irrevocable once executed (except as provided in subparagraph 3.5.3.2.4).

The Colleges' contributions to retirement for faculty on phased retirement appointments, and the faculty members' own contributions as well, shall be based upon their actual (i.e., reduced)

salaries during their periods of reduced employment. Faculty members on phased retirement appointments are entitled to fifty percent (50%) of the paid vacation leave to which they would have been entitled had they not elected phased retirement under this Program. In all other respects, such faculty members shall be entitled to the employee benefits normally offered to regular full-time faculty members. Faculty privileges, such as reduced-cost athletic tickets, will be made available to faculty on phased retirement appointments as if they were on full-time regular faculty appointment. Requests for travel expenses and support services for faculty on phased retirement appointments shall be considered and evaluated under normal processes. A faculty member's use and occupancy of office or lab space shall not be adversely affected by electing to accept a phased retirement appointment.

The terms and conditions may be modified by the College President/CEO with prior approval by the Chancellor.

3.5.3.2.4 General Provisions

Nothing in this regulation shall preclude eligible faculty members from electing regular retirement from the Colleges at any point in time (even though such faculty members may have executed an agreement requiring retirement at some point in the future). Nothing in this regulation shall preclude a post-retirement appointment of an individual who has elected phased retirement under this Program.

Each phased retirement agreement executed under this program shall include a waiver of rights and claims by the faculty member under the Federal Age Discrimination Act. Such waiver shall fully comply with the requirements for knowing and voluntary waivers provided in this Act. After a phased retirement agreement is drafted, it shall be delivered to the faculty member in question, together with written statements that the faculty member shall have no less than forty five (45) days within which to consider the agreement and that the faculty member is advised to consult with an attorney prior to executing the agreement. In addition, each phased retirement agreement shall provide that the agreement shall not become effective and enforceable for a period of ten (10) calendar days following execution of the agreement and that during such period the faculty member may unilaterally revoke the agreement. In the event the faculty member elects to revoke the agreement within such ten (10) day period, the faculty member shall immediately be restored to the full-time employment status as a faculty member which existed prior to execution of the agreement.

Faculty members on phased retirement appointments will have the same academic freedoms and responsibilities as other faculty members, and will have access to all grievance and appeal procedures available to other members of the faculty.

3.5.3.3 Voluntary Tax Deferral Program

Regular full-time faculty members may voluntarily tax defer funds in addition to those invested through the University's retirement plan. The investment carriers are the same companies offered for the retirement plan (TIAA/CREF, Fidelity and Twentieth Century). All contributions must be through payroll deduction.

Those faculty members who are not immediately eligible to participate in the retirement program may also participate in this voluntary tax deferral program.

There is a maximum amount as well as a minimum amount, calculated by the retirement section, that may be contributed each calendar year. Interested employees should contact the retirement section of the appropriate Employee Benefits Office.

3.5.3.4 Deferred Compensation Plan

Faculty members may voluntarily elect to set aside a portion of their before-tax earnings to be invested by the state in a special Tax Deferred Investment Account for their future benefit.

This means that participants will pay no current state or federal income taxes on the monies which they set aside while in the plan. In addition, all of the interest and any capital gains would automatically be reinvested and not be subject to taxes while in the plan. Interested persons should contact the business officer of their community college.

3.5.3.5 Credit Union

The University of Kentucky Federal Credit Union is a savings, lending, and checking organization owned and operated on a non-profit basis for its members. Membership is open to College System employees and their families.

Payroll checks may be deposited directly. Interest is earned on both checking and savings accounts and there is no service charge. Also, payroll deduction is available for savings or loan payments. For additional information and other services, contact the University of Kentucky Federal Credit Union, Lexington, Kentucky 40506.

3.5.3.6 University of Kentucky Faculty Club

Community college faculty may become members of the University of Kentucky Faculty Club. Community college faculty who live and work outside of Fayette County may obtain associate memberships in the Faculty Club. These memberships are available at a reduced rate. Interested persons should contact: The University of Kentucky Faculty Club, Hilary J. Boone Faculty Center, 510 Rose St., Lexington, Kentucky 40506 (606) 257-4136.

3.5.3.7 Blood Donor Program

Any employee of the Community Colleges, the employee's dependents, or any retired employee is eligible for membership in the College System group of the Central Kentucky Blood Center. Membership, according to published literature distributed by the Blood Center, guarantees that blood will be available in unlimited quantities anywhere in the United States without the responsibility of finding replacement donors or payment of replacement fees on whole blood and

red blood cell products. The Blood Donor program is a voluntary program and its continuation is dependent upon donations from members. Blood drawings are held periodically at various locations on campus.

3.5.3.9 Admission to Athletic Contests

Full-time members of the faculty may purchase season tickets for football and basketball games at a reduced rate, providing tickets are available. For further information, contact the University of Kentucky Athletic Association Ticket Office.

3.5.4 Other Benefits

3.5.4.1 Activity Tickets

With regard to the use of College System funds (general, restricted, discretionary, etc.) for the purchase of athletic event tickets:

1. Discretionary funds can be used on a game-by-game basis to pay for single tickets purchased for a friend of the college/donor - documentation attached to the appropriate forms used to purchase the tickets must indicate to whom the tickets were given and the game attended;
2. Use of Community College funds (general fund, restricted, discretionary, etc.) will not be permitted for the purchase of season tickets in the name of an individual (this includes community college presidents) or in the name of the college;
3. If a community college president purchases tickets from personal funds and gives a ticket to a friend of the college/donor, the president may be reimbursed for the cost of the ticket, after-the-fact and on a game-by-game basis - documentation used for reimbursement must indicate to whom the tickets were given and the game involved. The individual has the option to wait until the end of the season and seek reimbursement for several tickets on a single appropriate form.

3.5.4.2 Child Care

Child care provisions vary by community college. Please check with the community college Human Resources Office for specifics.

3.5.4.3 Parking Fees

The Board delegates to the president of each Community College the responsibility for the development and enforcement of procedures for the control of motor vehicle traffic and parking on community college property, such property to be defined as all real property owned or occupied, and exclusively operated by the Community Colleges.

3.5.4.4 Discounts

3.6 Employee Benefits Policy (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

3.6.1 Employee Benefits (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

It is the intent of KCTCS to provide a benefits program with a broad foundation upon which employees can build for the security and well-being of their families. You are encouraged to call the Personnel department and inquire about the plans/programs. KCTCS reserves the right to modify, change or eliminate these programs and plans as deemed appropriate.

One important aspect of these programs is the necessity to enroll during the first thirty days of employment. Failure to enroll in the first thirty days may result in the loss of this enrollment right. It is the new employee's responsibility to complete the enrollment process. The narrative and other descriptions of the various programs and plans are not intended to provide you with in-depth understanding. This need is met through the brochures and other publications issued. Read all of the literature carefully in order that you enroll only in optional programs/plans that you need and want.

While every attempt has been made to be as accurate as possible, the benefits coverage is governed by the specific contracts that are issued and provided to you following enrollment. Please read these contracts in order that you understand the full extent of your coverage.

3.6.2 Life Insurance (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Regular full-time employees are insured under the Basic Life Insurance Program for \$20,000. The life insurance is term insurance and no cash values accumulate. The premium is paid by KCTCS. This insurance terminates at retirement or upon separation from KCTCS employment, whichever is earlier. Employees may, at the time of employment termination or retirement and for a period of 30 days thereafter, convert part or all of their group insurance to an individual plan. No evidence of insurability is required for this guaranteed conversion privilege. Rates are determined by the life insurance company and will differ considerably from KCTCS' group rate.

3.6.3 Accidental Death and Dismemberment Insurance (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

This insurance offers death and dismemberment insurance coverage of \$20,000. Premiums are paid by KCTCS. It provides coverage twenty-four hours a day, every day of the year, worldwide, for accidents on or off the job. This insurance terminates when you terminate your employment with KCTCS or retire. It cannot be converted to an individual (non-group) policy.

3.6.4 Medical Insurance Plans (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

KCTCS offers employees various medical insurance plans. As an alternative approach to the health insurance plans, we also offer Health Maintenance Organizations (HMOs) where they are available. You are encouraged to read the medical insurance brochures which come with this handbook or are available through your Personnel department.

KCTCS contributes to the monthly cost of the plans you choose. The contributed amount is, up to the cost of the plan you choose, available to every full-time employee. You pay the additional cost, if any, for the plan of your choice through payroll deduction. Premiums are paid one month in advance.

3.6.5 Insurance Premium Payment During Leaves of Absence

KCTCS will continue to pay its share of insurance premiums while you are on a paid leave of absence. While you are on any other type of unpaid leave of absence from KCTCS, you will be responsible for paying the total premiums for your coverage and that of your dependents. Failure to do so may result in loss of coverage and possible refusal by the insurance carrier to allow your coverage to be reinstated. Please consult with the appropriate human resources office to establish a payment schedule.

For faculty on paid sabbatical leave all benefits are paid by KCTCS.

3.6.5.1 Insurance Coverage During Leave Without Pay (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

In the event you are in a leave without pay status for part or all of a pay period and/or your paycheck is not large enough to cover insurance premiums, it is your responsibility to contact the Personnel department and make arrangements for payment of the required premiums in advance and in full. Failure to do so may result in loss of insurance coverage.

3.6.6 Long-Term Disability Insurance (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

KCTCS provides long-term disability insurance to regular, full-time employees choosing a defined contribution 403(b) retirement plan after one year of service. Employees who had coverage through their previous employer may be immediately eligible. The benefit provides 60% of the employee's monthly wage base (not to exceed \$5,000 per month) in the event of long-term disability. For employees whose retirement is through a Defined Benefit Plan, a disability retirement option is available.

3.6.7 Conversion of Insurance Upon Termination of Employment (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Employees or dependents, or both, who lose their coverage under the health plan because of termination of employment, loss of dependent status as defined by the health plan, death of the employee, divorce, etc., may continue coverage under the group plan as provided by federal law. Information about the continuation of coverage under these provisions may be obtained by contacting the Personnel department

3.6.8 Workers' Compensation (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

All KCTCS employees are covered by provisions of the Kentucky Workers' Compensation Act. This entitles employees to the benefits prescribed by statute for injury, occupational disease, or death without regard to fault, if such injury, occupational disease, or death occurs as a result of employment. KCTCS pays the cost of this program which provides benefits in the form of payment of medical expenses, compensation and death benefits. All on-the-job injuries must be reported to your supervisor to assure prompt treatment and proper handling of claims.

3.6.9 Retirement Plan Policies (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

Arrangements have been made to offer retirement plans with TIAA-CREF, the Kentucky Teachers' Retirement System, and the Kentucky Employees' Retirement System.

3.6.10 Flexible Spending Accounts (Technical College Employees Hired on/or after July 1, 1998; Community College and System Employees Hired on/or after January 14, 1998)

This program allows eligible employees to pay for health insurance premiums, dependent care expenses, and health care expenses not covered by insurance with tax-free earnings. Tax sheltering under this plan provides exemption of these expenses from Social Security tax and federal and state income taxes.

Enrollment may occur within the first 30 days of employment or during subsequent open enrollment periods. Health care spending accounts are limited to \$2,400 per year. Dependent care accounts are limited to \$5,000 per year.

Re-enrollment is required each year to continue the dependent care and health care spending portions of the plan. Enrollment forms and additional information may be obtained by contacting the appropriate human resources office.

6-22-98

Approval Date

Date(s) of Last Review

Date(s) of Last Revision

(Include all dates in chronological order)

(SIGNED)

6-22-98

(SIGNED)

Recommended by

Date

President, KCTCS

DRUG-FREE POLICY NOTIFICATION

The KCTCS is committed to providing a healthy and safe environment for its students, faculty, and staff. The College System has defined conduct in relation to the unlawful possession, use, dispensation, distribution, or manufacture of alcohol or illicit drugs. Conduct which is in violation of this definition poses unacceptable risks and disregard for the health, safety, and welfare of members of the KCTCS community and shall result in disciplinary action up to and including suspension or termination.

As a recipient of federal grants and contracts, the KCTCS gives this notice to students, faculty, and staff that it is in compliance with, and shall continue to be in compliance with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendment of 1989. Students, faculty and staff are herein notified of the standards of conduct which shall be applicable while on KCTCS property, on KCTCS business, and/or at KCTCS sponsored activities.

STANDARDS OF CONDUCT

By KCTCS policy, by federal law, by state law, and, in some instances, by local ordinance; students, faculty, and staff are prohibited from the unlawful possession, use, dispensation, distribution, or manufacture of illicit drugs on KCTCS property, on KCTCS business and/or at KCTCS sponsored activities.

Under KCTCS policy, students, faculty, and staff are required to abide by state laws concerning alcoholic beverages. Basically, Kentucky laws state that, if one is under the age of 21, it is unlawful to:

1. possess or consume alcoholic beverages,
2. misrepresent one's age for the purpose of purchasing alcoholic beverages, or
3. use a fake ID in an attempt to purchase alcoholic beverages.

No matter what one's age, Kentucky law states that it is unlawful to:

1. procure any alcoholic beverages for anyone under 21 years of age, or
2. drink or be drunk in a public place.

KCTCS campuses and buildings are considered as public places for purposes of these laws, except for a facility licensed to serve alcoholic beverages, and except for a facility used as a private residence, unless KCTCS policies state otherwise.

Any member of the KCTCS student body, faculty, or staff who violates these defined standards of conduct shall be subject to appropriate disciplinary action up to and including suspension and/or termination. The specifically defined standards of conduct, the disciplinary procedures, and the appropriate sanctions are detailed in the codes of student conduct and in the Kentucky Community and Technical College System policies and procedures.

In addition, it is a violation of state law to operate a motor vehicle while under the influence of any substance (drugs or alcoholic beverages) which may impair one's driving ability.

SANCTIONS

Under KCTCS policies and procedures, students who violate this standard of conduct are subject to disciplinary action from a minimum of a warning to a maximum of suspension from KCTCS. Students who reside in college housing are subject to further disciplinary action which may vary from a warning to termination of their housing contract.

Faculty and staff are subject to disciplinary action from a minimum of a warning to a maximum of termination from KCTCS employment.

Under state and federal drug laws, the gravity of the sanction depends on the classification of the controlled substance, the particular activity involved (possession or trafficking which includes manufacture, sale, and possession with intent to sell), and whether or not multiple convictions are involved.

Under Kentucky law, the most severe penalty for a drug law violation involves trafficking. On a first offense conviction, one may receive a fine of up to \$10,000.00 and/or a sentence of up to ten years in the penitentiary; for subsequent offenses, the penalties may be doubled.

Under federal law, for simple possession of a controlled substance, one may be imprisoned for up to one (1) year and/or fined up to \$1,000.00. For subsequent offenses, one may be imprisoned for up to three (3) years and/or fined up to \$5,000.00. Under federal law, one may be fined up to \$8,000,000.00 and/or may be sentenced from not less than 10 years up to life in prison for drug trafficking. For violations of other federal drug laws, one may receive life in prison or the death penalty.

Under both state and federal laws, one may suffer the loss of whatever property (house, farm) or possessions (vehicle) which one may have used in the drug trade.

Sanctions for violation of state alcohol laws vary from a fine of \$10.00 to \$2,000.00, a sentence of forty-eight (48) hours to twelve (12) months in jail, and/or suspension of one's operator's license.

NOTICE OF DRUG-RELATED CONVICTION

In compliance with the Federal Drug-Free Workplace Act of 1988, any employee shall notify the immediate supervisor if the employee is convicted of a criminal drug offense occurring in the workplace or while on KCTCS business within five (5) days of the conviction. The KCTCS shall take appropriate sanction and remedies in accordance with its policies. The provisions of this section are applicable to students who are employees of the KCTCS. If the employee is under a federal contract or grant, the KCTCS shall notify the contracting or granting agency of the conviction and of its actions. This section of this policy is also applicable to students who receive a Pell grant (federal grant).

HEALTH RISKS

The scope and impact of health risks from alcohol and drug abuse are both alarming and well-documented, ranging from mood-altering to life-threatening, with consequences that extend beyond the individual to family, organizations, and society at large. KCTCS, therefore, conducts regular programs to educate its students, faculty, and staff that consumption and use of drugs may alter behavior, distort perception, impair thinking, impede judgment, and lead to physical or psychological dependence.

Alcohol and/or drug abuse may lead to the deterioration of physical health by causing or contributing to various health conditions including but not limited to fatigue, nausea, personal injury, insomnia, pathological organ damage, some forms of cancer, pancreatitis, heart attack, respiratory depression, birth defects, convulsions, coma, and even death. Alcohol and drug abuse may also result in deterioration of mental health by causing or contributing to various conditions such as increased aggression, hallucinations, depression, disorientation, and psychosis.

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident.

Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse.

Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information.

Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

TRAINING AND COUNSELING RESOURCES

Continuous efforts are made to make students, faculty, and staff aware of the on-campus and off-campus programs which provide information and professional services on matters related to the abuse of alcohol and drugs.

Other counseling, treatment, and rehabilitation services are available in the communities throughout the state in which Community/Technical College employees are located.

Many other services are available and may be located by looking in the local phone directory yellow pages under "Social Services" or "Alcoholism" or in the "Community Service Guide" section at the front of the telephone directory.

POLICY REVIEW

This statement and any revisions thereto shall be distributed annually to students and employees. Distribution shall be the responsibility of the System Office of Student Affairs and a community college representative appointed by the Chancellor.

Annual Review Policy - The System Office of Student Affairs and the community college representative appointed by the Chancellor shall review and interpret procedures relevant to this statement. They shall jointly be responsible for maintaining records of the annual review of this statement.

SECTION 4

Academic and Service Related Policies

4.1 Policies and Procedures for KCTCS Libraries

4.1.1 Mission

The mission of the KCTCS college libraries reflects and supports the mission of the Kentucky Community and Technical College System and the individual colleges. The mission of the libraries is to provide information in various formats to support the present and anticipated education, research, and service functions of the Kentucky Community and Technical College System and the local communities needs. The libraries share and implement the mission of the Kentucky Community and Technical College System and the local colleges. They are a part of the total teaching and learning process.

The mission of the KCTCS Library Network is to provide central support and services for shared activities and resources.

4.1.2 Administrative Structure

Each college library is managed by a Library Director who reports to the Chief Academic Officer. Librarians have faculty status. Librarian ranks are Librarian I, Librarian II, Librarian III, and Librarian IV. The KCTCS Library Network is coordinated by a staff of librarians, reporting to the Vice President primarily responsible for Information Technology.

The Library Network Office is responsible for all aspects of the automated library system, including union database training, design, security, profiling, and maintenance. The Library Network Office coordinates external library network memberships, serves as the liaison with vendors, and performs other functions as listed in Acquisitions, Cataloging, and Planning.

4.1.3 General Policies and Procedures

4.1.3.1 Services

Because each college's needs and programs are unique, each college library has its own mission statement which reflects these differences. Kentucky Community and Technical College System provide interlibrary loan services at no charge, according to Cooperative Agreement Procedures.

The college libraries provide library services and resources to distance education students equitable to those provided to on-campus students.

For individuals with disabilities, the libraries will provide services and assistance that permit access to and use of library services.

4.1.3.2 Acquisitions

Each college library is responsible for the acquisition of traditional print and audiovisual materials to support the curriculum.

The college libraries cooperatively select electronic databases which are shared throughout the system. The Library Network Office coordinates contract negotiations and payments. The Library Network Office monitors collective library endowment funds.

4.1.3.3 Cataloging

Union database cataloging follows international standards. The Library Network Office coordinates cooperative cataloging and database integrity.

4.1.3.4 Planning

Library Directors meet at least twice a year for system-wide planning. The Library Directors name a representative to the state-assisted group. The college librarians and Library Network Office staff participate in statewide library/information initiatives. Library Directors participate in their college's planning, goal-setting, and budgeting. Library Directors assess needs and services to meet local needs and SACS criteria.

<u>4-30-99</u>	<u>9-24-02</u>	<u>9-24-02</u>
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	9-24-02	(SIGNED) 9-24-02
<u>Recommended by</u>	<u>Date</u>	<u>President, KCTCS</u> <u>Date</u>

4.2 KCTCS Computing Policies and Procedures

4.2.1 Purpose and Intent

Computing service is a Community College Branch/Technical College Branch utility having two purposes: to serve the instructional research and public service functions of the Community Colleges/Technical Colleges; and to provide suitable information within the Community Colleges /Technical Colleges for assistance in operational management, decision-making, and reporting.

The accomplishment of these general purposes can take many forms in a time in which technological advances are making computing resources available at relatively lower costs to a much larger population than ever before. The Community Colleges /Technical Colleges wish to take advantage of these advances in a responsible way and are committed to an orderly evolution of computing capability in support of both academic and administrative functions. The underlying principles concerning the planned computing strategy for the Community Colleges /Technical Colleges principles are as follows:

1. All computing done at the Community Colleges /Technical Colleges will be for official Community Colleges /Technical Colleges purposes only. Generally, such computing will be in support of the academic and administrative functions of the Community Colleges /Technical Colleges but may in certain circumstances include other functions as determined by the Chancellors.
 2. Academic computing in direct application to the Community College /Technical College functions of instruction, and public service is the primary purpose of computing at the Community Colleges /Technical Colleges. Administrative computing in indirect support of these functions, while necessary and important, must be secondary. The implication inherent in this principle is that, wherever academic and administrative computing coexist in a computing environment, academic computing will be given first consideration, except in extreme circumstances as determined by the Chancellors.
 3. Disbursed or distributed computing, which has the effect of putting computing power in educational and administrative units with legitimate needs for it, will be encouraged within the constraints of economic sense and other superseding KCTCS policy.
 4. The various Community/Technical Colleges should play a strong role in determining the quality and quantity of computing services in support of their major missions and functions. Each Community/Technical College should be permitted to make economic decisions involving computing and other services.
 5. The Community Colleges /Technical Colleges must take advantage of all sources of support to enhance the resource base that may be applied to computing. Grants
-

and contracts should recover the full costs of computing to support the work of individual projects.

6. The determination of priorities among acquisitions and projects in both academic and administrative areas must be the prerogative of the Chancellors.
7. These policies and procedures will be reviewed periodically in relation to currently appropriate conditions in funding, technology, and availability of other resources and to special needs which may have developed since the policies and procedures were initially adopted.

4.2.2 Computing

4.2.2.1 Academic Computing Policies

1. Instructional Computing

The KCTCS should have a significant capability for interactive and batch instructional computing with a wide variety of computer languages and processors in an environment which is easy for students to use. Such capacity may include the use of a central computer facility, additional hardware of varying capability in remote or central locations, and the use of microcomputers. The ultimate aim is to have sufficient capability to provide all KCTCS colleges with an opportunity for instruction in and access to interactive or other appropriate computing, and to have significant state-of-the-art hardware and software for those students whose disciplines require it.

Funding for this hardware may be augmented in some situations from general institutional funds, but in most cases the funding will be provided by the academic units as the result of economic tradeoffs.

2. Public Service Computing

Computing capability for the public service function of the KCTCS should be sufficient in capacity to support existing and future needs, but most of the funding must be from external sources if the capability is to expand.

Externally funded public service projects will be expected to obtain additional funding for computing in the future.

3. Computing Center Support for Academic Computing

Informed observers of technological development expect expanded use of computing over the next few years in many disciplines, fields, professions, and activities. As use of computing for instruction, and public service grows in the

KCTCS, there will be an increasing need to assist faculty and students in developing new computer applications.

The needs for computing services in instruction and public service will vary within and among academic units. The determination of particular services in any given time period will depend heavily upon the priorities in programs which the units establish for themselves.

When program priorities and emphases change, changes in particular computing services will also be indicated, and various development efforts will be necessary.

Development efforts recognize that needs for computing in instruction, research, and public service vary among units of the institution and from time to time depending upon program emphases of the units. The needs also vary between instruction and public service.

4. Non-Central Academic Computing Facilities

Educational and administrative units which have their own computing equipment of whatever size or capacity must ensure that the equipment is used only to the extent and for purposes contemplated by prior authorization at the time of acquisition and that adequate consulting and tutorial support is available for student users (if any).

4.2.2.2 Administrative Computing Policies

1. General Regulation Statement

Because of the fundamental priority of the academic over the administrative, only highest priority interactive, on-line administrative systems as determined by the Chancellors will be developed or procured for use on the general purpose central computing hardware. When possible, administrative systems will continue to be batch processing systems, allowing administrative processing to be done at night and on weekends when the computer is normally lightly loaded. However, if justified, small, dedicated hardware systems using interactive computing may be procured for administrative uses in accordance with the provisions of the section entitled "Non-Central Systems Request Procedure" in 4.2.3.2.

2. General Regulation on Distributed Processing

The procurement and operation of distributed processing equipment is generally encouraged for those educational or administrative units which have made, as an economic choice, the decision that separate data processing facilities would be beneficial to their functions. Aside from the stipulations set forth in the section entitled "Non-Central Systems Request Procedure" 4.2.3.2, the only restrictions placed on the development of software systems for those installations concern the

use of the institutional data bases listed under the heading "Major Administrative (Class A and B) Systems." Any application which would make use of any part or all of one of these data bases must be first approved by the appropriate staff after recommendation by the appropriate staff.

3. System and Project Classification

Proposed new or expanded administrative computing systems and projects will be categorized into one of three classes:

- a. Class A systems are decision support systems whose primary purpose is to provide information for Kentucky Community and Technical College Systemwide decision-making. A Class A project is any programming effort or acquisition in support or development of a Class A system. The cost of these projects will be funded from a central budget established for this purpose.
- b. Class B systems are those that supply significant information for Kentucky Community and Technical College System-wide decision making and also support significant institutional operating systems. All programming efforts and acquisitions in support of Class B systems are not necessarily Class B projects. Class B projects are those which materially enhance or protect from degradation the parts of the Class B system that contain or aid in the generation or maintenance of decision-making information. Projects to enhance local operation of a Class B system are not Class B projects. The cost of development and operation of a Class B system will be funded from a central budget established for that purpose. Costs for modifications or enhancements in support of Kentucky Community and Technical College System-wide decision-making will also be centrally funded, but costs related to the development, modification, or operation of subsystems or additions to the basic system, which support purely local functions, will be funded by the unit involved.

Programming efforts or acquisitions required to meet federal, state, and certain other external reporting requirements will also be considered Class B.

- c. Class C systems are those which are developed for the primary benefit of the unit involved and which contain very little or no Kentucky Community and Technical College System-wide decision-making information. A Class C project is any programming effort or acquisition in support or development of a Class C system or of an operational function of a Class B system. Costs related to a Class C project will be funded by the unit involved.

4. Special Provisions Concerning Class C Projects

Class C projects are of two types: those which have Kentucky Community and Technical College System-wide information and those which do not, as determined by the appropriate staff. In cases where there is a central information interest, KCTCS development standards must be followed; otherwise, these standards do not apply.

As noted above, the funding of Class C projects is the complete responsibility of the unit involved. Except for the restrictions concerning management information, general standards for system development, and cases where equipment acquisition is involved, the unit will have much flexibility in the design and operation of the system (see section entitled "Non-Central Systems Request Procedure" in 4.1.1.3.2). Class C projects, however, cannot be open-ended. Class C projects, like all projects, must have a clearly defined plan and schedule for implementation. The unit may choose to staff the project entirely within its own organization.

5. Administrative Computing Priorities

The establishment and monitoring of administrative computing priorities is a process related to the classification of projects as A, B, or C; and as major or minor, but is not controlled by that process. That is, a Class B major project does not necessarily have priority over a Class C minor project. The assignment of priorities is dependent upon many factors, including available resources, external agency requirements, operational efficiency, and others. Since these conditions change, there is no intrinsic hierarchy rule governing priorities.

The responsibility for establishing priorities within the Community Colleges/Technical Colleges rests with the Chancellors and the Vice President primarily responsible for Information Technology. The responsibility for preparing recommendations for institution-wide priorities for administrative data processing is charged to the appropriate staff who will develop the recommendations in collaboration with the Chancellors and the Vice President primarily responsible for Information Technology (and other officers, where appropriate).

6. Major Administrative Systems and Data Bases

a. Residence of Data Bases and Use of Subsets

All Class A and B data bases will reside permanently in the central Kentucky Community and Technical College System. Updates to these bases will be made only by organizations with the approval of the Vice President primarily responsible for Information Technology.

Users at non-central computing facilities may use copies of portions (subsets) of those bases applicable to their own organization for approved applications to their own organizational needs. Requests for copy and use of such data base subsets must be proposed in writing to the head of the organization. Approval by that person and the Vice President primarily responsible for Information Technology will be required before implementation.

b. Design of and Changes to Major Administrative Systems

Because most administrative computing systems require interrelationships with other systems to provide adequate data for management, policy, and decision-making purposes, coordination and, in some cases, integration of major institutional data bases are necessary. To coordinate and maintain such data bases and to ensure the protection and security of data; the Vice President primarily responsible for Information Technology has the responsibility for overall design, integration, and monitoring of all data processing activity concerning these data bases. Since modifications to existing programs and systems affect the interrelationships among systems; all requests for changes, deletions, and additions to existing administrative systems must be proposed in writing to the Vice President primarily responsible for Information Technology and must be approved by that administrator before adoption.

7. Programming Languages and Standards

COBOL and Mark IV are the only data processing languages presently approved for administrative data processing applications. All administrative systems, whether developed in-house or acquired from an outside vendor, will be written in either of these languages. KCTCS has published COBOL programming standards which must be adhered to by in-house programmers and outside vendors alike. Other programming languages may be added in the future.

8. KCTCS Support for Administrative Systems

KCTCS will provide support for all administrative systems approved, purchased, or developed under the procedures detailed in the section entitled "Administrative Computing." The nature of that support is dependent upon the classification of the system and the location and control of the computing equipment on which the system runs. The types of support are explained in the following sections.

Programming Support

a. Class A and B Projects and Systems

The KCTCS will provide complete developmental and maintenance programming support for Class A and B systems and projects. This support will be fully funded by central branch institutional accounts.

b. Class C Projects and Systems

KCTCS will provide programming support to approved Class C systems and projects in a variety of ways.

Another way in which the KCTCS will support Class C projects is on a pay-as-you-go, charge-back basis if staff is available. Such projects would be programmed by regular staff programmers/analysts whose time, as well as computer time, would be charged back to the Class C user organization.

9. Data Coordination and Scheduling

The KCTCS Data Coordination section will set up and run all adequately documented production jobs from approved administrative systems. User organizations are responsible for supplying run schedules, update transactions (if any), and parameter information. The cost of running Class A and B systems will be funded from Community/Technical College Branch-wide accounts. Class C running costs will be funded from user organization budgets.

10. Systems Developed Outside Institutional Policies

Community College/Technical College units which use their own resources to develop or purchase administrative data processing systems outside the policies and procedures set forth in this document must accept complete responsibility for operating and maintaining those systems. Such systems will not normally be supported by the Community College Branch/Technical College Branch as Community College /Technical College systems. This means that data processing personnel employed by the units for development, operation, or maintenance of such systems will have no special privileges in the use of Community College Branch/Technical College Branch files or systems personnel. KCTCS programmers will not normally be used to modify or operate these systems. The KCTCS Data Coordination section will not normally schedule or run these systems.

4.2.2.3 Word Processing

The acquisition of word processing and office automation equipment for those educational and administrative units with justified needs will be encouraged. Any equipment purchased primarily

for the purpose of word processing should be capable of electronic communication to the KCTCS central computing facility. Such a capability is necessary so that the KCTCS can build a base for future communication needs. Electronic mail, electronic filing, and fuller remote use of the computing facilities are the eventual aim of this policy.

4.2.2.4 General Policies

1. Non-Central Computing Facilities

An increasing number of educational and administrative units have been obtaining computing equipment for special purposes in accordance with the policies stated in this document. The only general rules for these non-central facilities are that the equipment be properly maintained and that all applicable construction, environmental, fire, and other physical plant regulations have been addressed before installation.

2. Relationship to KCTCS Computing Facility

In those cases in which the non-central computing equipment is physically connectable to the KCTCS computing facility through communication links, all costs of maintaining the communication link are the responsibility of the unit owning the non-central equipment. KCTCS standards must be maintained on all communication links.

3. Service Priorities

Three major priority classes of service are provided by KCTCS: Regular, Deferred, and Slack-time. Regular priority is for that work which has a definite requirement for fast turnaround. Deferred priority is assigned to that work which can be held temporarily in abeyance until regular work has been completed. Slack-time priority is assigned to that work which may be held in abeyance until regular and deferred jobs have been completed. A user can select the appropriate priority for the running of a job.

Deferred computing has lower charges and slower turnaround times. The purpose of the deferred and slack-time priorities is to gain a better balance in scheduling and thus improve efficiency of operation. More time can be made available to users, and more users may be able to utilize computing services.

An upper limit exists to the amount of work that can be processed in a work day or in any twenty-four hour period. Thus, establishing orderly priorities of the work totality, even when the volume is below saturation level, is desirable. Subsequently, then, when a saturation volume is reached, those persons in charge of determining what will and what will not be processed will have a functioning method for analysis and evaluation of both existing and new projects.

The Chancellors are charged with the responsibility for accomplishing priority assignments within the branches.

4.2.2.5 Computing Outside the KCTCS

1. Participation in Networks

More and more information and data processing networks are appearing, some regional and some national in scope. These may serve fields, disciplines, topics, major areas, and various combinations of units. The KCTCS will undoubtedly find participation in some of these networks advantageous; and units are encouraged to use such services when appropriate and when the needs of the KCTCS are best met.

The same procedures cover the acquisition of these services as apply to the procurement of other data processing services or equipment.

2. Inter-Institutional Cooperation

By having strong computing facilities and the accompanying resources for project and program development, the KCTCS is in a position to serve certain state-wide and inter-institutional needs for computing in higher education when called upon to do so. The intention of the KCTCS is to work cooperatively with agencies and institutions in planning such services and to provide these whenever possible.

4.2.2.6 Use of KCTCS Facilities by External Agencies

Except for KCTCS students, faculty, and staff; the use of KCTCS computing facilities is generally limited to federal, state, county, and municipal agencies of government, non-profit research organizations, and other educational institutions. In special cases, when other facilities are not readily available and when the service does not interfere with KCTCS work, or when high potential educational value to the KCTCS exists, an organization not included in the above may be eligible to purchase computing services from the KCTCS. Such requests should be made in writing and addressed to the Vice President primarily responsible for Information Technology.

4.2.3 Procedures

4.2.3.1 Academic Computing Procedures

1. Requests for Academic Computing Equipment

Requests for computing equipment for instructional, or public service purposes, should be in the form of proposals. Such a proposal must contain a statement of academic need and, if the equipment is for instructional use, the proposal must state the numbers and classifications of students affected.

2. Review of Academic Computing Acquisition Requests

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Vice President primarily responsible for Information Technology. The Vice President primarily responsible for Information Technology should be involved at an early stage of planning so that the acquisition can be reviewed in relation to overall institutional goals and the following criteria be considered in a timely manner:

- a. The acquisition must be economically defensible. That is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal educational benefits. It must also contain an analysis of alternative methods of achieving the same ends, such as use of a central computer or use of purchased services.
- b. The effect of data communications between the proposed system and KCTCS computing facilities must be assessed. The assessment will be made in terms of the impact of the proposed system on the resources of the KCTCS computing facilities. The decision whether or not to acquire the communication software and hardware should be based on the results of that assessment.
- c. The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and the requirements of KRS 45.76017. (Currently systems are reviewed for procurement by both the Council on Postsecondary Education and the Secretary of Finance of the Commonwealth of Kentucky).

3. Purchasing Requirements

Refer to section 4.2.3.4 entitled "Acquisition of Equipment, Software, and Services."

4.2.3.2 Administrative Computing Procedures

1. Project Request Procedures

As institutional units perceive the need for new or expanded administrative computing systems, they should prepare requests and forward them through the appropriate local organization to the Vice President primarily responsible of Information Technology and to the Chancellors. The Vice President primarily responsible for Information Technology will classify the project as an A, B, or C project.

If the project is an A or B project, the Vice President primarily responsible for Information Technology will analyze the proposal with respect to the following criteria:

- a. General reasonableness of objectives;
- b. Estimated cost of the project;
- c. Extent of problems the requested project would help solve;
- d. Conformity of request to overall institutional goals;
- e. Conformity of request to institutional and governmental regulations;
- f. Position of request within KCTCS priority structure;
- g. Availability of financial and personnel resources; and
- h. Advantages of requested system over system to be replaced (if any).

If the request is acceptable according to these criteria, the Vice President will reach agreement with the Chancellors on priority and general schedule. A further classification will be made as to whether the project is major or minor in terms of resources required for implementation. It will then be scheduled for implementation. The request will then be processed in accordance with the operational procedures given in the sections below entitled "Major Projects" and "Minor Projects."

If the project is found to be a Class C project, the Vice President will specify KCTCS management information needed from the project, if any, and, in cases in which there is such information provided by the project, give overall standards to be followed during implementation.

2. Major Projects

Major projects are those which are estimated by the Vice President to require greater than three months elapsed development time or to cost more than \$5,000 counting all resource usage including software acquisition, computer time, programmer time, and the time of other systems personnel.

a. General System Proposal

The Vice President will prepare a general system proposal which will include the following:

- 1) A functional specification of a system designed to meet the user's requirements, which specifies objectives of that system, expected growth of the system, and limits to that growth;
- 2) A plan for implementation of the system, which will include hardware requirements (if applicable) and a timetable;
- 3) A cost estimate for system implementation, including the costs of design, conversion, hardware, software, programming, operating, and maintenance; and
- 4) A comparison of costs of the proposed system with the costs of the current operating method and alternative systems or methods.

b. Study for Make-or-Buy Decision

Often it is unclear at the time of initial approval of a project for implementation whether it would be to the best advantage to the KCTCS to develop the software in house, purchase already developed software, or contract externally for its development. As a general principle, where acceptable commercial software is available to do a given project, procuring it is preferable to developing the software internally. In consultation with the requesting unit, the Vice President will use the following criteria in determining whether to purchase or develop software for an approved project:

- 1) Estimated cost of purchased software versus cost of internal development of software;
- 2) Experience, stability, and past performance of commercial vendors' software in comparable institutions;
- 3) Time required to install commercial software versus time to develop software in-house in terms of institutional priorities;
- 4) Conformance of commercial software to KCTCS language requirements, hardware compatibility, and programming standards; and
- 5) Cost of modifications needed to adapt commercial software to KCTCS environment, i.e., operating system conversion and interfaces with existing systems.

Based on the consideration of these criteria, the Vice President will produce a report recommending a course of action and submit it with the

system proposal to the Vice President primarily responsible for Finance who will submit it to the Chancellor(s) for approval.

c. Internal Development Process

If the decision is to implement all or parts of the project internally, the Chancellor(s) will appoint a project manager who will have the responsibility and authority to coordinate the installation of the system in accordance with the following procedure.

1) System Analysis and Design

The project manager, with advice from the Vice President, will create a detailed, task-oriented plan for project implementation, conversion, and parallel operations (if needed) with an appropriate timetable. This timetable will serve as the basis for the Vice President to monitor progress in implementation.

2) System Review

The Vice President primarily responsible for Information Technology will review the plan prepared by the project manager and consult with user management before giving approval for the project to proceed to the programming stage. The Vice President primarily responsible for Information Technology may also at this time request changes involving the addition of data needed for central administration decision-making and changes in data output format. Subsequent changes to the plan will require the approval of the Vice President primarily responsible for Information Technology. Such approval will be given only in exceptional circumstances. Throughout the project the Vice President primarily responsible for Information Technology will monitor the progress.

3) Documentation

Programmers/analysts will prepare documentation according to KCTCS standards to indicate the purpose and detail operations of each of the programs and instruct the KCTCS Data Coordination section in the sequence and controls to be used in running them. The documentation also provides the programmers/analysts who will be maintaining the system with information about its logic and operating conditions.

4) Post-Installation Management Audit

The Vice President will, using the system proposal as a guideline, determine whether the system is accomplishing the objectives for which it was designed by reviewing the operations of the system and any new procedures the users have implemented. In this process the Vice President will determine the effect of the system on machine time, evaluate whether the implementation schedule was met, and prepare a report of the results of the review for the KCTCS and institutional and user management.

d. Purchased Software Implementation Process

The Chancellor will appoint a project manager who will have responsibility and authority for coordinating the installation of the purchased software. The project manager will work with the vendor's representatives and KCTCS personnel in the installation process.

In some cases the installation of purchased software is part of a major system development project. In those cases the installation of the purchased software will be assumed under that development effort under the procedures detailed in the above section entitled "Internal Development Process."

Where the installation is not part of a major development effort, requests for minor incidental programming effort needed in the installation should be directed to the Vice President for approval, priority, and scheduling.

3. Minor Projects

Programming requests and all other systems requests not defined as major projects will be reviewed by the Vice President for acceptability, assignment, and priority.

4. Non-Central Systems Request Procedure

Recent developments in data processing technology have created powerful processors and large capacity data storage in small packages and at relatively low costs. It is the intention of KCTCS to take advantage of those developments in appropriate circumstances. This section applies only after administrative system proposals have been classified and approved under the provisions of subsection 1 section entitled "Project Request Procedure." Such approved proposals may have specifically requested hardware or by their nature may have suggested a possible need for additional computing equipment. Approval of an administrative project for implementation does not automatically ensure that suggested hardware will be acquired. The purpose in this section is to set forth the conditions under which

such equipment should be procured, the review criteria, and the procedures for procurement.

a. **Conditions Under Which Non-Central Systems Will Be Considered**

Hardware for non-central computing will be installed when individuals responsible for division, college, and systemwide administration have determined that there is an economic justification for so doing, and that resources necessary to acquire and maintain the hardware are available for both the initial and long-term obligations of the system. Ordinarily, this means that these systems will be supported from unit budgets.

b. **Review Criteria**

While the primary responsibility for the decision to acquire a system rests with the units affected, such decisions should be coordinated through the Vice President as part of the systemwide planning function. The Vice President should be involved at an early stage of planning so that the acquisition can be considered in relation to overall institutional goals and the following criteria be considered in a timely manner:

- 1) The acquisition must be economically defensible; that is, a cost-benefit analysis must be made and evidence given to show that the cost of the system will be offset by at least equal benefits in terms of savings in personnel costs, increased services, or other applicable measures. It must also contain an analysis of alternative methods of achieving the same ends, such as use of the central computer or use of purchased services.
 - 2) The system chosen must be capable of data communication in some form with the central computing facility so that information for systemwide decision-making may be taken from it if needed. An assessment will be made of the impact of the proposed system on the resources of KCTCS computing facilities. The decision whether or not to acquire the communication capability will be based on the results of that assessment.
 - 3) The justification for installation of the proposed equipment must be made in accordance with the requirements of state agencies given the power of review of such requests and in accordance with KRS 45.760. (Currently systems are reviewed for procurement by both the Council on Postsecondary Education and the Department of Finance of the Commonwealth of Kentucky.)
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c. Procedure for Request of Non-Central Systems

The initiating unit is responsible for proposing the acquisition of any non-central system for administrative data processing either as part of the application proposal or subsequently.

Proposals to install non-central systems must be endorsed by the president/director and the Chancellor(s). Such proposals must contain the following information:

- 1) Institutional unit requesting system;
- 2) Name of system and vendor (if known);
- 3) Purchase and/or rental costs of the system;
- 4) Recurring obligations implied by acquisition of the system;
- 5) Statement of the maximum configuration of the system (i.e., a statement of all improvements to the system that may be proposed over the five-year period);
- 6) A discussion of the benefits of the system and the needs of the department in light of the costs to be incurred;
- 7) A review of alternatives to the proposed system, including such comparisons among competing vendors as may be appropriate; and
- 8) A technical description of the proposed system.

A president/director who approves a proposal for an administrative system will forward the proposal to the Vice President primarily responsible for Information Technology for review. The following criteria will be used in such a review:

- 1) The proposed system should meet generally accepted standards of quality in administrative data processing. The vendor should have established a reputation that will ensure reasonable support and maintenance.
 - 2) The proposed system should be capable of communication with KCTCS computing facilities if there is a possibility that systemwide administration might need access to data in the system for either management or operational purposes.
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- 3) The proposed system should have a clearly defined maximum configuration beyond which it will not be expanded except upon review in keeping with these policies and procedures.
- 4) The proposed system should be permitted to have an impact upon the systemwide computing resources only to the extent contemplated by conscious decisions made at every level.
- 5) The proposed system should be consistent with policies and conventions of state agencies responsible for reviewing data processing proposals.

The Vice President will review all proposals based on the criteria listed above. The Vice President also will evaluate the relative costs and benefits of each system and the extent to which alternative solutions have been explored and make a report of the finding to the officers who have endorsed the system and to the Chancellor(s).

4.2.3.3 Word Processing Request Procedure

Units with justifiable needs may acquire word processing equipment from any vendor whose equipment has been listed on the KCTCS Approved Word Processing Equipment list. A preferred vendor will be indicated on this list. It will generally be to the benefit of the requestor to choose equipment from the preferred vendor. A preferred vendor is one who has demonstrated models, lines, features, or software especially adapted or useful KCTCS needs; and who has entered into special price and service contracts with the KCTCS. Information concerning vendors and contracts can be obtained from the Vice President.

Requests for word processing equipment not included on the Approved Word Processing Equipment list will be handled in the following way. The requestor will be asked to advise the vendor of the equipment of KCTCS policy concerning communications and minimum word processing features. If the vendor wishes to demonstrate those capabilities, the vendor can do so under the provisions specified in the section below entitled "Procedure for Inclusion in Approved Word Processing Equipment List." If the vendor cannot or will not comply with these provisions, the requestor will be advised to select another vendor.

The Approved Word Processing Equipment list will be maintained by the Vice President. The list will be frequently updated. The Vice President will have the most current copy of the list at all times. Inquiries about the list should be directed to the Vice President.

1. Software

Word processing software may be leased or purchased for existing or new equipment not acquired primarily for word processing use. Justification for such acquisitions must be made in the same way as for any other software acquisition.

2. Procedure for Inclusion on Approved Word Processing Equipment List

To be included on the Approved Word Processing Equipment list, a vendor's equipment must have demonstrated communications capability to the KCTCS computers. A standard test, administered by the Vice President, will be performed on each model of equipment that the vendor wishes to include on the Approved Word Processing Equipment list. The software or hardware that the vendor uses to demonstrate the capability must be standard issue, not specially developed for the purpose of the test.

In addition, each vendor must demonstrate a minimum standard word processing capability. A document itemizing the provisions of this standard is available on request from Vice President. Each model of equipment on the list, and its word processing software, communication hardware and software must be covered under Commonwealth of Kentucky Price contract or under a special price contract with the KCTCS.

While it is not a requirement for inclusion on the Approved Word Processing Equipment list, vendors will be considered more favorably if their equipment also supports some data processing capability using such standard languages as BASIC, FORTRAN, or COBOL.

3. Justification and Routing

Any educational or administrative unit wishing to acquire word processing equipment will submit to the Vice President a proposal containing the following information:

- a. Unit name;
 - b. Date of proposal;
 - c. Description of need for word processing equipment, including volume of present activity, volume of planned activity, and type of activity (e.g., manuscript typing, power input, power output, etc.);
 - d. Configuration of proposed system, including number of terminals, number of printers and location, and special considerations; and
 - e. Account number under which equipment will be acquired.
 - f. Type of application, volume of activity, and frequency of use are the main criteria. Highest priority will be given to requests from units with a constant high volume of effort in current or planned word processing. Number and location of terminals and printers are also important concerns.
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- g. Upon approval and signature by the Vice President, the proposal will be forwarded to the Chancellor(s) for final review and evaluation.

4.2.3.4 Acquisition of Equipment, Software, and Services

This section applies to all acquisitions of computing hardware, software, and services not covered specifically by preceding sections. In addition, it covers the approval routing required for such acquisitions and the state-level requirements for certain types of purchases.

1. Prior Authorization and Appropriation of Funds for Certain Equipment Purchases

In accordance with Commonwealth of Kentucky law as set forth in KRS 45.760, all purchases of computing systems with a price of \$50,000 or more can be acquired only if a description of the equipment and its approximate price appears in the appropriation bill for the current biennium and in the KCTCS biennial budget.

The implication is that large scale computing equipment acquisitions using state funds must be planned well in advance of the acquisition and included in the biennial budget request. Equipment meeting the definition but not appearing in the appropriation bill cannot be acquired during the current biennium.

2. Internal Procedure

a. Equipment

In accordance with the specific provisions indicated in other sections of this document; justifications, proposals, and requisitions for the purchase, rental, lease, or donation of data processing equipment are to be prepared by the intended user unit(s) and forwarded to the college president/director for consideration and action. If approved by the college president/director, the proposal moves to the Vice President. The recommendation of the Vice President will be forwarded directly to the Chancellor(s) for final review and evaluation.

All applicable procedures at the state level for the procurement of data processing equipment set forth by the Council on Postsecondary Education and the Commonwealth of Kentucky Department of Finance must be followed.

b. Software

Any programs which are to be written by an outside source or which need substantial conversion to run on KCTCS equipment are to be considered under the section entitled "Procurement of Computing Services."

The procedure for proposal and approval of pre-coded data processing software is the same as that outlined in the section entitled "Acquisition of Data Processing Equipment."

c. Services

There may be instances in which the KCTCS or a KCTCS unit finds particular advantage in purchasing computing services from an agency, business, or institution external to KCTCS. In such instances, the intended user(s) can make a request to college president/director following the established procedures for purchase, lease, rental, or other means of acquiring the service.

The request should give the justifications usually expected, such as the advantage of the service over available or currently used service, the conditions of the purchase, and the source of funding.

d. Routing and Signing of Requests

All requests for acquisition or lease/rental renewal, including advice-of-change notices to existing purchase orders, must be made on a standard requisition and be signed by the requestor, the community college president/technical college director, the Vice President, and the Chancellor(s). The purchasing division will not process any request that does not have these signatures.

3. External Procedure

The purchasing division will keep current on all state-level purchasing and approval routing requirements and advise requestors of those requirements.

4.2.4 Planning and Reporting of Computing Activities

4.2.4.1 Computing and Computer Use Plan

A plan for computing and use of computers is to be employed for guidance and decision-making purposes in the KCTCS. This plan is to cover a minimum of two years, preferably more. The proposed uses of computing in the major functions are to be projected, and the requirements, including support, for priority levels of usage are to be included.

The plan is to be updated and revised at least biennially. In order that the revisions are soundly based; the needs, requests, and justifications for computing services in the performance of basic functions are reviewed by the Chancellor(s) with the proposing units of the branch(es).

In addition, an inventory is maintained of computing and data processing equipment and the general capabilities and utilization of that equipment. Computer-related personnel and expenditures throughout the KCTCS are factors which are also included.

In this manner, requests and current usage can be reviewed in terms of capabilities of existing resources and then, when indicated, in terms of needed additional capacity and resources.

The responsibility for the periodic development of this systemwide plan is lodged with the Vice President primarily responsible for Information Technology.

4.2.4.2 Computing Allocations

The Chancellor(s) should budget whatever funds are deemed necessary for computing activities.

The primary responsibility for the management of computing and data processing expenditures resides with the individual user and the user's unit. Computing charges incurred by an individual are the responsibility of that unit. Consequently, an over-expenditure of the authorized budgeted funding is an obligation of the unit.

4.2.4.3 Annual Report

An annual report on computing facilities, computing systems, and computing and data processing personnel throughout the institution is to be made to the Chancellor or Vice President. College reports will be supplied by the president/director by August of each year. This report should include: information on the type, capability, location, and utilization of computing facilities and computing systems and the number, location, and general assignment of computing and data processing personnel.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

The report should outline all new systems and programs developed since the last report, any hardware or staff additions, and any plans for new hardware, software, or staffing. The report should also provide data on the utilization of the equipment during the previous 12-month period, the users of the equipment, and the costs involved.

4-30-99			
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
Recommended by	Date	President, KCTCS	Date

4.2.5 Policy Governing Access to and Use of Kentucky Community and Technical College System Computing Resources

4.2.5.1 Two Basic Rights

Access to computing resources is granted to an individual by the Kentucky Community and Technical College System (KCTCS) solely for the grantee's own use. Every user of the KCTCS computing resources has two basic rights regarding computing:

1. Privacy
2. A fair share of resources

It is unethical and a violation of this policy for any person to violate these rights.

All users, in turn, are expected to exercise common sense and decency (due regard for the rights of others) with respect to the public computing resources, thereby reflecting the spirit of community and intellectual inquiry at KCTCS. Access is a right that may be limited or revoked if an individual misuses the right or violates applicable KCTCS policies or state or federal laws.

4.2.5.2 Principles Governing Use of Computing Resources

- a. User access is granted to an individual and may not be transferred to or shared with another without explicit written authorization by the Vice President responsible for Information Technology, a designee, or the appropriate system administrator.
 - b. User access to computing resources is contingent upon prudent and responsible use.
 - c. The user may not use computing resources for any illegal or unauthorized act; in particular, the user may not use computing resources to violate any state or federal laws or any of the regulations specified in KCTCS policy or the student rights and responsibilities handbook (Code of Student Conduct).
 - d. The user may not use computing resources for any commercial purpose without prior written authorization from the Vice President (Information Technology), a designee, or the appropriate system administrator.
 - e. Computing resources must be shared among users in an equitable manner. The user may not participate in any behavior that unreasonably interferes with the fair use of computing resources by another.
-

4.2.5.3 Examples of Violations

Violations of these principles or any attempt to violate these principles constitutes misuse. Violations include, but are not limited to:

- a. Sharing passwords or acquiring another's password without prior written authorization from KCTCS Information Technology or the appropriate system administrator.
- b. Unauthorized accessing, using, copying, modifying, or deleting of files, data, user ids, access rights, usage records, or disk space allocations.
- c. Accessing resources for purposes other than those for which the access was originally issued, including inappropriate use of authority or special privileges.
- d. Copying or capturing licensed software for use on a system or by an individual for which the software is not authorized or licensed.
- e. Use of computing resources for remote activities that are unauthorized at the remote site.
- f. Causing computer failure through an intentional attempt to "crash the system," or through the intentional introduction of a program that is intended to subvert a system, such as a worm, virus, Trojan horse, or one that creates a trap door.
- g. Intentional obscuring or forging of the date, time, physical source, logical source, or other header information of a message or transaction.
- h. Interception of transmitted information without prior written authorization from KCTCS Information Technology or the appropriate system administrator.
- i. Failure to protect one's account from unauthorized use (e.g., leaving one's terminal publicly logged on but unattended).
- j. Violation of priorities for use of computing resources as established by an individual facility within the KCTCS.

4.2.5.4 Responses to Violations

Violation of this policy will result in action by the appropriate KCTCS office or agency. Violations of KRS 434.840 (Kentucky statutes dealing with unlawful access or use of a computer) may be referred to the Commonwealth Attorney or the police for investigation and/or

prosecution. Similarly, violations of 18 U.S.C. Sec. 1030 (Federal laws dealing with unlawful access or use of a computer) may be referred to the Federal Bureau of Investigation.

4.2.5.5 KCTCS Sanctions

KCTCS sanctions are imposed by the appropriate KCTCS authority and may include, but are not limited to, limitation or revocation of access rights and/or reimbursement to KCTCS for the computing and personnel charges incurred in detecting and proving the violation of these rules, as well as from the violation itself. Reimbursement may include compensation for staff work time related to the violation and for archiving information related to the incident. The usual rights and privileges of appeal apply.

4.2.5.6 Investing and Review of Charges

When the Vice President responsible for Information Technology, a designee, or the appropriate system administrator has reason to believe that a violation may have occurred, he or she may initiate an investigation and/or suspend computing privileges for the individual(s) involved, pending further investigation. If significant KCTCS sanctions are imposed, such action, together with an explanation of the causal events, shall be reported by the Vice President or the appropriate system administrator to the appropriate Chancellor's or Vice President's office.

In cases where a user's computing privileges are limited or revoked, a user should request a review of the action according to procedures established by KCTCS Information Technology before appealing through other KCTCS channels.

9-5-00	9-18-00	9-18-00
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>
(SIGNED)	9-18-00	(SIGNED) 9-18-00
Recommended by	Date	President, KCTCS Date

Kentucky Community and Technical College System Computer Account Usage Agreement

I acknowledge responsibility for the use of all the computer accounts assigned to me on the KCTCS centralized computing systems. I will accept any and all consequences due to the misuse or abuse of the computing facilities. I agree to:

- use the computing facilities in an appropriate and ethical manner;
- abide by software copyright agreements and to respect the property rights and associated restrictions of others and to refrain from actions or access which would violate the terms of such licensing and nondisclosure agreements;
- respect the confidentiality of data, complying with federal and state statutes and KCTCS policies regarding access to KCTCS data and to not release such data without proper authorization;
- take appropriate steps to safeguard access codes and passwords to protect against unauthorized use and to notify Information Technology of suspected unauthorized use;
- not make unauthorized use of the accounts and to not knowingly grant use of the accounts for unauthorized purposes;
- respect the rights of all other users of the system and to not knowingly use computing resources in any way which is disruptive or damaging to the system or any other user;
- not use the electronic communication facilities in any way to offend, annoy or harass other users;
- the proper management of computing resources, not limited to but including disk space and tape volumes;
- take proper precautions to safeguard personal data for recovery in the event of a computing system disaster.

I understand KCTCS does not warrant the functionality or performance of the resources, made available by the use of the computer accounts, to meet my particular purposes or use and realize that I bear the risk of loss or damages arising therefrom.

I understand computing resources are the property of KCTCS and once my computer accounts are closed, access to the accounts or the data contained within them may be granted to others to facilitate the transfer of responsibility or the retrieval of data.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES-ATTACHMENT A

I understand that misuse of the computing resources, abuse of the system, or other violation of this agreement, by myself, or by an individual to whom I have permitted use of the computer accounts, can result in loss of computing privileges, disciplinary action, and legal action.

Kentucky Computer Crime Law

Information resources are valuable KCTCS assets. The willful and knowing unauthorized use, alteration, or destruction of these assets is a computer related crime, punishable under KRS 434, Kentucky Revised Statutes.

Every employee shall be held responsible for systems and data security to the degree that his or her job requires the use of information and associated systems. Fulfillment of security responsibilities shall be mandatory and violations of security requirements may be cause for disciplinary action, up to and including dismissal or criminal penalties under KRS 434 or similar laws.

The following is a summary of the provisions of the Kentucky Computer Crime Law, KRS 434.

Section 1 provides definitions of computer terms applicable to law.

Section 2 defines "unlawful access to a computer in the first degree" as:

1. A person is guilty of unlawful access to a computer in the first degree when he knowingly and willfully, directly or indirectly accesses, causes to be accessed, or attempts to access any computer software, computer program, data, computer, computer system, computer network, or any part thereof, for the purpose of:
 - devising or executing any scheme or artifice to defraud;
 - obtaining money, property, or services for themselves or another by means of false or fraudulent pretenses, representations, or promises;
 - altering, damaging, destroying, or attempting to alter, damage, or destroy any computer, computer system, or computer network, or any computer software, program, or data.
2. Accessing, attempting to access, or causing to be accessed any computer software, computer program, data, computer, computer system, computer network, or any part thereof, even though fraud, false or fraudulent pretenses, representations, or promises may have been involved in the access shall not constitute a violation of this section if the sole purpose of the access was to obtain information and not to commit any other act prescribed by this Section.
3. Unlawful access to a computer in the first degree is a Class C felony.

Section 3 defines "unlawful access to a computer in the second degree" as:

1. A person is guilty of unlawful access to a computer in the second degree when he, without authorization, knowingly and willfully, directly or indirectly accesses, causes to be accessed, or attempts to access any computer software, computer program, data, computer system, computer network, or any part thereof.
-

2. Unlawful access to a computer in the second degree is a Class A misdemeanor.

Section 4 defines "misuse of computer information" as:

1. A person is guilty of misuse of computer information when he:
 - receives, conceals, uses, or aids another in doing so, any proceeds of a violation of Section 2 of this Law;
 - receives, conceals, uses or aids another in doing so, any books, records, documents, property, financial instrument, computer software, computer program, or other material,
 - property or objects, knowing the same to have been used in or obtained from a violation of Section 2 of this Law.

2. Misuse of computer information is a Class C felony.

Section 5 outlines the jurisdiction for any crimes committed under the provisions of Section 2,3, or 4.

1. For the purpose of venue under the provisions of KRS Section 2,3, or 4 of this Law, any violation of these Sections shall be considered to have been committed:
 - in a county in which any act was performed in furtherance of any transaction violating Section 2, 3, or 4;
 - in any county in which any violator had control or possession of any proceeds of said violation or of any books, records, documents, property, financial instrument, computer software, computer program, or other material, objects or items which were used in furtherance of said violation;
 - and in any county from which, to which or through which any access to a computer, computer system, or computer network was made whether by wires, electromagnetic waves, microwaves, or any other means of communication.
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4.3.1.1 Strategic Planning Process – KCTCS Colleges

Each college shall engage in a strategic planning process that involves faculty, staff, students and the community at large. Integral to the strategic planning process will be an assessment of the unit's strengths and weaknesses and an assessment of external environmental trends influencing the unit in the present and in the future (e.g., quality and quantity of faculty, students, and staff; support provided to KCTCS and to the public; quality of facilities and equipment; demand by majors and non-majors; demand for graduates, etc.).

The strategic planning process will result in a:

1. **Strategic Plan:** A long-range plan that sets goals and objectives that the college sees as essential to the accomplishment of its mission. Each college must have a clearly defined purpose or mission statement, supported by institutional goals, that is appropriate to collegiate education as well as to its own specific educational role. The statement must describe the institution and its characteristics and address the components of the institution and its operation. Each statement should show consistency with the mission of KCTCS. The goals should identify the direction that the college should take to meet the needs of its local area and be compatible with those of KCTCS.
2. **Annual Plan:** A plan that clearly sets forth the priorities and implementation strategies that will guide the college during a 12-month period. This plan follows the direction set in the strategic plan but can deviate from this plan if external environmental trends suggest that changes need to be made. The annual plan is consistent with—and may be described as an outgrowth of—individual plans that are prepared by units within the college, e.g., academic affairs, business affairs, etc. All plans should make clear expected results, standards of progress, evaluation methods and how results will be used.
3. **Annual Instructional Program Review: Associate / Certificate / Diploma:** A plan for each instructional program that is consistent with SACS guidelines for institutional effectiveness and CPE productivity guidelines. All plans should make clear expected results, standards of progress, evaluation methods and how the results will be used. Plans should also address competency assessment and any waivers under the assessment and placement policy. All KCTCS occupational/technical programs will document student competence in foundational and technical skills for every designated exit point.
4. **Annual Report:** The purpose of the annual report is to assess progress in accomplishing goals and objectives during the year based on the resources available and to identify priorities and implementation for the upcoming year that are to be included in the Annual Plan. The report, which will be submitted to the KCTCS President, will address the degree to which goals and objectives have been realized,

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adjustments to the college's Strategic Plan that may have been made, and the outlook for the future of college.

<u>4-30-99</u> Date Approved by President, KCTCS	<u>2-13-02</u> Date(s) of Last Review	<u>2-13-02</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) <u>Recommended by</u>	2-13-02 <u>Date</u>	(SIGNED) <u>President, KCTCS</u>	2-13-02 <u>Date</u>

**4.3.3 Process for the Adoption of the College Strategic Plan –
Community Colleges and Technical Colleges**

The college strategic plan is to be developed in coordination with local employers, civic leaders, campus constituents, and other postsecondary institutions in the region and is to be consistent with state statutes, the strategic agenda of the Council on Postsecondary Education, and the KCTCS Strategic Plan.

The college strategic plan is to be submitted to the local college Board of Directors (if applicable) for endorsement and recommendation to the Chancellor.

Upon the Chancellor’s review and recommendation, the college strategic plan is submitted to the KCTCS President for approval.

<u>5-27-99</u> Approval Date	<u>7-15-00</u> Date(s) of Last Review	<u>7-15-00</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) <hr/> Recommended by	7-15-00 <hr/> Date	(SIGNED) <hr/> President, KCTCS	7-15-00 <hr/> Date

4.3.4 Kentucky Community And Technical College Program Advisory Committees

The Program Advisory Committee is an advice-giving body assisting the program in meeting the needs of the community in a manner consistent with existing college regulations and within the stated philosophical purposes of the college.

In this context the committee serves in an advisory capacity to the faculty and administration in order that the program may reflect the needs of the service area in relation to the capabilities of graduates of the college. It works directly with the program coordinator and other faculty and staff members in the specified program.

Advisory committees are required for all occupational/technical programs.

A. Membership

The membership of these committees shall be representative of the businesses and industries for which the program provides education and training. Members shall represent the various levels of management and labor of the business or industry. A majority of the members must be external to the institution.

A student representative shall serve as an appointed member of the committee.

B. Meetings/Minutes

Program advisory committees shall have at least two (2) meetings per year. Minutes to document activities and recommendations will be maintained and distributed for all program advisory committee meetings.

C. Responsibilities

The program advisory committees shall counsel, advise, and consult with the program staff on:

1. Implementation of curriculum;
 2. Safety;
 3. Equipment needs;
 4. Projects for student learning;
 5. Advocacy of the program in the community;
 6. Recruitment of students;
 7. Work-based learning;
 8. Job placement of students;
 9. Community resources available; and
 10. Information regarding the program and improvement thereof
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

D. Appointment

1. Names for potential appointments may be recommended by the program faculty through appropriate administrative channels.
2. The selected member(s) will receive a letter of appointment from the president/director or designee to the committee on which she/he is to serve.
3. Terms of appointment will be for two years unless otherwise specified with reappointment possible by mutual agreement.

10-8-01			
_____ Date Approved by President, KCTCS	_____ Date(s) of Last Review <i>(Include all dates in chronological order)</i>	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	10-8-01	(SIGNED)	10-8-01
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

4.4 Policy Statement on the Accounting and Measurement of Continuing Education and Community Service Activities

4.4.1 Policy Statement on the Accounting and Measurement of Continuing Education and Community Service Activities—Community Colleges

The commitment of the Community Colleges to continuing education and community service is confirmed by action of state legislature. This commitment includes a two (2) year college curriculum; courses in general education, including adult education, not necessarily intended for transfer nor technically oriented; and services to Kentucky's employers and the general public to provide continuing education and customized training for purposes of improving the knowledge and skills of Kentucky workers and citizens in all regions of the state.

Community college programs and services are closely linked to local community needs. Commitment to public service and community involvement distinguishes the community college from other forms of higher education. In response to this mission the Community Colleges define continuing education and community service as follows:

1. Continuing Education

Any structured educational activity (not resulting in academic credit) sponsored by the college for the personal and professional development of individuals. In its broadest sense, continuing education encompasses all ages, educational levels, and topics. The college structures specific learning activities which may be targeted to a particular age group, at a defined level and scope of instruction, and taught by a knowledgeable instructor(s). Participants enroll for a specific offering whether short course, workshop, special training program, or other structured learning activity.

2. Community Service

Any public service that contributes to community development and to the quality of life for a community's citizens. Representative activities include professional consultation and leadership, economic development assistance, testing and assessment services, cultural events, and use of campus facilities.

This policy provides a systematic process for the orderly recognition and reporting of continuing education and community service activities. This policy statement is consistent with the Criteria for Accreditation of the Commission on Colleges of the Southern Association of Colleges and Schools and the Commission on Colleges' publication, *The Continuing Education Unit: Criteria and Guidelines*.

4.4.1.1 Continuing Education–Community Colleges

4.4.1.1.1 Measurement of Continuing Education Units (CEU's) – Community Colleges

The continuing education unit (CEU) serves as the vehicle to measure and report continuing education activities. One CEU represents ten (10) contact hours of participation in an organized continuing education experience under responsible sponsorship, capable direction, and qualified instruction. Individual CEU's require that a permanent transcript of each enrollee's participation be maintained by the Student Affairs Office. Institutional CEU's, although not a matter of a student's permanent record, serve as a means of measuring and reporting learner participation in continuing education.

4.4.1.1.2 Types of Continuing Education–Community Colleges

4.4.1.1.2.1 Occupational and Professional Development–Community Colleges

These programs award individual CEU's by meeting seven basic criteria. The CEU's shall be assigned to programs in advance and awarded to individual participants who meet the standards which have been predetermined for satisfactory completion. The awarding of CEU's is not a participant's option. If an activity awards CEU's, all participants who successfully complete the activity receive a certificate. An individual transcript of the activity will be generated and maintained by the Student Affairs Office and be available upon request. There will be no co-mingling of academic credit and CEU activities.

1. Occupational and professional development programs awarding individual CEU's shall meet the following criteria:
 - a. The noncredit activity is planned in response to an identified educational need for a specific target population.
 - b. There is a clear, concise written statement of objectives or competencies shared with learners prior to and during the activity.
 - c. There are qualified instructional personnel involved in a systematic and sequential process of fulfilling purposes as stated in learning objectives.

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- d. The content and instructional methodologies are consistent with outcomes, are sequenced, and are structured to provide opportunity for the learner to participate and receive feedback.
 - e. Satisfactory completion requirements, including awarding partial credit, are established by the course coordinator and others responsible for the program, and are communicated to participants prior to their participation. Completion standards may be based on a demonstration of learning, predetermined attendance, or a combination of performance and attendance. Only those who meet standards earn CEU's.
 - f. Any assessment or measurement of an individual's performance is predetermined during planning and is measurable, observable, clearly stated, and focused on the learner's expected level of performance. Results of formal assessments should be entered on the participant's CEU transcript with a copy maintained in the program file.
 - g. Evaluative procedures are utilized to measure the quality of the administration and operation of the continuing education activity. During the course of planning, a process is established to evaluate major aspects of the continuing education experience, such as, organizational input; the design, content, content level, and operation; and the extent to which intended learning outcomes were achieved.
2. Categories of Occupational and Professional Development:
- a. Job specific/related training and education which is designed to improve one's skills.
 - b. Continuing professional education/development which improves skills and knowledge for one's profession and may even be required for certification or licensure within one's field.
 - c. Company-specific per-employment and basic skills education which differs from personal development basic skills or employability education in that participants will apply this education in a specific job with a specific company that has participated in planning the educational experience.
 - d. Classes for small business owners/potential owners.
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4.4.1.1.2.2 Personal and Community Development–Community Colleges

Personal and Community Development activities are educational programs which are organized to provide enrichment to individuals in subjects of social awareness or personal interest, for which institutional CEU's are recorded.

1. Personal and community development educational activities award institutional CEU's and shall meet the following criteria:
 - a. The activity is a planned educational experience of a continuing education nature for a diversified population (general public).
 - b. The activity is a planned educational event and is sponsored by the academic or administrative unit of the institution best qualified to affect the quality of the program content and to select and approve the resource personnel utilized.
 - c. Registration or certification of attendance is required for institutional reporting use.
 2. Individuals who participate in such activities shall register but no individual CEU's shall be awarded and no individual transcript of their involvement shall be maintained by the college. The determination of institutional CEU's for these activities shall be made by means of a registration list. A file of program materials used in the activity will be maintained in the Office of Continuing Education and Community Services.
 3. Categories of Personal and Community Development:
 - a. Programs which explore public issues (social, political, health, economic, educational, or environmental).
 - b. Leisure interest programs which may relate to a hobby, craft, or area of personal or cultural enrichment.
 - c. Programs designed for an age-specific audience such as youth or senior adults (e.g., Elderhostels).
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- d. Basic skills programs not undertaken specifically for one's job but for one's personal development. Representative activities might include:
 - 1) Adult Basic Education (ABE).
 - 2) General Educational Development (GED) preparation classes/tutorials.
 - 3) Refresher/Remedial activities.
 - 4) Literacy instruction (reading, math, computer, communications).
 - 5) Employability skills.

4.4.1.2 Community Service–Community Colleges

Community service activities do not meet the criteria for awarding the individual or institutional CEU, yet require significant staff effort and institutional commitment.

Community service activities shall be reported semiannually to the Community College Central Office in the Community Service Report.

Representative community service activities include:

- 1. Testing and Assessment (excludes academic placement testing and advising);
- 2. Consultations;
- 3. Cultural events, science exhibits, career fairs, etc.;
- 4. Use of campus facilities by groups external to the college;
- 5. Speakers' Bureau;
- 6. Community leadership (in instances where a college employee serves as an official representative of the college); and
- 7. Economic Development Assistance.

4.4.1.3 Administration of Continuing Education and Community Services–Community Colleges

4.4.1.3.1 Program Unit

Each community college shall establish an identifiable unit for continuing education activities and shall designate one professional staff member with responsibility for the continuing education and community service programs. This unit must establish a budget for the continuing education and community services activities. The unit administrator shall provide the Office of Student Affairs required information to generate and maintain the transcripts for individuals receiving CEU's.

4.4.1.3.2 Mission Statement

Each community college should have a written mission statement outlining the functions, structure, processes, and philosophies of the continuing education unit which guide the operation.

4.4.1.3.3 Relationship to Academic Units

It shall be the responsibility of the unit administrator to work with the division chairpersons and other administrative personnel to develop an annual plan for continuing education and community service activities as related to the program of the college. Each division and administrative unit shall prepare an annual plan for continuing education and community service activities during the spring of each year. This plan may be modified as needed throughout the academic year.

4.4.1.4 Continuing Education and Community Service Records–Community Colleges

4.4.1.4.1 Transcript Files

Individuals who participate in programs classified under Occupational and Professional Development shall have individual cumulative records of their involvement maintained by the college. To comply with the Southern Association of Colleges and Schools Criteria for Accreditation, transcripts for programs in which individual CEU's are awarded shall be maintained (housed or maintained by staff) in the Office of Student Affairs of each community college. As with all student records, the institution should have a written policy on the retention and release of permanent CEU transcripts. Likewise, the institution should establish in writing provisions for the permanent maintenance of CEU transcripts in the event of the institution's demise.

4.4.1.4.2 Program Files

A program file for Occupational and Professional (individual CEU) activities shall be maintained in the Office of Continuing Education and Community Services. These records should contain:

1. Description of the program, including target group, contact hours, subject matter, etc.;
2. Objectives/competencies of activity;
3. Documentation of faculty qualifications (or where this documentation is maintained);
4. A list of the participants, including certification of completion of course requirements; and
5. Results of activity evaluation process.

A program file for Personal and Community Development (institutional CEU) activities shall be maintained in the Office of Continuing Education and Community Services. These records shall contain:

1. Description of the program;
2. Documentation of faculty qualification (or where this documentation is maintained);
3. A list of participants; and
4. Total contact hours involved.

4.4.1.4.3 Community Service Files

For community service programs, the Office of Continuing Education and Community Services shall maintain records of these activities. Records should include activity description, list of faculty/staff involved, headcount of participants, and total contact hours involved.

4.4.1.5 Certificates for Continuing Education– Community Colleges

Individuals participating in Occupational and Professional Development programs for which individual CEU's are awarded shall be presented a certificate upon satisfactory completion of the program. The title of the program, date(s), contact hours of instruction, and the number of individual CEU's awarded shall be recorded on the certificate. The college may choose to award

certificates of participation for those persons enrolled in Personal and Community Development programs; however, the face of these certificates bear no awarding of CEU's.

**4.4.1.6 Reports of Continuing Education and
Community Service–Community Colleges**

A report of all continuing education and community services activities, including individual and institutional CEU's awarded, shall be sent to the Community College Central Office twice yearly on January 15 and July 15. The format of the report forms shall be provided by the Community College Central Office.

**4.4.2 Policy Statement on the Accounting and Measurement of
Continuing Education and Community Service Activities–
Technical Colleges**

(Policy development is in progress.)

4-30-99			
_____ Approval Date	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

4.9.1 KCTCS Institutional Effectiveness Policies and Organizational Responsibilities

Policies and organizational responsibilities for the institutional effectiveness program at KCTCS are:

4.9.1.1 General Responsibilities

- a. The Chancellors and the Vice President primarily responsible for Internal Affairs are responsible for establishing a central institutional effectiveness function to work in a distributed mode with each college.
- b. Effectiveness and institutional research efforts for management and effectiveness needs will remain focused at the individual college level.
- c. Academic Affairs is responsible for the coordination of academic program plans and program approvals across the system and with external agencies.
- d. The Vice President primarily responsible for Internal Affairs will serve as the liaison for the development of major administrative databases and the provision of programming and educational support for the effective use of those databases.

4.9.1.2 Organizational Responsibilities

- A. Office of Institutional Research and Planning will:
 1. Coordinate external reporting on students, faculty, finances, and staffing to the Council on Postsecondary Education, other state government offices, and federal agencies as defined by the Chancellor(s). This includes all reports required by the Council on Postsecondary Education reporting guidelines, federal IPEDS reports, EEO reports, accreditation reports and other reports as assigned by the Chancellor(s).
 2. Provide executive decision support information to the Chancellor(s).
 3. Coordinate systemwide institutional effectiveness needs and serve as a resource to individual institutions as they develop an annual institutional effectiveness plan subject to the review and approval of the Chancellor(s).
 4. Ensure the timely availability and integrity of data on human resources, finances, students, facilities, and programs to meet information needs for institutional decision-making.
 5. Work closely with each institution regarding availability of and access to institutional data for sector management and effectiveness needs.
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6. Coordinate the annual System response to the legislative accountability bill.
7. Provide the Chancellor(s) with an annual report on the status of progress of institutional effectiveness activities.
8. Evaluate, in concert with the chancellor, the implementation and achievement of goals, objectives, and priorities as established in strategic plans.
9. Establish the linkage of institutional effectiveness outcomes to the planning and budgeting processes by assessing plans for responsiveness to program review and effectiveness outcomes for the improvement of educational programs, services, and operations.
10. Conduct systemwide institutional effectiveness activities as identified in the annual plan, in concert with each institution.
11. Serve as a repository for institutional effectiveness reports.

B. KCTCS Chancellors will:

1. Coordinate academic program plans and program approvals with the KCTCS and with external agencies.
 2. Review new program proposals.
 3. Work with the presidents/directors or their designees in updating the schedules for Review of Educational Units and related degree programs in keeping with administrative regulations.
 4. Review the executive summary of reports of periodic reviews submitted to the Chancellor(s) in keeping with administrative regulations.
 5. Coordinate the schedule of Reviews of Existing Programs and work with the presidents/directors or their designees in implementing the procedures delineated by the Council on Postsecondary Education for these reviews.
 6. Maintain an updated inventory of degree programs and accredited degree programs.
-

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

- C. Presidents/Directors will:
1. Identify and appropriately staff an institutional effectiveness function.
 2. Ensure that institutional research and institutional effectiveness efforts are conducted consistent with institutional management and effectiveness needs.
 3. Ensure that reviews and evaluations of educational and support programs and units are conducted in an appropriate and timely manner.
 4. Monitor, evaluate, and provide the Chancellor(s) with an annual report on the implementation and achievement of institutional goals and objectives as established in the strategic and annual plans, to include an assessment of progress toward meeting the strategic indicators.
 5. Be responsible for the development of the annual institutional effectiveness plan subject to the review and approval of the Chancellor(s).
 6. Conduct institutional effectiveness activities as defined in the annual institutional effectiveness plans.
 7. Work with the Office of Institutional Research and Planning regarding availability of, access to, and integrity of institutional data for institutional management and effectiveness needs.
 8. Provide support to the System Office of Institutional Research and Planning in development the annual response to the legislative accountability bill.

4-30-99

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

4-30-99

(SIGNED)

4-30-99

Recommended by

Date

President, KCTCS

Date

4.10 Policy for Consortial Relationships and Contractual Agreements (Credit Courses or Programs)

The Kentucky Community and Technical College System recognizes the right of a member college to enter into consortial relationships and contractual agreements for the purpose of offering credit courses or programs provided institutional and programmatic (if applicable) accreditation standards are met. Agreements between colleges in the Community College Branch and the Technical College Branch must meet the accreditation requirements of both SACS and COE. Agreements may be entered into with KCTCS colleges and other educational institutions or non-collegiate educational partners such as correctional facilities. All consortial and contractual agreements will be evaluated annually.

4.10.1 Procedure for Credit Instruction

1. A Memorandum of Agreement will address and follow appropriate accreditation guidelines for consortial agreements/contracts with regionally accredited or non-accredited institutions.
2. Presidents/Directors of participating institutions will approve and sign the agreement.
3. A comprehensive list of MOAs, including initial date and dates of subsequent reviews, is submitted to the Office of Academic Affairs by September 1 each year, and updated in January if modified since September.*

4.10.2 Procedure for Clinical Agreements

1. Standard memoranda of agreement (MOAs) may be initiated, approved and implemented locally under the following conditions:
 - a. The standard Memorandum of Agreement for Program Clinical Practice Affiliations form is used with NO modifications.
 - b. The president/director signs the MOA indicating approval and verifying that it is the standard agreement with no modifications.
 - c. The MOA is reviewed and updated annually.
 - d. Copies of all standard MOAs are maintained on file at the college.
 - e. A comprehensive list of MOAs, including initial date and dates of subsequent reviews, is submitted to the Office of Academic Affairs by September 1 each year, and updated in January if modified since September.*
 2. Standard memoranda of agreement may be initiated and approved by the college president/director under the following conditions:
 - a. All non-standard forms are reviewed by KCTCS legal counsel prior to being signed by the college president/director.
-

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

- b. The President/Director signs the non-standard MOA verifying review and approval by KCTCS legal counsel.
- c. Each MOA is reviewed and updated annually.
- d. Copies of all non-standard MOAs are maintained on file at the college.
- e. A comprehensive list of MOAs is submitted to the Office of Academic Affairs by September 1 each year, and updated in January if modified since September.*

*A comprehensive list of all standard and non-standard clinical affiliation agreements will be maintained in the Office of Academic Affairs at the System Office.

<u>5-27-99</u> Approval Date	<u>5-18-00;</u> Date(s) of Last Review	<u>5-18-00;</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) <u>Recommended by</u>	5-18-00 Date	(SIGNED) <u>President, KCTCS</u>	5-18-00 Date

4.11.1 Criteria for the Approval of a New Credit Certificate Program

The community and technical colleges' ability to meet the workforce development and training needs of communities as they evolve and change depends on their capacity to respond to those needs. As workplace requirements differ across industries and communities, so should the credentials awarded to those completing prescribed programs of study. Increasingly, there is a demand for educational programs or "modules" shorter than traditional diploma and associate degree programs. While the approval processes for new certificate programs may vary, they will undergo the same development process as other programs.

4.11.1.1 Features and Characteristics of Certificate Programs

- Organized program of study consisting of courses designed to meet a defined set of competencies.
- Qualifies students to take external licensure, vendor-based, or skill standards examinations in the field. If standardized external exams are not available in the field of study, prepares students at skill levels expected of employees in an occupation found in the local economy.
- Applicable to the requirements of a diploma or associate degree in the same or a related field of study. Requests for exceptions to this characteristic must accompany the documentation needed for approval.
- May contain general education courses emphasizing the skills identified in the SCANS report that are critical to entry-level workforce success for persons prepared at the certificate level, and associated with the diploma or associate degree program.

The Secretary's Commission on Achieving Necessary Skills (SCANS) identified three foundation skills and five competencies necessary for success in the workplace:

- Foundation Skills
 - ◆ Basic Skills – reading, writing, arithmetic and mathematics, listening, and speaking;
 - ◆ Thinking Skills – thinking creatively, making decisions, solving problems, knowing how to learn, and reasoning;
 - ◆ Personal Qualities – individual responsibility, self-esteem, sociability, self-management, and integrity/honesty.
 - Competencies
 - ◆ Resources – allocating time, money, materials, space, and staff;
 - ◆ Interpersonal Skills – working on teams, teaching others, serving customers, leading, negotiating, and working well with people from culturally diverse backgrounds;
 - ◆ Information – acquiring and evaluating data, organizing and maintaining files, interpreting and communicating, and using computers to process information;
 - ◆ Systems – understanding social, organizational, and technological systems, monitoring and correcting performance, and designing or improving systems;
-

- ◆ Technology – selecting equipment and tools, applying technology to specific tasks, and maintaining and troubleshooting technologies.

4.11.1.2 Certificate Identification

The primary purpose and features of certificate programs of study are to provide marketable skills. Given the numerous ways that the term “certificate” is used within KCTCS and by other agencies, this program of study should have a unique, readily identifiable label.

4.11.1.3 Program Length

Certificate programs containing the features and characteristics outlined above should generally range from 12 credit hours to 36 credit hours in length. Proposals for programs with fewer than 12 credit hours or more than 36 credit hours should include a compelling rationale for either a shorter or longer program.

4.11.1.4 Program Records and Data Reporting

KCTCS colleges now use two methods of recording programs. CPE and all Kentucky institutions use the Classification of Instructional Programs (CIP) taxonomy titles and numbering to organize and describe educational programs. This coding system is used to report program data to the National Center for Education Statistics (NCES) through the Integrated Postsecondary Education Data System.

The second method of recording programs uses the Dictionary of Occupational Titles (DOT) taxonomy developed by the Department of Labor to organize and describe each occupation found in the workforce. Technical colleges have used the coding system from the DOT to associate instructional programs with occupations.

CIP and DOT classification schemes are designed to serve different purposes. Certificate programs will be assigned the appropriate CIP and DOT codes and recorded on the KCTCS program inventory.

4.11.1.5 Student Assessment and Placement

In conformance with the KCTCS Student Assessment and Placement Policy, the expected entry-level academic achievement must be identified for each new certificate. Assessment and placement at four levels have been adopted: ACT 18 and COMPASS/Asset equivalents for entry into associate degree programs; COMPASS scores at three levels for entry into certificate and diploma programs. The appropriate academic skill entry level should be identified for each new certificate program from the admission levels identified in the Student Assessment and Placement Policy. For some certificates, it may be appropriate to identify academic skills at the same level as is required for associate degrees.

4.11.1.6 Approval and Evaluation Processes

Faculty at the proposing college develop KCTCS Certificates using the same processes as for any other new program. Approval proceeds according to the program approval process with review by the respective Chancellor, approval by the President, and ratification by the Board of Regents. Once approved, Certificate programs are subject to the same evaluation and review processes as any other academic program.

Submission Categories

Certificates may be derived from existing diploma or associate degree programs, developed in conjunction with a new diploma or degree program, or developed independent of any other program.

- ❖ Submission Category A
 - Certificates not associated with a diploma or associate degree program
 - Certificates associated with a diploma or associate degree program which was implemented more than two years ago and which has not undergone a system-level program review in the past two years

 - ❖ Category A – Documentation
 - Local or regional demand for a program of study of this length
 - Curriculum, including identification of new courses
 - Program competencies
 - External licensing or certifying entity
 - Relationship to new or existing diploma or associate degree program; requests for stand-alone certificates must include compelling justification
 - Collaboration with other institutions in the community (either KCTCS or universities) in developing and delivering the curriculum
 - Anticipated enrollment and completions for next three years
 - Projected implementation date
 - Resources – faculty, learning resources, facilities, equipment

 - ❖ Submission Category B
 - Certificates associated with a diploma or associate degree program implemented within the past two years
 - Certificates associated with a diploma or associate degree program that has had a program review within the past two years

 - ❖ Category B – Documentation
 - Local or regional demand for a program of study of this length
 - Curriculum, including identification of new courses
 - Program competencies
 - External licensing or certifying entity, if different from diploma or associate degree
 - Projected implementation date
-

4.11.2 Kentucky Community and Technical College System Review of Certificate Programs for Academic Credit Proposed by Universities

The ability of institutions to meet the educational needs of the workplace necessitates the development of instructional modules that respond to those needs. Increasingly, completion of viable instructional curricula less than two years in length is demanded. House Bill 1 not only recognizes the importance of these curricula, it emphasizes the need to coordinate offerings among the institutions of the postsecondary education community by assigning review responsibility to KCTCS. This review will assure the coordination of programs and services needed by local communities. Accordingly, this document presents criteria for the review of university programs below the associate degree level. These criteria are compatible with those to be used for the approval of instructional programs at the same level within KCTCS.

4.11.2.1 Features and Characteristics of Certificate Programs

- Organized program of study consisting of courses designed to meet a defined set of competencies.
- Qualifies students to take external licensure, vendor-based, or skill standards examinations in the field. If standardized external exams are not available in the field of study, the program prepares students at skill levels expected of employees in an occupation found in the local economy.
- Applicable to the requirements of an associate degree in the same or a related field of study. Requests for exceptions to this characteristic must accompany the review documents.
- May contain general education courses emphasizing the skills identified in the SCANS report that are critical to entry-level workforce success for persons prepared at the certificate level, and associated with the associate degree program.

The Secretary's Commission on Achieving Necessary Skills (SCANS) identified three foundation skills and five competencies necessary for success in the workplace:

- Foundation Skills
 - ◆ Basic Skills – reading, writing, computing, listening, and speaking;
 - ◆ Thinking Skills – creative thinking, decision making, problem solving, knowing how to learn, seeing things in the mind's eye, and reasoning;
 - ◆ Personal Qualities – individual responsibility, self-esteem, sociability, self-management, and integrity/honesty.
 - Competencies
 - ◆ Resources – allocating time, money, materials, space and staff;
 - ◆ Interpersonal Skills – working on teams, teaching others, serving customers, leading, negotiating, and working well with people from culturally diverse backgrounds;
-

- ◆ Information – acquiring and evaluating data, organizing and maintaining files, interpreting and communicating, and using computers to process information;
- ◆ Systems – understanding social, organizational, and technological systems, monitoring and correcting performance, and designing or improving systems;
- ◆ Technology – selecting equipment and tools, applying technology to specific tasks, and maintaining and troubleshooting technologies.

4.11.2.2 Certificate Identification

The primary purpose and features of certificate programs of study are to provide marketable skills. Given the numerous ways that the term “certificate” is used among postsecondary education institutions and by other agencies, this program of study should have a unique, readily identifiable label.

4.11.2.3 Program Length

Certificate programs containing the features and characteristics outlined above should generally range from 12 credit hours to 36 credit hours in length. Proposals for programs with fewer than 12 credit hours or more than 36 credit hours should include a compelling rationale for either a shorter or longer program.

4.11.2.4 Program Records and Data Reporting

CPE and all Kentucky institutions use the Classification of Instructional Programs (CIP) taxonomy titles and numbering to organize and describe educational programs. This coding system is used to report program data to the National Center for Education Statistics (NCES) through the Integrated Postsecondary Education Data System. CIP codes will be assigned to each certificate program in consultation with CPE to assure consistent program identification across the state. To foster long-term cooperation across the state, all university certificate programs reviewed by KCTCS will be maintained in a certificate program data base.

4.11.2.5 Approval and Evaluation Processes

Faculty at the proposing university develop Certificates using the same processes as for any other new program. Approval proceeds according to the university’s program approval process with approval by the Board of Regents or Trustees following the KCTCS review process. A more detailed submission and review process is outlined below. Once approved, Certificate programs are subject to the same evaluation and review processes as any other academic program.

Submission Process:

- The Chief Academic Officer (CAO) of the proposing institution will submit a proposal for a new certificate program to KCTCS at least 60 days prior to course registration. A copy will also be sent to the CPE staff for their information.
-

- There will be a 30-day review period following receipt of the proposal for KCTCS to respond with support or opposition.
- If KCTCS opposes the program, the CPE staff will review the matter and decide how best to resolve it. A final resolution will normally occur within 45 days of the original submission of the proposal.
- If KCTCS does not oppose the proposal within the 30-day period, KCTCS will notify the proposing institution and CPE staff that the proposing institution may complete its internal development and approval process.

Submission Categories

Certificates may be derived from existing associate degree programs, developed in conjunction with a new associate degree program, or developed independent of any other program.

- ❖ Submission Category A
 - Certificates not associated with an associate degree program
 - Certificates associated with an associate degree program which was implemented more than two years ago and which has not undergone a program review in the past two years

 - ❖ Category A – Documentation
 - Local or regional demand for a program of study of this length
 - Curriculum, including number of credit hours and identification of new courses
 - Program competencies
 - External licensing or certifying entity
 - Relationship to new or existing associate degree program; requests for stand-alone certificates must include compelling justification
 - Collaboration with other institutions in the community (either KCTCS or other universities) in developing and delivering the curriculum
 - Anticipated enrollment and completions for next three years
 - Projected implementation date
 - Resources – faculty, learning resources, facilities, equipment

 - ❖ Submission Category B
 - Certificates associated with an associate degree program implemented within the past two years
 - Certificates associated with a diploma or associate degree program that has had a program review within the past two years

 - ❖ Category B – Documentation
 - Local or regional demand for a program of study of this length
 - Curriculum, including number of credit hours and identification of new courses
 - Program competencies
-

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

- External licensing or certifying entity, if different from associate degree
- Projected implementation date

2-8-00

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

2-8-00

(SIGNED)

2-8-00

Recommended by

Date

President, KCTCS

Date

4.13 Kentucky Community and Technical College System Student Assessment and Placement Policy

Students enrolling in KCTCS colleges for the purpose of earning credit applicable toward an educational credential (certificate, diploma, associate degree) must demonstrate through the submission of scores on specified assessment instruments that they possess the minimum academic skills essential for success. Students who do not demonstrate these academic skills must remedy the identified skill deficiencies prior to enrolling in entry-level courses for which those skills are essential.

Students who do not intend to seek an educational credential (non-degree) are exempt from taking the assessment instrument. However, all students must meet individual course pre-requisites such as those for entry-level English and mathematics courses.

This assessment and placement policy specifically applies to:

- ❑ Degree-seeking students who will enroll in a KCTCS college for the first time in fall 2001 or later. Students who intend to transfer to a university are defined as degree seeking.
- ❑ Students who are undecided about their choice of program.
- ❑ Transfer students who have not demonstrated academic skills appropriate for the educational credential they seek, either through assessment results or successful completion of relevant entry-level courses.
- ❑ Students who change their status from non-credential seeking to credential-seeking and who have not demonstrated the academic skills appropriate for the educational credential they seek.
- ❑ Students in certificate and diploma programs who will enroll in a KCTCS college for the first time in fall 2001 or later, except students in programs identified in Attachment 1.

4.13.1 General Provisions

Assessment instruments from ACT, Inc. are the preferred assessment instruments. However, SAT scores will be accepted in lieu of ACT scores. SAT scores cannot be used to determine placement in developmental courses. Minimum admission scores in reading, English, and mathematics are included in each placement chart to indicate the level of academic skills required for placement in KCTCS courses and programs.

Students with disabilities may request accommodation consistent with the provisions of Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990.

Students who are undecided about their choice of program may be eligible for financial aid programs. Students who do not intend to seek a credential (non-degree) are not eligible for financial aid.

4.13.1.1 Associate Degree-Seeking Students

For students seeking any associate degree, a minimum score of 18 on the ACT in reading, mathematics, and English qualifies the student to enroll in the appropriate entry-level course in the discipline. For

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

students who do not submit ACT scores or whose ACT scores are below the minimum for placement into entry-level courses, refer to the mathematics, reading, and English charts for the relevant COMPASS or ASSET score and associated course placement. Students whose COMPASS or ASSET scores are below the level for placement in developmental courses will be referred to adult basic education services.

MATHEMATICS ASSESSMENT AND COURSE PLACEMENT				
ACT	COMPASS Algebra Domain	ASSET	Community Colleges	Technical Colleges
20 or Higher	48-100	El. Alg. 45-55 Int. Alg. 40-55	MT 109 or any course listed below	Entry level courses
19	41-47	El. Alg. 43-44 Int. Alg. 39	MA 109 or any course listed below	Entry level courses
18	35-40	El. Alg. 41-42 Int. Alg. 38	MT 107, MT 109 with MAH 100, or any course listed below	Entry level courses
	30-34	El. Alg. 39-40 Int. Alg. 36-37	MAH 080, MAH 083, MA 108, MAH 121, MAH 125, MAH 151, MAH 075, or any course listed below	Courses to be identified
	16-29	El. Alg. 23-38 Int. Alg. 23-35	MAH 070 or MAH 060	Courses to be identified
	COMPASS Pre-algebra Domain			
	41-100	N. Skills 42-55	MAH 070 or MAH 060	Remedial Mathematics (ARI 030)
	17-40	N. Skills 29-41	MAH 060	
		N. Skills 23-28	Refer to Adult Basic Education	Refer to Adult Basic Education

READING ASSESSMENT AND COURSE PLACEMENT			
COMPASS	ASSET	Community Colleges	Technical Colleges
ACT 18 or above COMPASS 81-100	ACT 18 or above ASSET 42-55	Entry-level courses	Entry-level courses
COMPASS 70-80	ASSET 38-41	RDG 030	Remedial Reading (ARI 020), RDG 010, RDG 020, RDG 030
COMPASS 51-69	ASSET 34-37	RDG 020	
COMPASS 44-50	ASSET 23-33	RDG 010	

Note: During the Stage I implementation period (2001-2002, and 2002-2003) students who place into RDG 030 will be permitted to enroll in selected entry-level courses.

ENGLISH ASSESSMENT AND COURSE PLACEMENT			
COMPASS	ASSET	Community Colleges	Technical Colleges
ACT 18 or above COMPASS 70-100	ACT 18 or above ASSET 41-54	ENG 101	Entry-level course
COMPASS 38-69	ASSET 35-40	ENC 091	Developmental Writing (ARI 010)
COMPASS 21-37	ASSET 23-34	ENC 090	
COMPASS 14-20		Refer to Adult Basic Education	Refer to Adult Basic Education

Note: Students may be advised to enroll in ENC 092 (Writing Laboratory) concurrent with their enrollment in ENG 101 if they have completed ENC 091 and need the assistance provided by the writing laboratory.

4.13.1.2 Certificate and Diploma-Seeking Students

As stipulated in the CPE administrative regulation on admission (13KAR 2:020), KCTCS has determined cut-off scores for placing students in certificate and diploma programs. Certificate and diploma programs with their cut-off scores are presented in Attachment 2 (COMPASS) and Attachment 3 (WorkKeys).

Colleges may exempt students enrolled in selected certificate and diploma programs from assessment and placement in mathematics, English, and reading by using the waiver process described below.

4.13.2 Special Provisions

4.13.2.1 Students with Borderline Scores

KCTCS colleges may place students seeking a credential who score below the system-wide standard into an entry-level college course, if the course offers supplementary academic support, such as extra class sessions, additional labs, tutoring, and increased monitoring of students, beyond that which is usually associated with an entry-level course. Students whose COMPASS score is within three points of the minimum admission level for the desired course or program and who have taken the diagnostic portion of the relevant subtest(s) may enroll in the course or program.

4.13.2.2 Waivers

College districts may establish procedures to exempt students from placement determinations based on assessment results. The procedure must include the conditions under which a waiver will be granted. COMPASS scores may be waived for students applying for certificate or diploma programs whose WorkKeys scores at or within one level identified through the WorkKeys program profile. The college must identify the students who are granted a waiver and the reason for the waiver. The college district's waiver policy must be on file in the college and system Academic Affairs Office.

4.13.2.3 High School Students

Alternative 1: High school students may enroll in KCTCS courses under collaborative dual credit and articulation agreements that contain alternative assessment and placement procedures. Collaborative agreements may be at the college district level or systemwide.

Alternative 2: Individual high school students may enroll in KCTCS courses according to the same standards as college students.

4.13.2.4 English as a Second Language (ESL)

Some KCTCS colleges offer instruction to non-native English speakers. The ESL portion of the ACT/COMPASS (reading and grammar/usage) should be administered to non-native English speakers to determine appropriate placement in entry-level or ESL courses. ESL students will take COMPASS for mathematics placement.

ENGLISH AS A SECOND LANGUAGE	
READING ASSESSMENT AND COURSE PLACEMENT	
92-99	Entry-level course
80-91	ESL 053 (High-Intermediate Reading for Non-Native Speakers)
65-79	ESL 052 (Improved College Reading for Low-Intermediate Non-Native Speakers)
38-64	ESL 051 (Introduction to College Reading for Non-Native Speakers)
1-37	Refer to Adult Basic Education
ENGLISH (GRAMMAR/USAGE) ASSESSMENT AND COURSE PLACEMENT	
94-99	ENG 101
84-93	ESL 063 (Foundations of College Writing III for Non-Native Speakers)
63-83	ESL 062 (Foundations of College Writing II for Non-Native Speakers)
42-62	ESL 061 (Foundations of College Writing I for Non-Native Speakers)
1-41	Refer to Adult Basic Education

Note: Grammar and usage scores are to be used in conjunction with a writing sample.

2-2-00

 Date Approved by President,
 KCTCS

6-19-01

 Date(s) of Last Review
*(Include all dates in
 chronological order)*

6-19-01

 Date(s) of Last Revision
*(Include all dates in
 chronological order)*

(SIGNED)

 Recommended by

6-19-01

 Date

(SIGNED)

 President, KCTCS

6-19-01

 Date

Certificate and Diploma-Seeking Students: Exempt from Assessment and Placement

Students who enroll in the following certificate and diploma programs at any college are exempt from assessment and placement requirements. Students who are enrolled in continuing education certificate programs at any college are exempt from assessment and placement requirements. Other exemptions may be granted through the college district waiver process.

Certificate – Medicaid Nurse Aide

Certificate and Diploma-Seeking Students: COMPASS Scores

For students seeking a certificate or diploma, minimum assessment (COMPASS) scores in mathematics, reading, and English (writing) are required for program admission. Each certificate and diploma program is assigned an admission placement level. Refer to *KCTCS Technical College COMPASS Program Admission Criteria, May 2000*, included with this attachment, for appropriate scores for programs approved prior to May 2000. Students intending to enroll in these programs are not exempt from admission requirements; however, concurrent enrollment in program courses and academic-related (developmental) instruction is permitted. Certificates approved in 2000 or later individually specify assessment and program placement levels, which may differ from, but not be less than those presented in the chart below. Certificates embedded in associate degree programs may have placement levels less than the minimum ACT 18 required for associate degrees.

CERTIFICATE/DIPLOMA ASSESSMENT AND PROGRAM PLACEMENT						
	Reading		Mathematics (Pre-Algebra Domain)		English (Writing)	
	COMPASS	ASSET	COMPASS	ASSET	COMPASS	ASSET
I	76	40	34	37-38	57	41-42
II	69	37-38	29	36	47	39-40
III	60	35	21	32	31	36-37
IV	44-59	23-34	17-20	23-31	14-30	23-35

Students who score at level IV and who do not have a high school credential are not eligible for some federal financial aid programs.

KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM

TECHNICAL COLLEGE

**COMPASS
PROGRAM ADMISSIONS CRITERIA**

May 2000

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

**TECHNICAL COLLEGE
COMPASS
UNCONDITIONAL ADMISSIONS SCORES
MASTER LIST
MATH – READING – WRITING**

General Area – **AGRICULTURE TECHNOLOGY**

Program Area (Major)	C/D	Math	Reading	Writing	Alternative Admissions
					ACT
Agriculture Technology		29	69	47	16 All Programs
Agriculture Technician	C				
Horticulture		21	60	31	ATB*
Greenhouse Grower	C				M – 21 R – 60 W – 31
Greenhouse Worker	C				Credit Hours
Groundskeeper	D				12 Hours of Postsecondary Non-Dev. w/2.0 GPA in last 7 years All Programs
Horticulture Salesperson	C				
Horticulture Technician	D				
Landscape Worker	C				
Landscaper	C				
Lawn Service Worker	C				
Nursery Grower	C				
Nursery Worker	C				

***Ability To Benefit (ATB) ... No H.S./GED diploma, but seeks
Financial Aid**

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

General Area – BUSINESS & GRAPHIC TECHNOLOGIES

Program Area (Major)	C/D	Math	Reading	Writing
<i>Accounting & Finance Technology Level I</i>		29	69	47
Accounting Assistant	D			
Accounting Clerk	C			
<i>Accounting & Finance Technology Level II</i>		21	60	31
Bank Teller	C			
<i>Entrepreneurship & Business Management</i>		34	76	57
Management Assistant	D			
Small Business Entrepreneur	D			
<i>Graphic Communication Technology Level I</i>		29	69	47
Desktop Publishing Specialist	D			
Desktop Publishing Trainee	C			
Flexography Press Operator	C			
Flexography Specialist	D			
Lithographic Photographer	C			
Lithographer Stripper	C			
Printer	D			
<i>Graphic Communication Technology Level II</i>		29	69	47
Binding/Finishing/Print Shop Helper	C			
Offset Press Operator	C			
<i>Information Technology Level I</i>		34	76	57
Computer Programmer	D			
Computer Programmer Trainee	C			
Computer Systems Operator	D			
Software Applications Operator	C			
<i>Information Technology Level II</i>		21	60	31
Data Entry Operator	C			
<i>Legal Office Technology Level I</i>		34	76	57
Legal Administrative Assistant	D			
Legal Office Assistant	D			
Shorthand Reporter	D			
Shorthand Reporter Scopist	D			
<i>Legal Office Technology Level II</i>		21	60	31
Legal Receptionist	C			

General Area – BUSINESS & GRAPHIC TECHNOLOGIES

Program Area (Major)	C/D	Math	Reading	Writing
<i>Medical Office Technology Level I</i>		34	76	57
Administrative Health Unit Coordinator	C			
Hospital Admissions Clerk	C			
Medical Administrative Assistant	D			
Medical Insurance Clerk	C			
Medical Office Assistant	D			
Medical Records Clerk	D			
Medical Transcriptionist	D			
<i>Medical Office Technology Level II</i>		21	60	31
Medical Receptionist	C			
<i>Multimedia Technology</i>		29	69	47
Audio/Visual Editor Assistant	C			
Computer Graphic Generalists	C			
Computer Graphic Practitioner	C			
Multimedia Animation/3-D Assistant	D			
Multimedia Specialist (Business Option)	D			
Multimedia Specialist (Graphic Option)	D			
Presentation Production Assistant	C			
Tag Editor	C			
Webpage Designer	C			
<i>Office Technology Level I</i>		29	69	47
Accounting Clerk	C			
Administrative Assistant	D			
Business Desktop Publishing Specialist	D			
Office Assistant	D			
Software Application Operator	C			
Word Processing Specialist	D			
<i>Office Technology Level II</i>		21	60	31
Data Entry Operator	C			
Receptionist	C			
<i>Visual Communication Art Technology</i>		29	69	47
Assistant Illustrator	C			
Assistant Layout Artist	C			
Graphic Designer	D			
Illustrator	C			
Layout Artist	D			

General Area – ENVIRONMENTAL TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
<i>Environmental Technology</i>		29	69	47
Environmental Technician	D			
Hazardous Materials Technician	C			
Waste Processing Attendant	C			
Wastewater Treatment Plant Attendant	C			
Wastewater Treatment Plant Operator	C			
Water Treatment Plant Attendant	C			
Water Treatment Plant Operator	C			

General Area – FIRE & RESCUE TRAINING

Program Area (Major)	C/D	Math	Reading	Writing
<i>Fire & Rescue Training</i>		29	69	47
Chief Officer	D			
Fire Officer	D			
Technical Rescuer	D			
Firefighter I	C			
Firefighter II	C			

General Area – CONSTRUCTION TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
<i>Building & Apartment Maintenance</i>		21	60	31
Bldg & Maintenance Tech	D			
Residential Maintenance Carpenter Helper	C			
Residential Maintenance Electrical Helper	C			
Residential Maintenance Interior Finisher Helper	C			
Residential Maintenance Plumber Helper	C			
<i>Carpentry</i>		21	60	31
Acoustical Carpenter	C			
Carpenter Helper	C			
Construction Carpenter	D			
Drywaller	C			
Finish Carpenter	D			
Painter, Interior Finish	C			
Residential Carpenter	C			
Roofer	C			
Rough Carpenter	C			

General Area – CONSTRUCTION TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
<i>General Construction Technology Level I</i>		29	69	47
Construction & Bldg Technician	D			
General Contractor	D			
<i>General Construction Technology Level II</i>		21	60	31
Construction Helper	C			
Construction Worker	D			
<i>Electrical Technology</i>		29	69	47
Construction Electrician	D			
Electrician Apprentice	C			
Electrician Helper	C			
Industrial Electrician	D			
Residential Electrician	C			
<i>Interior Design</i>		21	60	31
Interior Designer	D			
<i>Masonry</i>		21	60	31
Bricklayer Apprentice	C			
Bricklayer Helper	C			
Construction Bricklayer	C			
Construction Mason	D			
Stone Mason	C			
<i>Plumbing</i>		21	60	31
Apprentice Plumber	D			
Plumber Apprentice (1 st yr)	C			
Plumber Helper	C			
<i>Surveying & Mapping Technology</i>		34	76	57
Civil Engineering Technician	D			
Surveying Technician I	C			
Surveying Technician III	D			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

General Area – **HEALTH & HUMAN SERVICES**

Program Area (Major)	C/D	Math	Reading	Writing
<i>Barber</i>		29	69	47
Barber Stylist	D			
<i>Biomedical Equipment Technician</i>		34	76	57
Biomedical Equipment Technician	D			
<i>Child Care</i>		29	69	47
Child Care Assistant	C			
Child Monitor (Nanny)	D			
Preschool Director	D			
Preschool Teacher	D			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

General Area – HEALTH & HUMAN SERVICES

Program Area (Major)	C/D	Math	Reading	Writing
<i>Cosmetology</i>		29	69	47
Apprentice Instructor	C			
<i>Cosmetology</i>	D			
Nail Technician	C			
<i>Dental Technology</i>		34	76	57
Chairside Dental Assistant	C			
Dental Assistant	D			
<i>Diagnostic Medical Sonography</i>		34	76	57
Diagnostic Medical Sonographer	D			
<i>Food Service Technology</i>		21	60	31
Baker Helper	C			
Cafeteria Helper	C			
Caterer	C			
Cook Helper	C			
Dietary Aide	C			
Head Baker	D			
Head School Cook	D			
Kitchen Supervisor	D			
Restaurant Cook	D			
School Cafeteria Cook	C			
Short Order Cook	C			
Waiter & Waitress	C			
<i>Medical Administrative Services</i>		34	76	57
Health Unit Coordinator	C			
Health Unit Secretary & Monitor Tech	C			
Medical Bill Specialist	C			
Monitor Tech	CEC			
<i>Medical Assisting</i>		34	76	57
Electrocardiograph Technician	CEC			
Medical Assistant	D			
<i>Medical Laboratory Technology</i>		34	76	57
Medical Laboratory Technician	D			
Phlebotomist	C			
<i>Occupational Therapy Assisting</i>		34	76	57
Occupational Therapy Assistant (Dev.S.)	D			
<i>Ophthalmic Assisting</i>		34	76	57
Ophthalmic Assistant	D			
<i>Paramedical Technology</i>		34	76	57
Paramedic	D			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

<i>Pharmacy Technology</i>		34	76	57
Pharmacy Technician	D			
<i>Practical Nursing Level I</i>		34	76	57
Clinical Care Technician	C			
Practical Nurse	D			

General Area – HEALTH & HUMAN SERVICES

Program Area (Major)	C/D	Math	Reading	Writing
Practical Nursing Level II		21	60	31
Medicaid Nurse Aide	C			
<i>Medication Aide</i>	CEC			
Nursing Assistant	C			
<i>Radiography</i>		34	76	57
Child Care Assistant	C			
Child Monitor (Nanny)	D			
Preschool Director	D			
Preschool Teacher	D			
<i>Respiratory Care Technology</i>		34	76	57
Respiratory Care Technician	D			
<i>Surgical Technology</i>		34	76	57
Surgical Technician	D			

General Area – MANUFACTURING TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
Air Conditioning Technology		29	69	47
Air Conditioning & Refrigeration Mechanic	D			
<i>Domestic Air Conditioner & Furnace Installer</i>	C			
Environmental Control System Services	C			
<i>Environmental System Repair Helper</i>	C			
Refrigeration Mechanic	C			
<i>Applied Process Technology</i>		34	76	57
Chemical Operator II	D			
Chemical Operator III	D			
Refinery Operator	D			
<i>Automated Systems Technology</i>		34	76	57
Automated Systems Technician	D			
Electronic Mechanic Apprentice	C			
<i>Computer Aided Drafting</i>		34	76	57
Architectural Drafter	D			
Computer Assisted Drafter	C			
Detailer	C			
Drafter Assistant	C			
Mechanical Drafter	D			
<i>Computer Applications Technology</i>		34	76	57
Computer Applications Technician	D			
Electronics Assembler	C			
Electronics Technician Apprentice	C			
Electronics Tester				

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

General Area – MANUFACTURING TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
Electronics Technology		34	76	57
Computer Applications Technician	D			
<i>Computer Electronics Mechanic</i>	D			
Computer Electronics Technician	D			
<i>Computerized Environmental Control Tech</i>	D			
Consumer Electronics Technician	D			
Electronics Communications Tech	D			
Electronics Computer Technician (Jeff Only)	D			
Electronics Mechanic Apprentice	C			
Electronics Technician	D			
Electronics Technician Apprentice	C			
Electronics Tester	C			
Industrial Electrical Controls Technician	D			
Industrial Electronics Technician	D			
Robotics Technician	D			
<i>Industrial Automation Technology</i>		34	76	57
Fluid Power Technician	C			
Industrial Automation Helper	C			
Industrial Automation Specialist	D			
Industrial Automation Technician	D			
<i>Industrial Maintenance Technology Level I</i>		29	69	47
Industrial Maintenance Electrical Helper	C			
Industrial Maintenance Helper	C			
Industrial Maintenance Machine Helper	C			
Industrial Maintenance Technician	D			
<i>Industrial Maintenance Technology Level II</i>		21	60	31
Maintenance Trainee	C			
<i>Machine Tool Technology</i>		34	76	57
CNC Machinist Apprentice	D			
CNC Machinist Specialist	C			
Exploratory Machining	C			
Machine Operator I	C			
Machine Operator II	C			
Machine Shop Apprentice	D			
Maintenance Machinist	D			
<i>Major Appliance Technology</i>		29	69	47
<i>Air Conditioner Installer-Servicer</i>	C			
<i>Gas Appliance Servicer</i>	C			
<i>Major Appliance Technician</i>	D			
<i>Refrigeration Unit Repairer</i>	C			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

General Area – MANUFACTURING TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
Manufacturing Systems Technology		34	76	57
Fluid Power Technician	C			
<i>Manufacturing Systems Helper</i>	C			
Manufacturing Systems Technician	D			
<i>Robotics Technician</i>	D			
<i>Metal Fabrication</i>		21	60	31
Sheet Metal Assistant	C			
Sheet Metal Layout Worker	C			
Sheet Metal Worker	D			
<i>Plastics Technology</i>		34	76	57
Injection Molding Machine Operator	C			
<i>Injection Molding Machine Tender</i>	C			
<i>Mold Setter</i>	C			
<i>Plastics Process Technician</i>	D			
<i>Quality Assurance Technology</i>		34	76	57
Final Inspector	C			
Quality Assurance Group Leader	C			
Quality Assurance Monitor	C			
Quality Assurance Supervisor	D			
Quality Control Technician	C			
<i>Software Technology</i>		34	76	57
Data Communications Analyst	C			
Programmer Analyst	D			
Technical Support Specialist	C			
<i>Tailoring</i>		21	60	31
Alteration Tailor	C			
Custom Tailor	D			
Dressmaker	C			
Shop Tailor	C			
<i>Upholstery</i>		21	60	31
Furniture Upholsterer	D			
Upholstery Repairer	C			
<i>Welder</i>		21	60	31
ARC Cutter	C			
ARC Welder	C			
Combination Welder	D			
Gas Welder	C			
Pipeline Welder	C			
Production Line Welder	C			
Tack Welder	C			
Welding Technologist	D			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

Wood Manufacturing		21	60	31
Cabinetmaker	C			
Furniture Maker	C			
Millworker	C			
Wood Technologist	D			

General Area – TRANSPORTATION TECHNOLOGY

Program Area (Major)	C/D	Math	Reading	Writing
Aircraft Maintenance Technology		29	69	47
Airframe & Power Plant Maintenance	D			
Airframe Maintenance Technician	D			
Power Plant Technician	D			
Collision Repair Technology Level I		29	69	47
Auto Body Helper	C			
Collision Repair Technician	D			
Collision Repair Technology Level II		21	60	31
Auto Body Painter Helper	C			
Automotive Painter	C			
Used Car Renovator	C			
Automotive Technology		29	69	47
Air Conditioning Mechanic	C			
Automotive Apprentice	C			
Automotive Electrician	C			
Automotive Technician	D			
Automotive Transmission Mechanic	C			
Brake Repairer	C			
Engine Repairer	C			
Front End Mechanic	C			
Tune-up Mechanic	C			
Diesel Technology Level I		29	69	47
Automotive Electrician	C			
Construction Equipment Technician	D			
Diesel Brake Repairer	C			
Endless Track Mechanic	C			
Farm Diesel Mechanic	D			
Fluid Power Mechanic	C			
Front End Mechanic	C			
Fuel Injection Servicer	C			
Medium/Heavy Truck Mechanic	D			
Transmission Mechanic	C			
Diesel Technology Level II		21	60	31
Air Conditioning Mechanic	C			
Combination Equipment Mechanic Helper	C			

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

Diesel Mechanic	C			
Farm Equipment Mechanic Helper	C			
Lubrication Technician	C			
Medium & Heavy Truck Mechanic Helper	C			
<i>Heavy Equipment Operator</i>		21	60	31
Backhoe Operator	C			
Bulldozer Operator	C			
Front-End Loader Operator	C			
Motor-Grader Operator	C			
Operating Engineer	D			
Scraper Operator	C			
Truck Driver, Tractor Trailer	C			
<i>Small Engine Repair</i>		21	60	31
Small Engine Mechanic	D			

Certificate and Diploma-Seeking Students: WorkKeys Scores

WorkKeys scores may be used for admission to the certificate and diploma programs identified in the chart for students who have a high school diploma or GED, or who do not seek federal financial aid.

4.14 Policies and Procedures Relating to Implementation of Distance Learning Instructional Support in Academic Affairs, Student Affairs, and Business Affairs

In order to support the successful implementation of distance learning instruction by Internet, interactive television, and KET Telecourses, the following definitions, policies, responsibilities, and procedures pertaining to Academic Affairs, Student Affairs, and Business Affairs are hereby established.

4.14.1 Definitions

- A. **Home College** is defined as the college to which the student is admitted and from which the student will receive a credential upon successful completion of a program of study. The Home College must have program approval in order to serve as the Home College for a given degree.
 - B. **Delivering College** for the purposes of Internet courses is defined as the college at which the faculty member teaching the class is employed. For ITV, the Delivering College is the college from which the class originates.
 - C. **Online Learning** refers to courses delivered by the Internet (World Wide Web). Online learning may be a combination of synchronous and asynchronous or only asynchronous. The teacher and student are separated by time or place or both time and place.
 - D. **Interactive Television (ITV or closed circuit)** refers to courses delivered point to point or point to multi-point through two-way, compressed video. ITV is synchronous where the student and teacher are separated only by space.
 - E. **KET Telecourses** utilize video broadcast by Kentucky Educational Television. Students may view the Telecourse at home during scheduled broadcast times or videotape the program for viewing at the learner's convenience. In this distance learning modality, the Home College and Delivering College are the same.
 - F. **Distance Learning Task Force** includes one representative from each college recommended by local presidents and directors to serve as liaison to the system Director of Distance Learning Services.
 - G. **ITV facilitators** manage ITV facilities and procedures at each college.
 - H. **KET Coordinators** are identified at each college to manage the selection of KET Telecourses.
-

4.14.2 Policies

- A. All distance learning modalities will reflect the Principles of Good Practices and KYVU Course Development Resource established by the Kentucky Council on Postsecondary Education and the Kentucky Virtual University.
- B. A task force consisting of one representative from each college and appointed by the KCTCS President will identify and recommend policies and procedures in distance learning.
- C. Courses and programs to be delivered via technology will be based upon appropriate needs assessments determined at the local level and implemented in coordination with the KCTCS System Distance Learning Office.
- D. Program curriculum committees with representatives from each KCTCS College offering the program will review curriculum and monitor each online program for quality consistent with programs delivered in a traditional format.
- E. KCTCS policies and procedures shall be applied to all degree-seeking students.
- F. Distance learning activities will be in compliance with all accreditation requirements.
- G. All Internet programs and classes offered statewide will be posted by the Kentucky Virtual University.

4.14.3 Responsibilities:

4.14.3.1 KCTCS Distance Learning System Office

- A. System Office will assist in the tracking of student success, course history, and effectiveness of support.
 - B. System Office will manage assessment of services and will utilize common, online assessment tools.
 - C. System Office will maintain system-wide KCTCS distance learning homepage that includes schedule of current distance learning class offerings, ISBN numbers for textbooks, information on statewide library services, tutoring, testing, financial aid, bookstore hours, drop/add dates, and holiday schedules.
 - D. System Office will guide faculty in securing permission of U.S. copyrighted material consistent with intellectual property policies.
 - E. The Director of Distance Learning Services will serve as KCTCS representative to the Kentucky Telecommunications Consortium.
 - H. System Office will support the need to provide faculty and students 24/7-server support and help desk accessible by a single, published toll-free telephone number.
 - I. System Office will support training in the use of online tools and instructional design support.
 - J. System Office will collect and distribute files of credentials for faculty teaching via ITV and the Internet to all KCTCS colleges.
 - K. System Office will ensure faculty and staff have access to appropriate training in distance learning policies and procedures.
-

- L. System Office will provide system-wide coordination and support for colleges participating in distance learning activities including the publishing of a guide for implementing distance learning.
- M. System Office will serve as liaison to Kentucky Commonwealth Virtual University.

4.14.3.2 Delivering College

- A. Delivering College will provide teaching faculty for programs and classes delivered via technology. (Internet faculty from a Delivering College will be considered adjunct faculty to the Home Colleges for accreditation purposes.)
 - B. Delivering College will determine faculty compensation and faculty load.
 - C. Delivering College will complete KYVU course submission form for each course offered via KYVU.
 - D. System Office will assign unique section numbers to Internet classes and will enter those section numbers into PeopleSoft database.
 - E. Delivering College will determine and communicate class start and end dates to students.
 - F. Delivering College offering a new Internet course should follow the guidelines for Internet course continuous improvement prior to delivery and again during first-semester delivery of course.
 - G. Delivering College will execute Student Evaluation of Instruction instrument.
 - H. Delivering College will provide students' final grades to Home College.
 - I. Delivering College will communicate ISBN for identified textbook to System Office.
 - J. Delivering College will provide copies to the System Office of all distance learning faculty credentials, accompanied by a letter from Delivering College officer verifying that the faculty original documents are on file.
 - K. Delivering College will communicate minimum requirements for appropriate testing facilities and local contact to accommodate distance learning students to System Office.
 - L. Delivering College will communicate test requirements to Home College testing site at the beginning of each semester.
 - M. Delivering College will communicate testing site location and contact to student and informs the student of his/her responsibility for scheduling proctored test.
 - N. Delivering College will cancel classes and will notify Home College and students that the class is cancelled.
 - O. Delivering College will report to System Office the anticipated schedule of distance learning classes for publication on KCTCS distance learning homepage.
 - P. Delivering College will identify ITV facilitator.
 - Q. Delivering College will identify KET coordinator.
 - R. Delivering College will recommend Distance Learning Task Force representative to KCTCS President.
 - S. For the purpose of distributing FTE and tuition, Delivering Colleges using ITV will execute an agreement to deliver and receive ITV classes using the ITV Cost Sharing form.
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4.14.3.3 Home College

- A. Home College will provide student services including advising, admission, enrollment, drop/add, withdrawals, library, bookstore, tutoring, assessment and placement, and testing.
- B. Home College will assist the student in appeals by referring him/her to the Academic Dean at the Delivering College.
- C. Home College will distribute funds to students receiving financial aid.
- D. Home College bookstores may provide online ordering and purchasing for identified distance learning courses.
- E. Home College will collect all tuition, fees, and FTE for Internet courses to be pooled and redistributed to the participating colleges (Home College and Delivering College).
- F. Home College will recommend that the student be awarded a credential.
- G. Home College will maintain a testing site to accommodate students participating in distance learning activities including proctored testing and appropriate facilities to accommodate programs offered by the Home College.
- H. Home College will provide networked computer facilities to accommodate students taking Internet classes.
- I. Home College will assist students in obtaining e-mail addresses through free e-mail providers such as Yahoo, Microsoft Hotmail, and Netscape.
- J. Home College will record student e-mail addresses in the KCTCS Student Information System.

4.14.3.4 Kentucky Commonwealth Virtual University (KYVU)

- A. KYVU will receive student applications
- B. KYVU will communicate enrollment of students in online courses to KCTCS Home College.

4.14.3.5 Distance Learning Student

- A. Student will identify a Home College. The degree-seeking student applies for admission at the Home College.
 - B. Student will schedule testing site for proctored testing.
 - C. Student will secure all books and other materials.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

D. All students enrolling in an online or Internet-dependent class will have an e-mail address on file with KCTCS.

<u>5-9-01</u> Date Approved by President, KCTCS	<u>2-13-02; 3-18-03</u> Date(s) of Last Review <i>(Include all dates in chronological order)</i>	<u>2-13-02; 3-18-03</u> Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
<u>(SIGNED)</u> Recommended by	<u>3-18-03</u> Date	<u>(SIGNED)</u> President, KCTCS	<u>3-18-03</u> Date

4.15 Kentucky Community and Technical College System Enrollment of High School and Adult Education Students Policy

KCTCS colleges are expected to enter into partnerships with comprehensive high schools, area technology centers, and adult education programs for the purpose of providing postsecondary educational opportunities to high school and adult education students. Agreements must meet the Commission on Colleges of the Southern Association of Colleges (SACS) accreditation requirements as well as those of the Council on Occupational Education (COE) where applicable.

The following mechanisms may be used to award credit to high school or adult education students.

- *Articulated Credit* – Credit awarded after high school graduation. Articulated credit is awarded by the KCTCS college for successful completion of secondary courses. The credit is awarded when the student enrolls in a KCTCS college after high school graduation.
- *Dual Credit* – Concurrent enrollment in high school and KCTCS with credit awarded by both. A high school student may earn both high school and college credit (dual credit) for the same course upon completion of course requirements. A secondary student must apply to a KCTCS college and be accepted. KCTCS colleges are responsible for the academic integrity of the courses for which postsecondary credit will be awarded.
- *Dual Enrollment* – Concurrent enrollment in KCTCS and high school or adult education program with credit awarded by KCTCS. A student may be concurrently enrolled in KCTCS and high school or adult education program. Dual enrollment is distinguished from dual credit because the student earns credit only from KCTCS. Dual enrollment of high school students may occur when the college course has no high school equivalent or a dual credit opportunity is not available. Dual enrollment is appropriate for adult education students because adult education programs do not award credit.

Local districts must have a policy regarding the enrollment of high school students or adult education students that is consistent with KCTCS student admission and academic policies. Implementation procedures related to the policy are published in the *KCTCS Curriculum Development Manual*.

4-17-02 _____ Date Approved by President, KCTCS	9-24-02 _____ Date(s) of Last Review <i>(Include all dates in chronological order)</i>	9-24-02 _____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) _____ Recommended by	9-24-02 _____ Date	(SIGNED) _____ President, KCTCS	9-24-02 _____ Date

SECTION 5

Financial Related Policies

5.4.1 Kentucky Community and Technical College System Budgetary Policies And Procedures

5.4.1.1 Budgetary Policies

A. Budgetary Authority

All budgetary matters follow the general organizational structure of the KCTCS with the Kentucky Community and Technical College System Board of Regents having the ultimate and exclusive authority for the approval of the budget. All funds within the general fund, auxiliary fund, and restricted fund groups are subject to this policy and may be expended only for the approved programs and objectives of the respective fund groups. No revenue shall be expended except upon the establishment of an expenditure authorization approved by the Board of Regents. The exception to this policy is the authorization of expenditures from accounts created as a result of a contract or grant agreement between Kentucky Community and Technical College System (KCTCS) and an outside agency. The Board of Regents delegates the authority to approve such agreements and authorizes expenditures to the KCTCS President. The KCTCS President may delegate authority to approve such agreements and authorize expenditures to the Chancellors of the KCTCS branches. If delegated, the President must report to the Board of Regents the authorization of such expenditures.

B. Organizational Responsibilities

1. The President is responsible for the development and implementation of Systemwide budget policies and procedures. Responsibility has been delegated to the Vice President primarily responsible for Finance, in consultation with the Chancellors for the development and submission of the System's budget requests in alignment with the strategic plan, and for the evaluation of the effectiveness of budget implementation in coordination with the achievement of program objectives. The Office of the President coordinates the submission and justification of the annual operating budget to the Board of Regents. The Office of the President and the Vice President, in consultation with the Chancellors, also coordinates the biennial budget request in alignment with the strategic plan to the Board of Regents, the Council on Postsecondary Education, and the executive and legislative branches of state government.
 2. Responsibility for management of KCTCS funds, (including contingencies) rests with the President of KCTCS. Budget authority is delegated to the president/director of colleges for funds allocated to the colleges. Responsibility for management of the community/technical college's funds, (including contingencies) rests with the president/director of the college. Although the President may delegate authority for Systemwide specific fund management, the ultimate responsibility for the System remains with the President.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

3. The President is responsible and may delegate to the Chancellors the following:
 - a. To develop and recommend plans for the effective use of resources;
 - b. To manage programs within allocated resources including the management of contract and grant overruns and cost sharing (less than full cost recovery);
 - c. To operate within approved budget allocations;
 - d. To allocate funds consistent within approved plans;
 - e. To ensure that expenditures are consistent with established objectives;
 - f. To realize estimated revenue or to adjust expenditures in order not to exceed revenue available;
 - g. To maintain the integrity of revenue and expenditures by fund group (including provisions to ensure that revenue generated by activities in a given fund group is deposited to that same fund group);
 - h. To require that nonrecurring funds in addition to those approved in the budget process are not used for recurring purposes without his prior approval; and
 - i. To ensure conformity with state and KCTCS rules and procedures applicable to the expenditure of funds generally and for purchasing and payment of goods and services specifically.

 4. College presidents and directors are responsible for the following at their college:
 - a. To develop and recommend plans for the effective use of college resources;
 - b. To manage programs within college resources including the management of contract and grant overruns and cost sharing (less than full cost recovery);
 - c. To operate within approved budget allocations;
 - d. To allocate funds consistent within approved KCTCS and college plans;
 - e. To ensure that expenditures are consistent with established KCTCS and college objectives;
 - f. To realize estimated revenue or to adjust expenditures in order not to exceed revenue available;
 - g. To maintain the integrity of revenue and expenditures by fund group (including provisions to ensure that revenue generated by activities in a given fund group is
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deposited to that same fund group and used with generally accepted accounting practices);

- h. To ensure that nonrecurring funds in addition to those approved in the budget process are not used for recurring purposes without approval of the Kentucky Community and Technical College System President; and
- i. To ensure conformity with state and KCTCS rules and procedures applicable to the expenditure of funds generally and for purchasing and payment of goods and services specifically.

C. General Budget and Policy Statement

- 1. The System shall distribute resources in a manner that supports the achievement of objectives and priorities established during the planning process.
- 2. The budget is used to establish and implement policies, allocate resources, foster accountability, and translate plans into action. These plans include, but are not limited to, the Strategic Plan, the Information Resources Plan, and the Capital Plan.
- 3. Recurring expenditures are to be supported by recurring revenue; therefore, all continuing costs such as maintenance of facilities and equipment and purchase of library materials and equipment should be included in the operating budget on a recurring basis. Approved nonrecurring plans must have any recurring costs identified and adequate recurring financial support ensured. Exceptions to this policy must be reported to, and approved by, the KCTCS President and must include a plan to bring exceptions into compliance with this policy.

D. Biennial Budget Request

- 1. The biennial budget request will be based on the objectives of the programs for which units are responsible, must set forth the means to be employed in pursuing those objectives, and must describe criteria to be applied in evaluating progress toward objectives. The biennial budget request will contain alternatives for various levels of operations (i.e., continuation, improvement, expansion, and new).
 - 2. The biennial budget request will be related to specific program objectives, with a dollar value assigned to the achievement of such specific program objectives. The basic budgetary policy places emphasis on programs and the justification for the support of those programs, rather than on an incremental resource allocation. Programs proposed for consideration during the annual operating budget development process will be consistent with priorities included in the college's biennial budget request. For community colleges these program proposals must be approved by the community college's local board of directors. The community college president must provide explanation and justification to the local board of directors for approval and to the Community College Chancellor and the Office of the President for any deviation from those priorities.
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E. Budget Allocation and Use

1. Funds will be allocated based upon specific objectives agreed upon for a given fiscal year. Funds may be allocated to the colleges for specific expenditure categories (personal services, current expenses, and capital). However, policies formulated from time to time and provisions herein may affect the use of funds within the total allocation.
2. Annual budgetary allocations shall be based on program and resources with respect to the biennial budget request, but will be influenced by changes in the System's request as submitted and effected by the Council on Postsecondary Education, executive branch of state government, and state legislature. Although assumptions and priorities may change as a result of the leadership's staff discussions of the operating budget, actual allocations will relate to specific alternatives set forth in original agreements. The presidents and Chancellors have discretion in the allocation of funds in accordance with the policies set forth in this document.
3. A contingency fund will be budgeted annually by the Chancellors. Colleges individually and collectively will also be strongly encouraged to develop a contingency fund.
4. The capital budget will be submitted as part of the annual operating budget process using expenditure categories identified in the definitions section of this document.
5. Following the submission of a prioritized capital plan (including community college specific projects), and approval by the President and Chancellors, funds shall be moved to the plant fund for approved projects by Fund Transfer Requests. Appropriate supporting material should be referenced in or accompany the Fund Transfer Request.
6. Physical facilities projects more than \$400,000 in scope, and others funded by KCTCS central sources, shall not be reduced or increased without the KCTCS President's approval.
 - a. The President, in consultation with the Chancellors, shall make a determination of the initial funding source regarding responsibility for covering overdrafts, regardless of the initial funding source.
 - b. Balances remaining after plant fund accounts are closed shall be lapsed to the Branch's central clearing account, depending upon the original funding source.

The President, in consultation with the Chancellors, shall have the option of reallocating balances to other approved projects or equipment items, or transferring the balances back to the renovation reserve for redistribution within the plant funds.

7. Balances remaining from physical plant projects under \$100,000 originally funded from restricted or auxiliary enterprise accounts shall be lapsed to the appropriate fund source.
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8. The assignment of funds on a Systemwide basis into expenditure accounts and categories of expenditure is the responsibility of the President, who may delegate to the Chancellor. The allocation of funds on a college basis into expenditure accounts and categories of expenditure is the responsibility of the community college president/director. After approval by the KCTCS President, the breakdown by account and expenditure category is the basis for the branch's operating budgets which are identified in the KCTCS budget and must be submitted to the KCTCS Board of Regents for approval. Individual salaries will be determined according to guidelines approved by the KCTCS President. The chancellors are responsible for submission of necessary documents to implement the System-wide July 1 payroll for each year according to procedures set forth by the KCTCS Office of the President. Each college president/director is responsible for submission of necessary documents to implement the July 1 payroll for their college each year according to procedures set forth. The Chancellors are responsible for ensuring that the annual salary authorizations for the branches which are submitted to the Payroll Department are the same as those specifically approved for each individual within the salary guidelines established by the KCTCS Office of the President. Each community college president/director is responsible for ensuring that the annual salary authorizations for their college which are submitted to the Payroll Department are the same as those specifically approved for each individual within the salary guidelines established by the KCTCS Office of the President.
9. Expenditures charged to a particular account must be for the accomplishment of those objectives of the program named in that account. Expenditures will not be reduced by utilization of revenue for a non-intended purpose or for any other reason except correction of an error or in the case of a refund, which occurs during the fiscal year in which the expenditure occurred. Expenditure of funds from nonrecurring sources must be limited to nonrecurring purposes unless prior approval by the Chancellors have been received. Expenditure of funds within a given fiscal year must be for services rendered during that fiscal year.

F. Revenue Generation

Funds allocated in the annual operating budget will be based on estimates of revenue by source including recharges (recharges represent expenditures of one unit in support of activities of another unit, assuming both units are included in the approved operating budget). These revenue levels will be established after detailed analysis by the Branch and the Office of the President and are included in approved revenue budgets. Any changes during the year in the planned revenue amounts will require submission of a revised plan of expenditures to the Chancellors and the Office of the President which sets forth the actions proposed to address the revenue changes. These changes must also be reported to the community college's board of directors.

In the event actual annual revenues exceed estimated revenues, the President may authorize an increase in the current funds expenditure budget in amounts not greater than 2 percent of the Board's authorized expenditure level. The Board may ratify increases and re-authorize expenditure levels within the 2 percent cap during a regular or special Board meeting.

Increases greater than 2 percent of the authorized KCTCS expenditure budget must have prior approval of the Board.

G. Budget Changes

Any change in the established priorities or any requested reallocation of funds which involves an alteration in priorities must be approved in the same manner as originally established. Any request involving additional funds, the redistribution of funds, or the establishment of additional expenditure authority must include a statement of the program implication. Requests submitted by a college president/director should be in the context of the change or modification which would occur in the total operations of that college.

Budgetary changes fall into one of the following two categories:

1. Fund Transfer - The redistribution of funds made available to a college president/director requires a fund transfer. Authority for processing fund transfers will reside with the Chancellors upon approval of the President.
2. Budget Revisions - A request for increased (or decreased) expenditure authority based on increased (decreased) revenue and/or increased (decreased) support from other units of the System (recharges) requires a budget revision. Requests which involve budgeting of increases (decreases) in revenue are evaluated in view of program needs and the changes in circumstances since the original budgeting of revenue.

H. Budget Savings

1. Salary savings, either actual or potential, are those funds which have accrued, or will accrue, in a given budgeted position as a result of:
 - a. A position being vacant for any period of time;
 - b. A portion of the salary of an incumbent being transferred to another fund source; or
 - c. A position being filled at less than the budgeted salary amount.
2. Current expense savings are those which result from under expenditure in a particular expense category.
3. The Chancellors are responsible for the management of budget savings within the System. All salary savings are to be reported to the Chancellors and the Office of the President on a quarterly basis for reallocation. Savings which are nonrecurring should be used only for nonrecurring purposes. Savings must be used in a manner consistent with established plans and program objectives.

I. Fund Balances

The responsibility for projecting and managing all fund balances generated within the System rests with the President and the Chancellors. The responsibility for projecting and managing fund balances generated within the college rests with the college president/director. All fund balances require a detailed plan for expenditure. After approval of the KCTCS's audited financial report, a determination is made by the President's office in consultation with the Chancellors of balances attributable to over realization of revenue and under expenditures during the year reported. Variances from budgeted amounts require the submission of proposed revisions to college and/or System-wide plans.

J. Budget Evaluation

Budget evaluation is the assessment of the achievement of established goals and objectives for which funds have been made available. Budget evaluation will be conducted by the President and Chancellors in terms of the following:

1. Effective implementation of approved plans; and
2. Accomplishment of the agreed-upon program objectives, activity indicators, and outcome indicators; and adherence to KCTCS budget policies.

5.4.1.2 Procedures

A. Revenue Estimates

As part of the annual budget cycle, revenue and recharge estimates will be projected for all revenue producing units. These revenue estimates must be realistic and reviewed carefully. Detailed information is required regarding amounts and types of revenue, including support from other units within the KCTCS (recharges).

B. Budget Calendar

The budget calendar for a complete cycle reflects the earliest possible dates for internal decisions, recognizing the external actions of such agencies as the Council on Postsecondary Education and the executive and legislative branches of state government. The budget cycle covers a two-year period during which the biennial budget request and two annual operating budgets are developed, approved, implemented, and evaluated.

C. Budget Calls

The call for budget requests within KCTCS originates in the Office of the Vice President primarily responsible for Finance and is directed to the branches and colleges. Budget requests will be of two types:

1. Biennial budget requests are prepared in the winter and spring of each odd-numbered year and are the basis for the integrated budget request which the Kentucky Community and Technical College System submits to the KCTCS Board of Regents for approval, the
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Council on Postsecondary Education and the executive and legislative branches of state government. The call for each biennial budget request is incorporated into KCTCS planning cycles; and

2. Operating budget requests are prepared each year and serve as the basis for preparation of the internal operating budget. These requests are prepared in the context of the approved biennial budget request. The call is issued at a time which takes into consideration the convenience of all units involved; however, it is based on actions of the Kentucky Community and Technical College System Board of Regents, the Council on Postsecondary Education and the executive and legislative branches of state government.

D. Budget Transfer

The procedures for processing a budget transfer are as follows:

1. The budget transfer form will be prepared with all pertinent information as illustrated in Attachment A;
2. The budget transfer form will bear the recommendations of the appropriate college president/director or college president/director's designee, the Chancellors, or Chancellors' designee.
3. College presidents have the authority to delegate the signing of budget transfers to a designee for nonrecurring budget transfers totaling less than \$25,000. The college president must sign recurring budget transfers.
4. The President and Chancellors may delegate the signing of budget transfers to a designee for amounts totaling less than \$200,000 in total.
5. The budget transfer form will be returned to the college from KCTCS to the initiating unit from the college bearing an approval or a notification of the insufficiency of funds.

E. Budget Revision

The procedures for processing a budget revision are as follows:

1. The budget revision form will be prepared with all pertinent information as illustrated in Attachment B;
 2. The budget revision form should bear the recommendations of the president of the college, or college president's designee, and the Chancellor, or Chancellor's designee;
 3. The Chancellors should forward the form to the Kentucky Community and Technical College System Office of the President for action;
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4. The revision, if approved by the KCTCS President, will be included in the budget revision recommendations to be submitted to and acted upon by the Board of Regents; and
5. If approved by the KCTCS Board of Regents, the budget revision implemented, and notification of action by the Board of Regents will be sent to the Chancellor.

F. Budget Implementation

KCTCS will be responsible for the implementation of the annual operating budget, as approved by the Board of Regents.

G. Capital Outlay and Equipment Procedures

KCTCS's annual operating budget process shall include the development and submission of an annual capital budget for capital allocations. This budget shall be prepared within guidelines established by the Kentucky Community and Technical College System Office of the President.

5.4.1.3 Definitions

A. Fund Groups

The budget procedure of the University of Kentucky Community College System and the annual operating budget of the University of Kentucky Community College System cover the major fund groups set forth below:

1. General Fund - Expenditures are supported by revenue from state appropriations, student fees, sales and services, fund balances, and those gifts and grants, endowment incomes, investment incomes, and federal and county appropriations that are not restricted as to purpose by a person or an agency external to the Kentucky Community and Technical College System.
 2. Auxiliary Funds - Expenditures are supported by income from the respective components of auxiliary operations, including college stores and grills, college-operated vending, and housing and dining operations.
 3. Restricted Funds - Expenditures are supported by income restricted for a specific purpose by a person or an agency external to the Kentucky Community and Technical College System.
 4. Affiliated Corporation Funds - Expenditures associated with a corporate entity which is not a public agency and which is organized pursuant to the provisions of KRS Chapter 273 over which an institution exercises effective control, by means of appointments to its board of directors, and which could not exist or effectively operate in the absence of substantial assistance from a community college.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

B. Capital Budgets

1. Physical Facilities

- a. Capital construction and major renovation projects are those projects with a scope of \$400,000 or more which (1) have approval in the current biennium by the legislature for state appropriations, debt service, or agency funding (as defined with the Budget of the Commonwealth); or (2) are of an emergency nature or (3) are funded from private or federal sources. These projects require prior approval by the Board of Regents, Council on Postsecondary Education, and the legislature.
- b. Other renovation projects are those projects with a scope of less than \$400,000 and are included in the capital budget as pooled projects within defined categories.

2. Equipment

- a. Major equipment items are those with a scope of \$100,000 or more which have legislative approval in the current biennium or are funded from private or federal sources.
- b. Other equipment items are those with a scope of less than \$100,000 which are included in the capital budget as pooled equipment items within defined categories.

4-30-99

Approval Date

Date(s) of Last Review

Date(s) of Last Revision
*(Include all dates in
chronological order)*

(SIGNED)

4-30-99

(SIGNED)

4-30-99

Recommended by

Date

President, KCTCS

Date

5.4.2 Kentucky Community and Technical College System Physical Facilities and Major Equipment Planning and Management Policies

This policy establishes the basis for procedures and related assignment of responsibilities for the planning and management of the physical facility and equipment needs of the Kentucky Community & Technical College System (KCTCS). This policy recognizes the need, and specifically provides for:

- I. General Responsibilities
- II. Planning Processes
 - A. Campus Physical Development Plans
 - B. Space Requirement Plans
 - C. Facilities Plans and Major Equipment Plans
- III. Management Policies
 - A. Capital Construction Policies and Procedures
 - B. Real Property Acquisition, Disposition, and Related Policies and Procedures
 - C. Allocation of University Space
 - D. Debt Service Procedures

5.4.2.1 General Responsibilities

The President is responsible to the Board of Regents for directing the overall planning and management of the physical facilities of the KCTCS. This responsibility entails preserving and enhancing a quality physical environment which provides efficient, functional, and pleasant surroundings for fulfilling KCTCS's mission and objectives. It includes providing for effective land use, thoughtful and sensitive integration of buildings and open space, adequate utility and service networks, and safe and accessible vehicular and pedestrian systems.

The President delegates authority for accomplishing portions of the KCTCS physical facilities planning and management function to the Chancellors as delineated herein. The local community and technical college presidents/directors shall be responsible for developing plans for their areas of responsibility and for the day-to-day management of assigned facilities and campus areas.

5.4.2.2 Planning Processes

Planning shall be focused in college physical development plans, space requirements plans, facility plans, and major equipment plans.

- A. Campus Physical Development plans provide a context in which space requirement plans and facility plans are established. Physical development plans
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define a system, consistent with the KCTCS's mission and strategic plans, for land acquisition and utilization, buildings/site densities, parking, vehicular and pedestrian circulation, campus services, building materials, utilities [and] landscaping and signage.

Physical Development Plans have been prepared for the individual community college campuses historically. These plans have been prepared for the community colleges at the direction of the University of Kentucky Vice President for Management and Budget with the advice of the CCS Chancellor. Current and future plans will be prepared at the direction of the Office of the President, with the advice of the Chancellors.

Physical Development Plans shall be reviewed and amended as necessary prior to the preparation of six-year capital improvement plans, new building construction, biennial capital budget requests, and major equipment plans, but may be amended more frequently as needed. Modifications to the campus physical development plans shall be submitted to the Chancellors for KCTCS's review and recommendation to the President.

B. Space Requirement Plans analyze the current use of space, project space requirements for planned academic and support programs, compare existing space utilization to projected space needs, and serve as a basis for branch and college facility plans. Each college shall prepare biennially, as part of the six-year planning process, space requirement plans, within the context of established information and guidelines.

C. Facilities Plans and Major Equipment Plans

1. Facility Plans are an integral part of KCTCS strategic planning and include six-year capital improvement plans, biennial capital budget requests, and annual capital budgets. Facility planning is an essential part of the branch's and college's comprehensive planning process and is dependent upon, and interacts with academic and financial planning. The primary purpose of facility planning is to identify logically and systematically the physical resources required to support current and future KCTCS goals, objectives, and programs.

The KCTCS will develop as part of strategic planning, facilities plans which include: (1) status reports on the facility plans prepared for the current biennium and (2) prioritized facility plans, to include land acquisitions and dispositions, proposed for each of the forthcoming two biennia.

2. Major Movable Equipment Plans are required for individual items of movable equipment equal to or exceeding \$100,000, and serve a purpose similar to facility plans in the KCTCS long range planning process. Major

Movable Equipment Plans shall be submitted by each college for inclusion in the KCTCS improvement plans, biennial capital budget requests, and annual capital budgets.

3. **Prioritization of Capital Projects and Major Movable Equipment Items:** The community college presidents and technical college directors shall prepare and submit to the Chancellors prioritized proposals of capital projects and major movable equipment items for inclusion in their respective six-year capital improvement plans and biennial capital budget requests as appropriate. These proposals should clearly identify the source of funds (including lease-purchase or similar financing arrangements) for each project and item of equipment. The KCTCS Facilities Management shall coordinate the submission of the prioritized list to the Office of the President.

5.4.2.3 Management Policies

A. Capital Construction Policies and Procedures

Individual capital projects which involve the construction, demolition, renovation, or repair of college facilities shall be accomplished in strict accordance with all applicable state and federal ordinances, statutes, and regulations having jurisdiction. All projects estimated to cost \$20,000 or more shall be administered through the Finance & Administration Cabinet by the Department of Facilities Management.

B. Real Property Acquisition and Disposition

The KCTCS President shall have the administrative responsibility for all land acquisitions and dispositions including contractual agreements. Land acquisitions and dispositions shall be managed in the context of approved campus physical development plans except as authorized by the KCTCS President.

C. Allocation of Space

The President, with the advice of the Chancellors, is responsible for the general allocation of space as a resource at the KCTCS. Space in the KCTCS which is vacated in whole or in part for the occupation of a newly constructed or acquired space shall revert to the Chancellors offices and must be specifically reallocated.

KCTCS space may be rented in accordance with established KCTCS and State procedures only after it has been determined that there is no use for such space for current or future programs. Agencies and organizations allied with the KCTCS shall be given consideration in the allocation of available space. The rent charged for available space, except in cases approved by the Chancellor, shall be sufficient to cover all costs involved.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

The Chancellors shall periodically submit to the Office of the President, pursuant to established schedules and formats, reports on all space occupied by and assigned to their respective areas. The Chancellors shall determine that adequate space is available to accommodate grant proposals before such proposals are submitted to sponsoring agencies.

D. Debt Service Procedures

The scheduling of projects which are funded through the issuance of bonds, or other type debt instruments shall be consistent with the debt service authority approved by the Kentucky General assembly regarding total debt authority and annual debt service amounts.

4-30-99			
_____ Approval Date	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

5.4.3 Kentucky Community and Technical College System Refund Policy

An academic term is defined as an administrative time period within which sessions are defined. An academic session is a class scheduling/enrollment time period within an academic term.

No refund of tuition and refundable fees will be made to a student whose course load is reduced as a result of passing a special examination for credit.

In order for a student to receive a refund, a student must officially withdraw within the refund period specified with this policy.

To assure recovery of federal financial aid funds, effective with the Fall semester, 2000, the Kentucky Community and Technical College System will adopt the Federal Return of Title IV Funds policy as described in section 668.22 of the Higher Education Amendments of 1998.

The president/director of the community/technical college is authorized to approve and implement limited exceptions to this refund policy. All exceptions granted must be documented and documentation retained for audit purposes. Community/technical college president/director exceptions shall not relieve the student of the responsibility to provide official notification of withdrawal through the community/technical college as an eligibility requirement to receive a refund. All exceptions to the refund policy must ensure compliance with relevant regulations promulgated by authorized agencies of the federal, state and local government.

KCTCS 16-Week Session *

A student who officially withdraws from a 16-week session credit course shall be entitled to a 100 percent refund of tuition and fees paid, or cancellation of amount owed for the session if the withdrawal is within the first eight (8) calendar days of the session. The first eight (8) calendar days of the session include all Saturdays and Sundays, but exclude KCTCS recognized holidays.

A student who officially withdraws from a 16-week session credit course from the 9th through the 29th calendar days shall be entitled to a 50 percent refund of tuition and refundable fees paid, or 50 percent cancellation of the amount owed for the session.

No refund shall be granted to a student who officially withdraws from a 16-week session credit course after the 29th calendar day of the session.

The KCTCS chancellor's office may approve non-refundable tuition and/or fees for specific programs with enrollment limitations.

KCTCS 8-Week Session *

A student who officially withdraws from a 8-week session credit course shall be entitled to a 100 percent refund of tuition and fees paid, or cancellation of amount owed for the session if the withdrawal is within the first four (4) calendar days of the session. The first four (4) calendar days of the session include all Saturdays and Sundays, but exclude KCTCS recognized holidays.

A student who officially withdraws from an 8-week session credit course from the 5th through the 15th calendar days shall be entitled to a 50 percent refund of tuition and refundable fees paid, or 50 percent cancellation of the amount owed for the session.

No refund shall be granted to a student who officially withdraws from an 8-week session credit course after the 15th calendar day of the session.

The KCTCS chancellor's office may approve non-refundable tuition and/or fees for specific programs with enrollment limitations.

KCTCS 6-Week Session *

A student who officially withdraws from a 6-week session credit course shall be entitled to a 100 percent refund of tuition and fees paid, or cancellation of amount owed for the session if the withdrawal is within the first three (3) calendar days of the session. The first three (3) calendar days of the session include all Saturdays and Sundays, but exclude KCTCS recognized holidays.

A student who officially withdraws from a 6-week session credit course from the 4th through the 11th calendar days shall be entitled to a 50 percent refund of tuition and refundable fees paid, or 50 percent cancellation of the amount owed for the session.

No refund shall be granted to a student who officially withdraws from a 6-week session credit course after the 11th calendar day of the session.

The KCTCS chancellor's office may approve non-refundable tuition and/or fees for specific programs with enrollment limitations.

KCTCS 4-Week Session *

A student who officially withdraws from a 4-week session credit course shall be entitled to a 100 percent refund of tuition and fees paid, or cancellation of amount owed for the session if the withdrawal is on or before the second (2) calendar day of the session. After the 2nd calendar day through the 7th calendar day a student shall be entitled to a 50 percent refund of tuition and fees paid, or 50 percent cancellation of the amount owed for the session.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

No refund shall be granted to a student who officially withdraws from a 4-week session credit course after the 7th calendar day of the session.

The KCTCS chancellor's office may approve non-refundable tuition and/or fees for specific programs with enrollment limitations.

**Withdrawal from a course does not constitute eligibility for a refund unless the status of the student changes from full-time (12 credit hours for a 16-week session) to part-time status. All fees are subject to change without notice.*

<u>4-30-99</u> Date Approved by President, KCTCS	<u>5-2-01</u> Date(s) of Last Review (Include all dates in chronological order)	<u>5-2-01</u> Date(s) of Last Revision (Include all dates in chronological order)	
<u>(SIGNED)</u> Recommended By	<u>5-2-01</u> Date	<u>(SIGNED)</u> President, KCTCS	<u>5-2-01</u> Date

5.4.4.1 Procedures for Out-of-State Tuition Waiver Policy

The Commonwealth of Kentucky has entered into tuition reciprocity agreements with a number of states contiguous to Kentucky. Those agreements generally provide for residents of selected counties in those states to attend selected institutions of postsecondary education in Kentucky (including some KCTCS colleges) at Kentucky in-state tuition rates.

This KCTCS policy provides an opportunity for any KCTCS college to provide, under certain conditions described below, tuition waivers to residents of selected counties in other states not covered for a KCTCS college by any of the Commonwealth of Kentucky interstate tuition reciprocity agreements.

1. The college president/ceo must submit to the chancellor for review and the KCTCS President for approval an out-of-state tuition waiver plan. This plan must include:
 - a. A listing of the out-of-state counties to which the waiver is to apply;
 - b. Baseline data on the number of students served from those counties for each of the past three years;
 - c. Evidence that students in the identified counties would be well served by expanded access to the programs of the KCTCS colleges;
 - d. A marketing plan and enrollment increase projection for the first three years that the out-of-state tuition waiver plan is in effect;
 - e. Demonstration of financial feasibility, including evidence that within three years the annual tuition generated from the increased number of students in the identified counties will equal the average tuition generated by students from those counties during the three baseline years.
 2. All students enrolled under the plan must:
 - a. Meet program eligibility requirements;
 - b. Be formally enrolled at the KCTCS college;
 - c. Be assessed out-of state tuition, and
 - d. Request a waiver of out-of-state tuition in writing.
 3. Under the auspices of a duly approved out-of-state tuition waiver plan, the college president shall have the authority to grant a waiver of the student having to pay out-of-state tuition. The waiver must be in writing and retained for audit purposes.
 4. The difference between in-state tuition and out-of-state tuition will be recorded accordingly:
 - a. Students receiving the waiver will pay tuition at the in-state rate.
 - b. The college granting the waiver will expense the difference in tuition as a waiver.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

The KCTCS President has the prerogative of reviewing a college's out-of-state tuition waiver program at any time, and may require revisions and amendments as necessary. The KCTCS President may revoke approval for college plans for any reason, including failure to adhere to the conditions listed above and overall fiscal viability.

<u>4-30-99</u>	<u>11-26-02</u>	<u>11-26-02</u>	
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
<u>(SIGNED)</u>	<u>11-26-02</u>	<u>(SIGNED)</u>	<u>11-26-02</u>
Recommended by	Date	President, KCTCS	Date

5.4.5 Kentucky Community and Technical College System Treasury Management Policies

5.4.5.1 Cash Management Program

5.4.5.1.1 Authority and Responsibility

The ultimate responsibility and authority for the financial management of the cash management program rests with the KCTCS Board of Regents. The Board of Regents at its April 30, 1999 meeting delegated the financial management responsibility of the cash management program and other assets of KCTCS to the President (Board of Regents Resolution authorizing KCTCS Officers to perform necessary financial transactions). These delegated responsibilities include the establishment of cash management policies and guidelines, establishing and maintaining banking and other financial relationships, and to sign checks, drafts, orders and other necessary documents for the payment of money upon the active accounts on behalf of the KCTCS. The Board further designated the President, Vice President primarily responsible for Finance, and the Assistant Treasurer as the appropriate officers of the KCTCS to perform these financial transactions.

The Assistant Treasurer will be responsible for the daily management and oversight of the Cash Management Program under the supervision of the President and Vice President primarily responsible for Finance in accordance with the guidelines established in this document. All employees of the KCTCS assigned daily cash management duties, such as depositing funds and requesting checks on the active accounts of KCTCS, will perform these duties in accordance with the guidelines established in the KCTCS Business Procedures Manual.

5.4.5.1.2 Collection of Funds

- Receipts collected by the Community and Technical Colleges will be deposited daily into the College's local depository bank account
- Receipts received by the Central Office will be deposited daily to the KCTCS Central Depository Bank, Fifth Third Bank
- Receipts are processed in accordance with the guidelines established in the KCTCS Business Procedures Manual

5.4.5.1.3 Transfer of Receipts to Appropriate Accounts

- Receipts deposited by the Colleges in their local depository bank account will be transferred to the Central Depository Bank no less than weekly by means of electronic funds transfer (ACH).
 - Kentucky Revised Statute 41.070 requires that all receipts of state money, which we classify as current unrestricted funds, be deposited in appropriate accounts with the State Treasury
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within thirty days from the date of receipt. These funds will be accumulated in the Central Depository and transferred to the State Treasury in accordance with Statute

- All private funds, which include private gifts and grants and contract, will be accumulated in the Central Depository pending their expenditure.

5.4.5.1.4 Disbursement of Funds

- All expenditures of KCTCS funds will be processed by the Central Office through the Central Depository
- Separate controlled disbursement accounts have been established with the Central Depository for payroll and vendor expenditures
- Expenditures of private funds will be funded by deposits accumulated in the Central Depository. Deposits accumulated in State Treasury accounts will fund expenditures of current unrestricted funds. Funds will be received daily from the State Treasury via wire transfer to fund all KCTCS current unrestricted fund expenditures as incurred
- Expenditures are processed in accordance with the guidelines established in the KCTCS Business Procedures Manual

5.4.5.1.5 Central Depository Bank Account Structure

The Central Depository Bank is the primary cash management vehicle of the KCTCS. The account structure with the Central Depository is designed to maximize cash availability for investment purposes, provide for the safety of deposited funds, and provide an efficient and effective system for managing daily cash flow activities.

The account structure consists of a central depository concentration account and two zero-balance controlled disbursement accounts.

Central Depository Concentration Account

All available balances are maintained in the concentration account for investment purposes. On an operational basis, all daily deposits, wire transfers, and ACH transactions will be made to this account.

Controlled Disbursement Accounts

All disbursements by check will flow through the controlled disbursement accounts, one established for payroll and one for vendor payments. The controlled disbursement accounts will be reimbursed for all checks presented for payment that day with an automatic transfer from the concentration account, resulting in the accounts having a zero balance at the end of the day.

To enhance the cash management process, checks drawn on the controlled disbursement accounts will clear through a Fifth Third Bank location in Hillsboro, Ohio. This will eliminate checks clearing intra-day as a result of "walk-up" presentments or local check clearinghouse exchanges and will allow KCTCS to receive reimbursement from State Depository accounts prior to checks clearing.

5.4.5.1.6 Investment of Central Depository Bank Balances

All available balances remaining in the Central Depository concentration account at the end of the business day will be automatically swept and invested in an overnight repurchase agreement with the Central Depository Bank. The repurchase agreement will be fully secured by U.S. Treasury and/or federal agency securities.

Central Depository Bank balances may be invested in other appropriate investment vehicles in accordance with the KCTCS Current Operating Funds Statement of Investment Policies, Objectives and Guidelines.

5.4.5.1.7 Cash Management Services Provided by the Central Depository

As part of the KCTCS contract for transactional banking services with the Central Depository, the KCTCS will be provided:

- PC based treasury management software linking KCTCS management directly with the Central Depository to provide:
- Daily balance, transaction, and check presentment reporting for all accounts
- Initiation of wire and ACH transactions
- Electronic stop payment requests
- Visa/Mastercard services for the Central Office and all colleges
- Direct deposit processing
- CD ROM images of all paid checks
- Account reconciliation and positive pay services

5.4.5.2 Current Operating Funds

5.4.5.2.1 Overview

The current operating funds of the Kentucky Community and Technical College System (KCTCS) consist of current unrestricted and current restricted funds. These funds are immediately available for expenditure in support of current operations and typically have short-term investment time horizons.

Current unrestricted funds are required to be held on deposit with the Commonwealth of Kentucky State Treasury in accordance with KRS 41.070. KCTCS unrestricted funds eligible to receive investment earnings are invested in the Commonwealth of Kentucky Intermediate-term Investment Pool (Pool) per the direction of the State Investment Commission. Day-to-day

investment management responsibilities of the Pool have been delegated by the State Investment Commission to the Office of Financial Management and Economic Analysis (OFMEA).

Restricted current funds are held on deposit with the KCTCS Central Depository Bank. These funds are generally expended in the near term but in some cases may not be required for expenditure until some future date. An example of funds not required currently for expenditure would be restricted gifts whose charitable purpose supports future expenditure needs, such as private funding for building projects pending approval of the State Legislature.

All funds held on deposit with the KCTCS Central Depository Bank will initially be invested in overnight repurchase agreements of U. S. Treasury and Federal Agency securities with the Central Depository Bank. Funds identified as not required for expenditure in the near term may be invested in one or more categories of permissible investments as outlined in this policy.

5.4.5.2.2 Authority And Responsibility

The ultimate authority and responsibility for the financial management of the current operating funds rests with the KCTCS Board of Regents. The Board of Regents at its April 30, 1999 meeting delegated the financial management responsibilities of the current operating funds and other assets of KCTCS to the President. These delegated responsibilities include the establishment of investment objectives, selecting permissible investments, selection of investment management and support services, and review of investment performance and policy decisions.

The President has appointed an Investment Committee consisting of the Vice President for Finance, Vice President for Advancement, and the Assistant Treasurer of KCTCS. The Investment Committee will advise the President on all current operating funds investment issues. The Vice President for Finance and the Assistant Treasurer are responsible for the day-to-day oversight and management of the KCTCS Current Operating Funds investments within these policies and guidelines and under the supervision of the President.

5.4.5.2.3 Investment Objective

The investment objective of the current operating funds investment program is to maximize returns consistent with safety of principal, liquidity, and the period of investment. Due to the short-term investment time horizon of these funds, safety of principal and liquidity are considered the primary factors in investment decisions.

5.4.5.2.4 Permissible Investments

Permissible investments of current operating funds are restricted to:

1. The Commonwealth of Kentucky Intermediate-term Investment Pool
 2. Direct obligations of the U.S. Treasury
 3. Securities issued by federal agencies
 4. Repurchase agreements of U.S. Treasury and federal agency securities
 5. The Common Fund Short Term Fund
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6. The Common Fund Intermediate Fund

Investments in direct obligations of the U. S. Treasury, federal agency, and repurchase agreement securities will generally be limited to maturities of up to 24 months at the time of purchase. Investments in the Commonwealth of Kentucky Intermediate-term Investment Pool will be selected by OFMEA with permitted investments and maturities as set forth in KRS 42.500 and as further limited by 200 KAR Chapter 14. Investments in the Common Fund Short Term and Intermediate Funds will be in accordance with the current operating guidelines for each fund as established by the Common Fund.

5.4.5.2.5 Investment Performance Objectives

The investment performance objectives for current operating funds under this policy is as follows:

- 1) For overnight repurchase agreements and the Common Fund Short Term Fund, the investment performance objective is to achieve an annual return in excess of the average 90-day U. S. Treasury bill return.
- 2) For all other permissible investments, the investment performance objective is to achieve an annual return in excess of the Merrill Lynch 1-3 Year Treasury Index.

5.4.5.2.6 Current Operating Funds Investment Consultant

The Common Fund will provide the KCTCS with periodic consulting services. These services will include review of investment performance results with comparisons to appropriate benchmarks, assistance with development of policies and guidelines, and periodic review of capital markets and the economy.

An independent Performance Evaluation service may be utilized to ensure that all investment funds engaged by the KCTCS are competitive in the market and their performance meets the needs and expectations of the KCTCS.

5.4.5.3 Endowment Funds

The Kentucky Community and Technical College System (KCTCS) Endowment is an aggregation of gifts provided by donors with the requirement they be held and invested in perpetuity to generate earnings now and in future years to support the donor's intended purpose. The endowment provides stability since the principal cannot be spent, and earnings are generated year after year. An endowed gift keeps giving over time.

The KCTCS has a fiduciary responsibility to manage the endowment prudently and to preserve the purchasing power of the fund in order to provide equitable support to present and future generations. There is a legal and moral obligation to donors who have

intended that their gifts provide support in perpetuity.

Endowment funds are managed in accordance with The Uniform Management of Institutional Funds Act (KRS 273.520 to 273.590), that specifically requires trustees to consider both the long-term and short-term needs of the system. Prudent management of the endowment requires due diligence in seeking to fully maximize returns without exposing the assets to undue risk. In recognition of its fiduciary responsibility, the KCTCS has adopted the following endowment management policies, objectives and guidelines. These policies and guidelines may be amended periodically based on current operating, market and other conditions affecting KCTCS.

5.4.5.3.1 Authority and Responsibility

The ultimate authority and responsibility for the financial management of the Endowment rests with the KCTCS Board of Regents. The Board of Regents at its April 30, 1999 meeting delegated the financial management responsibilities of the endowment and other assets of KCTCS to the President. These delegated responsibilities include the establishment of endowment financial and investment objectives, spending policies, asset allocation policies and strategies, selection of investment management and support services, and review of investment performance and policy decisions.

The President has appointed an Investment Committee consisting of the Vice President for Finance, Vice President for Institutional Advancement, and the Assistant Treasurer of KCTCS. The Investment Committee will advise the President on all endowment investment policy issues, to include asset allocation, spending policy, and investment management. The Vice President for Finance and the Assistant Treasurer are responsible for the day-to-day oversight and management of the KCTCS Endowment within these policies and guidelines and under the supervision of the President.

5.4.5.3.2 Statement of Financial and Investment Objectives

The financial and investment objectives for the Endowment are intended to accomplish the primary goal of preserving or increasing the purchasing power of principal and income by maximizing real total return (adjusted for inflation), subject to risk constraints, and to achieve financial equilibrium by balancing annual spending and real total return.

The financial and investment objectives for the endowment are:

- To preserve the purchasing power of the endowment assets and the related revenue stream over time to evenly allocate support between current and future beneficiaries.
 - To establish a spending policy of 5.50% of average market value over the past 36 months, or increase spending by 3.00% over the previous fiscal year, whichever is greater.
 - To earn an average annual real return (inflation adjusted) of at least 5.50% per year.
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- To establish a long-range asset allocation of 45 – 75% in equities, and 20 – 45% fixed income, and 0 – 20% in alternative investments with a target asset allocation of 65% equities, 25% fixed income, and 10% alternative investments which should support a real spending rate of 5.50% and at the same time allow the endowment value to grow.
- To engage professional investment management across multiple asset classes to gain specialization and diversification of investment philosophies and styles.

5.4.5.3.3 Long-Term Asset Allocation Policy

Allocating funds among asset classes (stocks, bonds, etc.) is the most important policy decision for achieving the long-term financial and investment objectives. Endowments have different purposes, different investment strategies and different time horizons compared to other types of invested assets. Investment decisions should achieve the objective of maximum total return over the long-term, consistent with minimizing risk and meeting liquidity needs. Investments will be diversified within equity, fixed income, and alternative asset securities so as to provide a balance that will enhance total return while avoiding undue risk concentration in any single asset class.

The long-term asset allocation range will be 45 – 75% in equity securities, 20 – 45% in fixed income securities, and 0 – 20% in alternative investments. The target asset allocation is established at 65% equities, 25% fixed income, and 10% alternative investments. The long-term and target asset allocations may be adjusted from time to time as market conditions warrant. Equity investments, as the dominant asset class, are intended to provide long-term capital appreciation and a growing stream of income. Fixed Income investments are intended to provide current income, serve as a hedge against deflation, and to reduce overall volatility of investment returns. Alternative investments are intended to provide long-term capital appreciation and reduce volatility of investment returns.

5.4.5.3.4 Investment Manager Structure

Professional investment management will be engaged for the investment and reinvestment of endowment assets.

A complementary equity investment management structure, with multiple managers (funds) of contrasting philosophies and styles, a single fixed income manager (fund), and a mix of alternative investments deemed appropriate by the Investment Committee will be utilized. The use of a complementary structure for equity investments is desirable because of the cycles in market performance. The market tends to reward contrasting manager philosophies and styles (value vs. growth, large-cap vs. small-cap, international vs. domestic, etc.) at different times, with the result that better performing managers and funds are often more volatile than the market. By utilizing multiple managers and funds with different philosophies and styles, the Endowment should be able to capture the benefits of excess returns with less volatility (i.e., some managers and funds will outperform the market when others underperform).

Alternative investments may include investments in hedge funds, absolute return funds, emerging market funds, commodity strategies, real estate and publicly traded real estate investment trusts (REITs). No purchase of alternative investments are permitted without the express prior approval of the KCTCS Investment Committee.

The Common Fund has been selected to provide investment management for the Kentucky Community and Technical College System Endowment assets.

5.4.5.3.5 Endowment Spending Policy

The Endowment spending policy establishes the annual payout of investment earnings for expenditure in support of the donor's intended purpose. The spending policy seeks to establish an equilibrium between the need for current earnings for expenditure and the need to grow earnings over time to offset the effects of inflation.

The Endowment spending policy is determined in unison with asset allocation policies in order to balance expected real return (inflation adjusted) on investments with annual distributions of investment earnings. The KCTCS has established an annual spending policy of 5.50% of the most recent 36-month average market value of the endowment, or an increase of 3.00% over the prior fiscal year, whichever is greater. To support the Endowment's spending policy, a target asset allocation policy of 65% equity, 25% fixed income, and 10% alternative investments has been established. Historical market results indicate that this allocation of assets produce an average annual real return of 5.50% or greater. Distributions of earnings from the Endowment to support expenditures are expected to be equal to or less than actual real returns, therefore achieving the financial objective of preserving the value of the endowment assets and related revenue stream over time. Expenditures are supported first from current income (interest and dividends) and, as required, from realized gains.

5.4.5.3.6 Investment Performance Objectives

The annual performance objective of the Endowment is to rank in the top half of all endowment funds as published in the National Association of College and University Business Officers (NACUBO) Endowment Study over rolling five-year periods. The performance objective of each individual portfolio is to achieve an average annual rate of total return over time, net of fees, at least equal to the rate of return of an appropriate market index.

Investment performance data will be provided by the Common Fund through monthly, quarterly, and year-to-date reports. Reports shall include the total return for each fund with comparison to their appropriate benchmark (as selected by the Investment Committee).

5.4.5.3.7 Endowment Master Custodian

The master custodian for the KCTCS Endowment investments is The Common Fund. The master custodian is responsible for:

- Establishment and maintenance of direct account relationships.
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SECTION 6

Student Affairs Related Policies

6.2 Educational Rights and Privacy Act

The Family Educational Rights and Privacy Act of 1974, as amended, (the “Act”), is a federal law which states (a) that a written institutional policy must be established and (b) that a statement of adopted procedures covering the privacy rights of students must be made available. The applicable community/technical college shall maintain the confidentiality of student educational records in accordance with the provisions of the Act and shall accord all the rights under the Act to students who are declared independent and who are or have been in attendance at a community/technical college.

6.2.1 Rights of Inspection

The Act provides students with the right to inspect and review information contained in their education records; to challenge the contents of those records which students consider to be inaccurate, misleading, or otherwise in violation of their privacy or other rights; to have a hearing if the outcome of the challenge is unsatisfactory; and to submit explanatory statements for inclusion in their files if the decision of the hearing panels is unacceptable. The Registrar at each community/technical college is assigned to coordinate the inspection and review procedures for student education records, which include admissions, personal, academic, and financial files; and academic cooperative education and placement records.

6.2.2 Education Records: Definition

Education records are records directly related to a student which are maintained by each applicable community/technical college. Education records do not include the following:

1. Records of instructional, supervisory, and administrative personnel, and ancillary educational personnel in the sole possession of the creator and are not accessible or revealed to any other individual except a substitute who may temporarily perform the duties of the creator;
 2. Records of a law enforcement unit of a community/technical college or of KCTCS which are maintained separate from education records, are maintained solely for law enforcement purposes, and are not disclosed to individuals other than law enforcement officers of the same jurisdiction;
 3. Records relating to individuals who are employed by a community/technical college or by KCTCS and are made exclusively with regard to such individuals in their capacity as employees and are not available for another purpose; (records of persons who are employed solely as a consequence of college attendance, e.g., work-study students, however, are education records);
 4. Records created and maintained by a physician, a psychiatrist, a psychologist, or other recognized professional or paraprofessional, such as student health records to be used solely in connection with the provision of treatment to the student and not disclosed to anyone other than for treatment purposes, provided that records
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may be disclosed to physicians or professionals of student's choice. Treatment in this context, however, does not include remedial education activities or other activities which are part of the program of instruction at community/technical colleges; and

5. Records of an institution which contain only information relating to a person after that person is no longer a student at the institution; e.g., accomplishments of alumni.

6.2.3 Request for Review

Students wishing to review their education records must make a written request to the Registrar of the applicable community/technical college who has custody of the record, listing the item or items to be reviewed. Only those records covered by the Act will be available for review. The items requested shall be made available no later than 45 calendar days following receipt of the written request. Students have the right to a copy of their education records when failure to provide a copy of the record would prevent the student from inspecting and reviewing the record. A copy of the academic record may be refused if a "hold" for non-payment of financial obligation exists. The copies shall be made at the student's expense. The fee for making copies of the education record is set by each institution and must be paid at the time the copy is requested.

6.2.4 Limitations on Students Rights

There are some limitations on the rights of students to inspect records. The students shall have no right of inspection or review of:

1. Financial information submitted by their parents;
 2. Confidential letters or recommendations in the student file prior to January 1, 1975, if such documents were intended to be confidential and were used only for the purpose intended;
 3. Confidential letters or recommendations in the file subsequent to January 1, 1975, associated with admissions, employment, or job placement; or the receipt of an honor or honorary recognition if the student has waived the student's right to inspect such document(s); and
 4. Education records containing information about more than one (1) student, in which case the applicable community/technical college will permit access only to that part of the record pertaining to the inquiring student.
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6.2.5 Waiver of Student's Rights

Students may waive any or all of their rights under the Act. The Community Colleges/Technical Colleges do not require waivers and no institutional service shall be denied students who fail to supply waivers. All waivers must be in writing and signed by the student. Students may waive their rights to inspect and review either an individual document (e.g., a letter of recommendation) or classes of documents (e.g., an admissions file). The items or documents to which students have waived the right of access shall be used only for the purpose(s) for which they are collected. If used for other purposes, the waivers shall be void and the documents may be inspected by the student. The student may revoke the waiver in writing, but by revoking it, they do not regain the right to inspect and review documents collected while the waiver was in force.

6.2.6 Consent Provisions

No person outside the Community Colleges /Technical Colleges shall have access to nor shall the Community Colleges /Technical Colleges disclose any personally identifiable information from students' education records without the written consent of the student. The consent must specify the records to be released, the purpose of the disclosure, the party or class of parties to whom disclosure may be made; and must be signed and dated by the student. There are, however, exceptions to the consent policy and the Community Colleges /Technical Colleges reserves the right, as allowed under the Act, to disclose education records or components thereof without written consent to:

1. Personnel within the Community Colleges /Technical Colleges who demonstrate a need to know and who act in the student's educational interest including faculty, administration, and professional employees and other persons who manage students records;
 2. Officials of other institutions at which the student seeks to enroll, on the condition that the applicable community/technical college or the Community Colleges /Technical Colleges make a reasonable attempt to inform the student of the disclosure at the student's last known address, unless the student initiated the request to transfer;
 3. Officials of other schools at which the student is currently enrolled;
 4. Persons or organizations providing the student financial aid in order to determine the amount of, eligibility for, and conditions of an award, and to enforce the terms of the award;
 5. Accrediting organizations carrying out their accrediting functions;
 6. Authorized representatives of the Controller General of the United States, the Secretary of the Department of Education, and state educational authorities only if
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the information is necessary for audit and evaluation of federal or state supported programs;

7. State and federal officials to whom disclosure is required by state statute adopted prior to November 19, 1974;
8. Organizations conducting studies to develop, validate, and administer predictive tests, to administer student aid programs, or to improve instruction, so long as there is no further external disclosure of personally identifiable information and the information is destroyed when no longer necessary for the projects;
9. Parents of dependent students who have established the student's status as a dependent according to Internal Revenue Code of 1954, Section 152 (as amended). This requires a certified copy of the parent's most recent Federal Income Tax Form;
10. Persons in compliance with a judicial order or a lawfully issued subpoena if reasonable effort is made to notify the student; and
11. Appropriate persons in a health or safety emergency, so long as (1) there is a serious threat to the student or others, (2) the knowledge of the information is necessary to meet the emergency, (3) time is of the essence, and (4) the persons to whom the information is disclosed are in a position to deal with the emergency.

6.2.7 Institutional Record of Disclosure

The Community College Branch/Technical College Branch shall keep a written record of all such exceptional disclosures and the student shall have the right to inspect that record. The record shall include the names of parties or agencies to whom disclosure is made, the legitimate reasons for the disclosure, and the date of the disclosure. No record of disclosure shall be required for those requests made by students for their own use, those disclosures made with the written consent of the students, those made to officials, or those specified as Directory Information as described below in paragraph 6.2.8.

6.2.8 Disclosure of Education Record Information

With the exception of the exceptions to disclosure of education records noted in paragraph 6.2.6, the Community Colleges /Technical Colleges shall obtain written consent from students before disclosing any personally identifiable information from their education record. Such written consent for disclosure must: a) specify the records to be released; b) state the purpose of the disclosure; c) identify the party or class of parties to whom disclosure may be made; and d) be signed and dated by the student. All such consents shall be maintained in the education record file of the student.

6.2.9 Directory Information

In its discretion, a community/technical college or the Community College Branch/Technical College Branch, as appropriate, may provide Directory Information in accordance with the provisions of the Act to include: student name, address, telephone number, date and place of birth, major field of study, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended by the student, participation in officially recognized activities and sports, and weight and height of members of athletic teams. Students may withhold Directory Information by notifying designated officials in writing within ten (10) calendar days from the first scheduled day of class of the fall term. All written requests for non-disclosure will be honored by the community/technical college for one (1) academic year. Requests to withhold Directory Information must be filed annually thereafter.

6.2.10 Challenge of Contents of Education Records

Students who believe that their education records contain information that is inaccurate or misleading or is otherwise in violation of their privacy or other rights may discuss their concerns informally with a designated official. If the decision of that person is in agreement with the student's request, the appropriate records shall be amended and the student shall be notified in writing of the amendment(s). If the decision is not in agreement, the student shall be notified within fifteen (15) calendar days that the records will not be amended and the student shall be notified by the official of the student's right to a hearing. Student requests for a formal hearing must be made in writing within thirty (30) calendar days from the mailing of notice to the designated official who, within thirty (30) days of receipt of the written request, shall inform the student of the date, time, and place of the hearing. The student shall be afforded a full and fair opportunity to present evidence relevant to the issue(s) raised. If desired, the student may be assisted or represented, at their own expense, at the hearing by one (1) or more persons of their choice, including an attorney. The hearing may be conducted by any party, including an official of the applicable community/technical college, so long as the person does not have a direct interest in the outcome of the hearing. The hearing which will adjudicate such challenges will be held by the Committee appointed by the president/director. The decision of the hearing panel shall be final, shall be based solely on the evidence presented at the hearing, shall be in writing, and shall summarize the evidence and state the reasons for the decision. The written report shall be mailed to the student and any concerned party within thirty (30) calendar days of the date of the hearing.

- A. If the hearing panel determines that the information at issue is inaccurate, misleading, or a violation of privacy or other rights, the student's record shall be amended in accordance with the decision and the student shall be so informed in writing.
 - B. If the hearing panel decision is unsatisfactory to the student, the student may place with the education record a statement(s) commenting on the information in the record, or statement setting forth any reasons for disagreeing with the decision of the hearing panel. The statement(s) shall be placed in the education record and shall be maintained as part of the record and shall be released whenever the
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6.4 Kentucky Community and Technical College System Boards of Student Publications

I. Responsibility for Student Publications

Jurisdiction over campus-wide student publications of a KCTCS college shall be vested in a Board of Student Publications reporting to the president/director or designee. Jurisdiction means the responsibility for the fiscal management, the editorial policies, and the general operation of the student publications. A campus-wide student publication is defined as a publication which meets all of the following criteria: (a) any enrolled student is eligible to participate in its publication, (b) it is published for a campus-wide audience, and (c) it is supported in whole or in part by KCTCS funds.

II. Composition of the Board of Student Publications

Membership on a College Board of Student Publications will include, but is not limited to, the advisers and editors of student publications and representatives from the faculty, staff, and student body. One or more members-at-large may be appointed from the alumni, professional journalists, or public-at-large. Members of the Board will be appointed by the president/director.

III. The Role of the Board of Student Publications

- A. Consistent with the general philosophy of providing a free and responsive press on the college campus and consistent with Section 2.5 (Right to a Free Student Press) of the Code of Student Conduct, the Board of Student Publications shall be responsible for the development and promulgation of a statement of policy for the guidance of the editorial staffs of publications under the Board's jurisdiction. This statement will deal with operational, editorial, and financial policies of student publications and shall be submitted by the president/director to the KCTCS Office of Student Affairs for approval.
 - B. The Board of Student Publications shall be available for immediate consultation with the editor and/or adviser; its role shall be one of policy interpretation and not one of censorship.
 - C. The Board of Student Publications shall advise and consult with the student publications advisers and editors regarding financial management of the publications under the Board's jurisdiction. The Board shall approve budget proposals prior to submission to the president/director.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

- D. If, after thorough investigation which shall include affording the editor an opportunity to present personal views, the Board should conclude that an editor has violated the Board's policies or has otherwise failed to perform appropriate duties as editor, the Board is authorized to take one or more of the following actions in reference to the student's status as editor: counsel, warn, reprimand, suspend for a specified period of time, or dismiss.

<u>9-5-00</u>			
Date Approved by President, KCTCS	Date(s) of Last Review <i>(Include all dates in chronological order)</i>	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	8-29-00	(SIGNED)	9-5-00
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date

6.5 KCTCS Policies and Procedures for Disabilities Services

The Kentucky Community and Technical College System (KCTCS) is committed to providing equal educational opportunity and full participation for persons with disabilities. It is the System's policy that no otherwise qualified person with a disability be excluded from participating in any KCTCS program or activity, be denied the benefits of any KCTCS program or activity, or otherwise be subjected to discrimination with regard to any KCTCS program or activity.

A person with a disability must be ensured equal access to programs, opportunities and activities at the KCTCS colleges.

Reasonable accommodations must be made to qualifying individuals in the instructional process as well as in institutional and departmental procedures. A "reasonable accommodation" is a change or adjustment within an educational program, activity or service that provides a person with a disability equal opportunity to participate in the educational process, so long as the accommodation does not fundamentally alter the program or place an undue burden on KCTCS.

The combined efforts of all KCTCS departments, offices and personnel are required to achieve excellence in our services to people with disabilities and to administer our services in an equitable and efficient manner.

Federal law, specifically Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, establishes the foundation for equal educational opportunity. These regulations define a person with a disability as any person who: 1) has a physical or mental impairment which substantially limits one or more major life activities; 2) has a record of such an impairment; or 3) is regarded as having such an impairment.

Policies regarding access for persons with disabilities apply to all KCTCS colleges. Individuals seeking services should contact the appointed person or persons for disability services in the college.

A student may pursue a grievance involving disabilities services as set forth in Policy 6.6 Student Discrimination Grievance Procedure.

6.5.1 College Rights And Responsibilities

6.5.1.1 KCTCS colleges have the right to:

1. Maintain and require academic and technical standards in their individual programs.
 2. Request the student to provide relevant documentation, completed by an appropriate professional source, to verify the disability and the need for reasonable accommodation(s).
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3. Discuss a student's need for reasonable accommodations with the professional source of his/her documentation after obtaining the student's signed consent authorizing such discussion.
4. Provide reasonable accommodation(s) to our students on a case-by-case basis.
5. Deny a request for accommodations if the documentation does not identify a specific disability, the documentation fails to verify the need for the requested services, or the documentation is not provided in a timely manner.
6. Deny an accommodation request that is inappropriate or unreasonable and would create an undue hardship on the college.

6.5.1.2 KCTCS colleges have the responsibility to:

1. Provide appropriate settings for our courses, programs, services, jobs, activities, and facilities.
2. Make available information regarding policies and procedures to students with disabilities.
3. Evaluate students on their abilities.
4. Provide reasonable and appropriate accommodations for students with disabilities upon request.
5. Maintain appropriate confidentiality of records and communication concerning students with disabilities.

6.5.2 Student Rights And Responsibilities

6.5.2.1 Every student with a documented disability has the following rights:

1. Equal access to courses, programs, services, jobs, activities, and facilities available through KCTCS colleges.
 2. Reasonable and appropriate accommodations determined on a case-by-case basis.
 3. Appropriate confidentiality of all information pertaining to his/her disability with the choice of whom to disclose his/her disability to except as required by law.
 4. Access to information.
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6.5.2.2 Every student with a disability has the responsibility to:

1. Meet KCTCS college and program qualifications and essential technical, academic, and institutional standards.
2. Identify him/herself to the coordinator of disability services in a timely manner as an individual with a disability when seeking an accommodation.
3. Provide documentation from an appropriate professional source that verifies the nature of the disability and functional limitations.
4. Follow specific procedures for obtaining and using reasonable and appropriate accommodations.

6.5.3 Policy Guidelines

1. Each college shall have a designated coordinator for disability services. The coordinator shall have the authority to determine eligibility for services and the type and extent of the services.
 2. The KCTCS catalog, college handbook, and all admissions-related materials must include the name of the designated coordinator for disability services, the location within the college and the telephone number if different from the main college telephone number.
 3. Students who disclose their disability and provide the documentation necessary to determine their accommodation needs shall be provided with reasonable and appropriate accommodations.
 4. Reasonable and appropriate accommodations and/or auxiliary aids will be identified for each course and provided to students on a case-by-case basis in accordance with policy.
 5. In cases where the severity or nature of the disability makes completion of a specific course unachievable, course substitutions may be made on a case-by-case basis. The course substitution may not constitute a substantial change or alteration to an essential component of the program.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

6. Students who feel that they have been discriminated against or denied an opportunity because of a disabling condition are encouraged to contact the designated coordinator for disability services promptly in an effort to resolve the problem at an informal level. Students may also choose to pursue a grievance pursuant to Policy 6.6 Student Discrimination Grievance Procedure.

1-22-01 _____ Date Approved by President, KCTCS	9-24-02 _____ Date(s) of Last Review <i>(Include all dates in chronological order)</i>	9-24-02 _____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED) _____ Recommended by	9-24-02 _____ Date	(SIGNED) _____ President, KCTCS	9-24-02 _____ Date

6.6 Student Discrimination Grievance Procedure

Students who feel they have been discriminated against or subjected to harassment by students or employees because of their race, color, national origin, sex, sexual orientation, marital status, disability, age, religion, beliefs, political affiliation, or veteran status have the right to pursue an informal and/or formal grievance.

Each College shall designate an Equal Employment Opportunity (EEO)/Diversity Coordinator who will be responsible for investigating student grievances. Each College shall provide a student grievance procedure with the name, address, and phone number of the local EEO/Diversity Coordinator.

6.6.1 Informal Procedure

Most difficulties can be resolved by talking to someone. Therefore, students are encouraged to discuss these problems promptly and candidly with the EEO/Diversity Coordinator.

1. If a student feels that he/she has been discriminated against, the student shall bring the problem to the attention of the EEO/Diversity Coordinator within five (5) business days of learning of the cause for the grievance. The coordinator will conduct a preliminary investigation of the grievance.
2. The student, EEO/Diversity Coordinator, and other involved parties will work informally to negotiate a solution within five (5) business days.

The informal procedure should be completed in approximately ten (10) business days from learning of the cause of the grievance.

3. If the grievance cannot be satisfactorily resolved by working informally, the student may proceed within five (5) business days to file a written grievance through the Formal Procedure.

6.6.2 Formal Procedure

Step 1.

- a. Within fifteen (15) business days of learning of the cause of the grievance, a student will file written notice with the EEO/Diversity Coordinator. The student may use the Grievance Form, which is available from the EEO/Diversity Coordinator. The written notice shall identify the nature of the alleged discrimination, the date(s) of occurrence, and the desired result, and shall be signed and dated by the student filing the grievance.
 - b. As soon as possible, the EEO/Diversity Coordinator will initiate an adequate, reliable, and impartial investigation of the grievance.
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KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

- c. Within ten (10) business days of receiving the student's written notice, the EEO/Diversity Coordinator shall respond in writing to the student. The response shall summarize the course of the investigation and determine the validity of the grievance and the appropriate resolution.

Step 2.

- a. If the student is not satisfied with the coordinator's response, the student may appeal in writing to the College CEO (or designee) within five (5) business days of the Step 1 response. The Step 2 appeal must contain all written documentation from Step 1 and the student's written reasons for not accepting the coordinator's response.
- b. Within seven (7) business days from receiving the written Step 2 appeal, the College CEO (or designee) will respond in writing to the student as to the action to be taken.

Step 3.

If the grievance is not resolved to the satisfaction of the student, the student may file an appeal according to the KCTCS Code of Conduct Section 1.2.8.1.

The deadlines established in this procedure may be waived in exceptional circumstances by the College CEO (or designee).

9-24-02	_____	_____	_____
Date Approved by President, KCTCS	Date(s) of Last Review	Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	9-24-02	(SIGNED)	9-24-02
_____	_____	_____	_____
Recommended by	Date	President, KCTCS	Date

SECTION 7

Independent Foundations, Grants, Contracts, and Related Policies

7.9 KCTCS Policies and Procedures for Soliciting, Receiving, Recording, and Administering Grants and Contracts for Sponsored Projects

7.9.1 Introduction

In meeting its obligations for teaching, research, and public service, the KCTCS frequently enters into contractual arrangements with other entities such as the federal government, state and local governments, industry, and private foundations. Faculty and staff participate in these arrangements and KCTCS facilities are used. The following policies and procedures are provided to govern these activities.

7.9.2 Definition of Grants and Contracts for Sponsored Projects

Grants and contracts for sponsored projects represent a contractual obligation between the grantor and the KCTCS for the performance of a specific activity through which the grantor, or sponsor, is entitled to receive some consideration or benefits. The contractual obligation is normally documented by a proposal/award combination, contract, or a written memorandum of agreement. Funds are classified as a grant or contract when any of the following characteristics or conditions exist:

1. KCTCS is required to provide a detailed technical report of the sponsored activity the results of which become the property of the sponsor;
2. Testing or evaluation of products is involved;
3. An activity results in the preparation, synthesis, or separation of a product;
4. KCTCS is required to provide direct consideration or benefits to the sponsor;
5. An activity is directed to satisfying specific sponsor requirements (e.g., terms and conditions stating a specific scope of work to be done); and
6. A specified period of performance is prescribed and termination is at the discretion of the sponsor.

The KCTCS assumes full legal responsibility for complying with all requirements imposed by the grantor or sponsor upon acceptance of grants and contracts for sponsored projects.

7.9.3 Scope

The following policies and procedures shall govern all grants and contracts for sponsored projects undertaken by the KCTCS, with the following exceptions:

1. Earmarked or dedicated state taxes or appropriations;
2. Student aid funds (but not government-funded graduate fellowships, traineeships, research assistantships, etcetera); and
3. Major construction and renovation funds.
4. Private gifts from corporations and foundations requiring a report of expenditures to verify compliance with the donor's intended purpose.

7.9.4 Office of Sponsored Projects and Contracts

The responsibility for the coordination of grants and contracts procurement and management, consistent with KCTCS policies and procedures, of all sponsored projects is primarily assigned to the Chancellors' Office.

The Office of Sponsored Projects and Contracts (OSPC), a unit in the Office of the Chancellors, serves both the community and technical colleges in the procurement, review, approval, and submission of proposals. OSPC also has responsibility for ensuring compliance with the terms and conditions of grants and contracts including the issuance of progress, final, and other appropriate reports, excluding financial reports, and for providing general grant, contract, and agreement administration with project sponsors.

7.9.5 Director of the Office of Sponsored Projects and Contracts

The Director of the Office of Sponsored Projects and Contracts (OSPC) is delegated the responsibilities of the Office, and shall, for these purposes, be responsible to the KCTCS Chancellors.

The Director of OSPC is delegated responsibility for negotiation of all grants and contracts for sponsored projects, including fixed-price program support agreements, and is authorized to execute contractual documents and accept grants, after consultation when appropriate with the unit performing the work of the grant or contract, with the concurrence of the Chancellors.

This delegated responsibility and authority shall be performed in accordance with established policies and procedures of the KCTCS.

7.9.6 Solicitation of Agreements

- A. The Office of Sponsored Projects and Contracts (OSPC), with the concurrence of the Chancellors and the individuals having responsibilities named in "C" below, and in support of the principal investigator or project director, shall submit all proposals for grants and contracts for sponsored projects in the name of the Kentucky Community and Technical College System (KCTCS). This policy does not prohibit the freedom of members of the faculty and staff to discuss possible projects with potential sponsors; however, discussions with potential grantors or sponsors should be confined to professional and technical matters. KCTCS employees must exercise caution to avoid committing the KCTCS to any action, as only the Director of OSPC, with the concurrence of the Chancellors, is authorized to execute contractual documents or accept grants or contracts.
 - B. Each chancellor, vice president, and college president/director shall establish procedures to ensure that all proposals for grants and contracts, including fixed-price program support agreements and projects not awarded on the basis of a formal proposal, are submitted through OSPC.
 - C. Funds for a sponsored project usually are awarded on the basis of a formal proposal prepared by a principal investigator. Such proposals shall be reviewed and endorsed on the Internal Approval Form by any affected college president/director, division chairperson, director, dean, chancellor, or vice president, and then forwarded to OSPC for final review and submission to the sponsor. Proposals which include new courses, unusual financial commitments, new degrees, additional space, experimental animals, human subjects, biohazards, etcetera, shall require approval by the appropriate KCTCS administrator or office with responsibility for each of these activities.
 - D. After a proposal has been received by the sponsor, OSPC shall conduct all negotiations regarding budget changes, etcetera, with the advice and assistance of the principal investigator and appropriate KCTCS officials.
 - E. The general policy governing grants and contracts for sponsored projects is that all costs are to be reimbursed by the grantor/sponsor, including salaries of faculty and staff working on the project, fringe benefits, all other direct costs, and full indirect costs as determined with established cost principles for educational institutions.
 - F. Policy and procedures for approval of sponsored projects are as follows:
 - 1. All proposals for sponsored projects, including fixed-price program support projects and written memoranda of agreements, shall include a complete budget reflecting full costs of the project. The principal investigator, by signing the Internal Approval Form, certifies that the budget represents the best estimate of full costs, including all salaries of
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faculty and staff applicable to the project, fringe benefits, full indirect costs, facilities requirements, supplies, equipment, etcetera. All costs not to be reimbursed by the sponsor shall be clearly indicated together with the internal sources of funds to cover these.

2. Chairpersons, college deans, directors, or presidents, chancellors and vice presidents, as appropriate, shall certify that they have reviewed and approved the proposal, including the full cost budget and sources of internal funds as required to cover un-reimbursed costs.
3. Awards or agreements that provide for reimbursement of full costs of the sponsored project may be accepted and approved by the Director of OSPC, under specific written delegation from the chancellors.
4. Awards or agreements for grants and contracts with matching requirements; those involving special competitive situations wherein the KCTCS makes significant concessions in cost sharing; and those involving significant contributions of space and equipment; or obligations to continue a program beyond the extramural funding period must be approved by the appropriate chancellor.
5. All other awards or agreements for grants and contracts that do not provide for reimbursement of full costs of the sponsored project may be accepted and approved by the Director of OSPC, after review and approval by the appropriate sector budget staff, as may be designated by the appropriate chancellor.

7.9.7 Acceptance

Upon receipt of contractual documents for grants and contracts, the Office of Sponsored Projects and Contracts (OSPC) staff shall review the terms of the contract and compare them with the proposal originally submitted. The contract then shall be reviewed with the principal investigator and the appropriate KCTCS administrator(s), at which time any unusual requirements shall be discussed and specific contract requirements brought to their attention. After this review, any changes shall be negotiated with the sponsor. Significant changes in scope of work, budget, or KCTCS costs shall require the concurrence of those who initially reviewed and approved the proposal under this policy. When all points of disagreement are resolved to the mutual satisfaction of all parties, the contract shall be executed on behalf of the KCTCS by the Director of OSPC.

KCTCS ADMINISTRATIVE POLICIES AND PROCEDURES

Quarterly reports shall be prepared by OSPC and submitted to the President, the chancellors, and vice presidents:

1. A report listing all contracts and grants accepted with full cost recovery; and
2. A report listing all contracts and grants accepted with less than full cost recovery, showing amounts and categories of expense, sources and amounts of internal funds to cover unreimbursed costs, and the reasons for acceptance.

Occasionally, proposed contractual documents or agreements are not acceptable. If the differences cannot be negotiated with the sponsor, OSPC shall formally reject the project.

4-30-99			
_____ Approval Date	_____ Date(s) of Last Review	_____ Date(s) of Last Revision <i>(Include all dates in chronological order)</i>	
(SIGNED)	4-30-99	(SIGNED)	4-30-99
_____ Recommended by	_____ Date	_____ President, KCTCS	_____ Date
