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ABOUT OWENSBORO COMMUNITY AND TECHNICAL COLLEGE

In 2002, the Commission on Colleges of the Southern Association of Colleges and Schools (SACS) approved the Prospectus for Substantive Change for Owensboro Community and Technical College (OCTC) detailing the consolidation of Owensboro Community College, founded in 1986, with Owensboro Technical College, which originated in 1929. The Kentucky Community and Technical College System (KCTCS), created in 1997, include 16 colleges across the state with OCTC the most recently formed of the original community colleges. The 14 community colleges were under the governance of the University of Kentucky while the technical colleges were for many years a part of the Kentucky Department of Education and for 9 years a part of the Workforce Development Cabinet.

Owensboro Community and Technical College offers general arts and sciences programs designed to provide the first two years of a baccalaureate degree, and occupational-oriented programs designed to prepare students for immediate employment. Additionally, the college offers continuing education programs that include workforce training for business and industry, adult education in preparation for the GED, and community education.

The college has an open door admissions policy, flexible course schedules that include day, evening, online, off campus classes, and financial aid for qualified students. The college is an equal opportunity institution and does not discriminate on the basis of race, color, religion, ethnic origin, handicap, or gender in admissions policies, programs, or employment practices.

The college serves the Greater Owensboro, Kentucky region, including Daviess, Hancock, Ohio, and McLean counties, as well as Spencer County, Indiana. With a total population of approximately 140,000, the area has traditionally relied on agriculture, mining, and manufacturing as its economic foundation; however, recent changes have promoted a transition toward a service-oriented economy and regional efforts toward economic diversification. Featuring cultural opportunities unusual for similar size communities, the area also benefits from strong community leadership in support of education.
ACCREDITATION

Owensboro Community and Technical College is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools (1866 Southern Lane, Decatur, GA 30033-4097; Telephone number 404.679.4501) to award the associate degree.

The following OCTC technical programs adhere to standards established by an external accrediting body, approval agency, or external certifications based on the instruction provided:

- Automotive Technology- National Automotive Technicians Education Foundation (NATEF)
- Computer and Information Technology- Cisco, Microsoft Certifications
- Diesel Technology -- National Automotive Technicians Education Foundation (NATEF)
- Nursing (RN)- Kentucky Board of Nursing
- Paramedic Technology- Committee on Accreditation for the EMS Profession (CoAEMSP) Pending approval Fall 2014
- Radiography- American Registry for Radiologic Technologists
- Surgical Technology- Commission on Accreditation of Allied Health Education Programs
- Welding- American Welding Society Certification Program (AWS)
VALUES, VISION AND MISSION STATEMENT

Values

• Accessibility and Responsiveness
• Civic Engagement and Outreach
• Collaborative Partnerships
• Creative Thinking, Innovation, and Cutting-Edge Technology
• Cultural Diversity and Global Awareness
• Excellence in Liberal Arts, Technical, and Community Education
• Individual and Community Success
• Integrity and High Expectations
• Learner-Focused Faculty and Staff
• Learning for All Ages
• Safe Learning Environment

Vision

Inspire and empower individuals to enhance their lives through progressive educational experiences.

Mission

To cultivate lifelong learning opportunities through career degree programs, workforce and community development, and transfer-to-baccalaureate degree programs.

Approved and adopted by the College Assembly, Owensboro Community and Technical College Board of Directors, and the KCTCS Board of Regents in 2013.
KCTCS Goals/College Objectives for 2010-16
Approved by the Administrative Council 3-1-10 and amended 4-19-10
Approved by the Board of Directors 5-20-10

KCTCS Goal: Advance excellence and innovation in teaching, learning and service

**OCTC Objective 1: Teaching and Innovation** - With creative thinking, innovation, and cutting-edge technology, the College will inspire and empower individuals to seek excellence through the liberal arts and technical education.

**OCTC Objective 2: Learning and Effectiveness** - Students will demonstrate an increased attainment of general education and program competencies and the College will use these results to continuously improve our processes and to help our students reach their learning goals.

**OCTC Objective 3: Service** - The College will serve the community through engagement in collaborative partnerships to enhance the quality of life in our region.

KCTCS Goal: Increase student access, transfer and success

**OCTC Objective 4: Pathways to Postsecondary** - The College will create seamless pathways to increase the likelihood of a successful transition to postsecondary education.

**OCTC Objective 5: Alternative Delivery** - The College will provide opportunities to pursue educational and career goals by offering classes, sections of classes, and programs using a variety of time frames and delivery methods.

**OCTC Objective 6: Expectations/Engagement** - College will create an environment where students will understand the high expectations that OCTC faculty have set, sense the supportive environment created in the classroom, and recognize the benefits of learning together.

**OCTC Objective 7: Pathways to the Baccalaureate** - The College will create seamless pathways to increase the likelihood of a successful transition from OCTC to four-year colleges and universities.

KCTCS Goal: Cultivate diversity, multiculturalism and inclusion

**OCTC Objective 8: Diversify Unify** – The College will engage students, faculty, and staff in activities to promote diversity and global awareness to expand the appreciation for others’ perspectives and gain insight into the importance of embracing the personal and universal value of all individuals.

KCTCS Goal: Enhance the economic and workforce development of the Commonwealth

**OCTC Objective 9: Economic Growth and Competitiveness** – The College will create new partnerships and expand current ones to support workforce development and the economic prosperity of the community.

KCTCS Goal: Promote the recognition and value of KCTCS

**OCTC Objective 10: Impact** – The College will share its story in the community, promoting our value to the region and advocating for support for our students and mission.
ORGANIZATIONAL STRUCTURE

Kentucky Community and Technical College System
Owensboro Community and Technical College is a member of the Kentucky Community and Technical College System (KCTCS). KCTCS is comprised of 16 colleges with over 65 campuses open or under construction.

KCTCS is governed by a 14-member Board of Regents (BOR). The governor appoints eight members; six are elected by faculty, staff and students in the colleges. The Board has appointed Dr. Michael B. McCall as KCTCS’ president. Dr. Jay Box serves as chancellor. KCTCS is located at the following address in Versailles, Kentucky: 300 North Main Street Versailles, KY 40383 Phone: 859-256-3100

Administrative Organization of Owensboro Community & Technical College
Owensboro Community and Technical College (OCTC) has a chief executive officer, the President, James Klauber, whose primary reporting responsibility is to the President of the Kentucky Community and Technical College System (KCTCS) and to the OCTC Board of Directors. The By-laws of the OCTC Board of Directors and BOR Policy recognizes the position of the chief executive officer of OCTC, the President, to whom is delegated the authority to manage Owensboro Community and Technical College. The OCTC President relies on two primary administrative organizations for the day-to-day operations of the college:

Executive Team includes the President and Vice Presidents of the college who are responsible for the administrative function of all business, student, and academic affairs activities of OCTC, business and industry outreach and adult and community education. The membership includes:

Kevin W. Beardmore, Vice President of Student Affairs
Cynthia E. Fiorella, Vice President of Workforce Solutions
James R. Hartz, Vice President of Information Technology
Dr. James S. Klauber, President/CEO
Kittridge H. Midkiff, Executive Assistant to the President
Larry S. Miller, Vice President of Advancement
Sarah B. Price, Vice President of Business Affairs
Dr. Scott Williams, Vice President Academic Affairs

Administrative Council is the primary administrative, communication, and decision making body of the college. It consists of representatives from all administrative and academic units and divisions of OCTC. The current membership of Administrative Council is:

Donna G. Abell, Associate Professor, Library II
Dean Autry, Professor, Electrical Technology, Associate Dean of Advanced Manufacturing Technology
Kevin W. Beardmore, Vice President of Student Affairs
Steve Hollman, Professor, Construction Technology
Vicki H. Boyd, Director of Adult Education
John Bryenton, TV Production Manager/Coordinator
Sandy Carden, Associate Dean of Student Affairs/Registrar
Sherry Lee, Teaching and Learning Center
Dr. Stacy Edds-Ellis, Associate Dean of Academic Affairs
Cynthia E. Fiorella, Vice President of Workforce Solution
Bernie Hale, Director of Public Relations
James R. Hartz, Vice President of Information Technology
Vickie Hohiemer, Director of Human Resources
Dr. James S. Klauber, President/CEO
Terri Lanham, Associate Dean of Academic Affairs, Director of Nursing
Dr. Julia C. Ledford, Professor of Communications/Theatre, Associate Dean of Humanities and Fine Arts
Dr. Marc S. Maltby, Professor of History, Associate Dean of Social Science, Business and Public Service
Janet R. McKenney, Senior Administrative Assistant
Lewatis McNeal, Associate Dean of Student Affairs Services
Christi A. Midkiff, Director of Grants and Contracts
Kittridge H. Midkiff, Executive Assistant to the President
Larry S. Miller, Vice President of Advancement
Kathy Mowers, Professor, Mathematics
Tammy Rice, Associate Professor, Communications
Randy Crowe, Associate Professor, Computerized Machining Manufacturing
Sarah B. Price, Vice President of Business Affairs
Michael D. Rodgers, Director of Southeastern Campus, Division Head of Personal Services and Skill Trades
Dr. Veena Sallan, Professor of Biology, Associate Dean of Mathematics, Sciences and Allied Health
Eunice K. Taylor, Associate Professor, Nursing
Dr. Scott Williams, Vice President of Academic Affairs
Pamela S. Wilson, Professor, Psychology
Governance

Owensboro Community and Technical College (OCTC) are governed by a 10-member Board of Directors, while KCTCS is governed by a 14-member Kentucky Community and Technical College System Board of Regents (BOR). The institution is one of 16 colleges that are part of the Kentucky Community and Technical College System (KCTCS).

Of the 10 OCTC Board of Directors, seven are appointed by the Governor from nominees of the OCTC nominating commission established under KRS 164.602. The other three members consist of one from the teaching faculty, one from the non-teaching personnel, and one from the student body. An appointed member’s term is six years. The duties of the Board of Directors, specified in KRS 164.600, include the following: (a) recommending one candidate for community college president from the three candidates provided from the President of KCTCS, who in turn makes the final appointment and is not bound by the recommendation of the Board of Directors; (b) evaluate the college president and advise the president of his or her performance; (c) approve budget requests for recommendation to KCTCS; (d) adopt and amend an annual operating budget and submit it to the KCTCS-BOR for approval; and (e) approve and implement a strategic plan that is developed in coordination with local employers, civic leaders, campus constituents, and other local postsecondary institutions in the region. The president of each community college has full authority and discretion regarding the use and management of the budget approved by the KCTCS-BOR. The OCTC Board of Directors By-laws and KRS 164.340 require that a quorum of board members be present at all official meetings and that all resolutions and actions require a majority vote. As stated in the OCTC Board of Directors By-laws, the presiding officer of the Board of Directors, along with a majority of the other voting members, have no contractual, employment, personal or familial financial interest in the institution.

The College Assembly

The College Assembly provides a forum for faculty and staff discourse and communication. Faculty and staff governance roles are clearly defined in the Rules and Bylaws of the College Assembly. (See Chapter Five)
2.0 Kentucky Community and Technical College System Employment

KCTCS Board of Regents Policies – Effective date 4-30-99, revised 9-25-09.

With the establishment of the Kentucky Community and Technical College System through the Kentucky Postsecondary Education Improvement Act of 1997 (in sections of KRS Chapter 164), KCTCS is authorized to employ individuals in furtherance of its mission. The KCTCS President is authorized to promulgate administrative procedures to implement this policy.

2.0.1 Employment Status Categories

Employment status determines an employee’s right to continued employment with KCTCS. Based on the process by which the faculty or staff member is employed, the employee has a designated employment status, and/or the right to earn a designated employment status.

KCTCS recognizes seven (7) employment status categories:

A. Faculty Tenured Employment Status

The Board of Regents may grant tenure to faculty upon recommendation by the President of KCTCS and the Chancellor. Tenure for faculty when granted by the Board of Regents in accordance with the Kentucky Community and Technical College System procedures shall be in KCTCS and not at the individual educational unit of the KCTCS colleges. Faculty members who have earned tenure under UKCCS or KCTCS have tenured employment status at KCTCS. The terms of employment are specified in the faculty member’s contract.

B. Faculty Tenure-Track Employment Status

Faculty members working to earn tenured employment status while in a tenure-track (tenure-eligible) position are issued a tenure-track contract and have tenure-track employment status at KCTCS. The terms of employment are specified in the faculty member’s contract.

C. Term Contract Employment Status

Faculty who are employed in a non-tenure-track position are issued a term contract and have term contract employment status. Staff may be issued a term contract and have term contract employment status. Faculty and staff who are employed through a term contract are not eligible to earn KCTCS continued employment status and are subject to the employment terms specified in their contract.

D. Continued Employment Status

Prior to July 1, 2003, newly hired regular status non-contract faculty earned “continued employment status” under the KCTCS personnel system after the Introductory Period was satisfactorily completed. Regular status non-contract staff earn “continued employment status” under the KCTCS personnel system after the Introductory Period is satisfactorily completed. Former UKCCS non-contract staff who exercise the one-time option into the KCTCS personnel system are granted continued employment status.

E. Continuing Employment Status

Former 151B faculty and staff who earned “continuing employment status” under KRS Chapter 151B retain continuing employment status following their transfer to KCTCS under KRS 164.5805, including those who exercise the one-time option into the KCTCS personnel system.
F. “Status” Employment Status
Former 18A staff who earned “status” employment status under KRS Chapter 18A retain “status” employment status following their transfer to KCTCS under KRS 164.5805, including those who exercise the one-time option into the KCTCS personnel system.

G. “At Will” Employment Status
Temporary status non-contract employees shall have “at will” employment status. Regular status less than full-time non-contract employees who are hired on or after July 1, 2004, shall have “at will” employment status. Former UKCCS non-contract staff retain their employment “at will” status following their transfer to KCTCS under KRS 164.5807. For employees under the KCTCS personnel system who are subject to the Introductory Period, they have “at will” employment status during the course of the Introductory Period.

2.0.2 Employee Rights
Employees hired after the establishment of KCTCS are governed by the KCTCS personnel system rules. Employees who were transferred to KCTCS pursuant to KRS Chapter 164 are referred to in KCTCS policies and procedures as “former UKCCS employees” and “former KRS 151B/18A employees,” respectively. Former UKCCS employees transferred to KCTCS pursuant to KRS 164.5807 retain coverage under the personnel rules in the University of Kentucky administrative regulations. Former UKCCS employees with tenure shall retain their tenure. Former 151B/18A employees retain coverage under the applicable personnel rules in Titles 101 and 780 of the Kentucky Administrative Regulations that were in effect on June 30, 1998, and adopted by the KCTCS Board of Regents pursuant to KRS 164.5805(1) (e). Former 151B employees with “continuing employment status” shall retain their “continuing employment status.” Former 18A employees with “status” as their employment status shall retain their “status.” These transferred employees have the right to exercise a one-time option into the KCTCS personnel system. All employee grievances and appeals shall be under the rules provided by the KCTCS policies and procedures.

KCTCS employees under the University of Kentucky administrative regulations who accept other positions in any KCTCS college after June 29, 2001, retain coverage under University of Kentucky administrative regulations until they elect to be covered by the KCTCS personnel system. Former Cabinet for Workforce Development employees who accept other positions in any KCTCS college after June 29, 2001, retain coverage under applicable provisions of Titles 101 and 780 of the Kentucky Administrative Regulations that were in effect on June 30, 1998, until they elect to be covered by the KCTCS personnel system. The employee’s option into the KCTCS personnel system shall be in writing and may be exercised at any time to be made effective on the first day of the applicable pay period. Positions in the KCTCS System Office shall be positions under the KCTCS personnel system; therefore, employees who choose to accept KCTCS System Office positions shall be governed by KCTCS personnel system policies.

No one other than the KCTCS Board of Regents may alter or modify Board policies. No one other than the KCTCS President may alter or modify administrative policies and procedures. Any alteration or modification of policies must be in writing.

Introductory Period
The first 6 months of employment is the Introductory Period for employees. During the Introductory Period, employees have “at will” employment status, with their work performance being monitored and assessed. During the Introductory Period an employee may be terminated from employment at any time with or without cause. This Introductory Period and its terms and conditions may be extended by the Vice President primarily responsible for Human Resources at the request of the respective college or cabinet member. Employees who satisfactorily complete the Introductory Period are granted “continued employment status” in accordance with KCTCS Board policies and administrative policies and procedures regarding continued employment status.

An employee may access the KCTCS independent third party appeal process during her/his Introductory Period only in cases involving allegations of statutorily prohibited discrimination.
Faculty and staff employed under a tenure contract, tenure-track contract, or term contract do not have a formal Introductory Period and are not eligible to earn continued employment status; they are governed under the terms of their employment contract (see KCTCS policies and procedures regarding contracts).

2.1.2 Full-Time Faculty
A full-time faculty member is an employee of a KCTCS college who is qualified for appointment to one (1) of the academic ranks listed in Policy Subsection 2.1.3 and ordinarily has full-time teaching duties or has other teaching related duties (e.g. research, academic administration, librarians, counselors) equivalent to a full-time teaching load and fulfills the duties and responsibilities of a faculty member.

2.1.3 General Criteria for Ranks
(OCTC-KCTCS Faculty Hired 2004 and Thereafter; All Other Full-Time Faculty Who Select This Criteria) Faculty Hired in Former UK Personnel System or Prior to 2004 in a Community College are grandfathered under 2003-2004 promotion criteria.
Faculty Hired in Former Kentucky TECH System or Prior to 2004 in a Technical College are grandfathered under 2003-2004 promotion criteria. For eligibility for promotion in rank, see administrative policy 2.6.

2.1.3.1 Instructor
The title Instructor designates a person whose services are primarily teaching or other teaching-related duties (e.g. research, academic administration, librarians, and counselors), advising, community service, professional development, and institutional service based on the planning document agreement. In occupational/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. The minimum academic degree for faculty teaching in professional, occupational and technical degree areas must be at the same level at which the faculty member is teaching. The typical combination is a baccalaureate degree with appropriate work experience. In the pre-baccalaureate program, faculty must meet the credential qualifications as stated in the Southern Association of Colleges and Schools’ Principles of Accreditation.

2.1.3.2 Assistant Professor
Promotion to the rank of Assistant Professor will be made when colleagues, the division chairperson/director of library services, the chief academic officer, or the chief student services officer and the president of the college determine that the individual has a current capacity for quality teaching or other teaching-related duties, quality student relations, and community service; and that the individual has demonstrated a genuine concern in fulfilling the mission of the college. The evaluation of the individual’s performance should be determined by the use of current objective evaluative instruments. Initial employment may be made at the rank of Assistant Professor at the discretion of the college president after consultation with the chief academic officer and the appropriate division chair.

2.1.3.3 Associate Professor
Promotion to Associate Professor 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 college mission. The individual also shall have earned recognition for educational leadership.

2.1.3.4 Professor
Promotion to the rank of Professor will be an indication that the individual is an outstanding faculty member who has been recognized for leadership at the college and at the system level and who has
demonstrated excellence in assigned areas of activity and in professional development as related to the mission of the college. This rank is in recognition of quality and depth of performance and achievement rather than length of service.

2.1.3.5 Review Periods (All Eligible Faculty)
Track A: (Continuing Status/Continued Status/Term Contract Status)
Full-time faculty at the rank of Instructor shall serve three (3) years at the rank of Instructor to be eligible for promotion to Assistant Professor. Faculty at the rank of Assistant Professor shall serve three (3) years at the rank of Assistant Professor to be eligible for promotion to the rank of Associate Professor. Faculty at the rank of Associate Professor shall serve six (6) years at the rank of Associate Professor to be eligible for promotion to the rank of Professor.

Track B: (Tenure Track/Tenure Status)
An individual shall not remain as an Instructor for more than three (3) years. If after that period promotion to a higher rank cannot be justified, the individual's appointment 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 results in accordance with 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.

2.1.2.1 Librarians (Faculty)
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 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 librarian as reflected on the annual planning document 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 librarian is evaluated by the director of library services.

2.1.2.2 Counselors (Faculty)
Counselors employed by OCTC are expected to address specific duties as assigned by the chief student services officer or other designated supervisor. The college’s academic programming encompasses four general areas: developmental, continuing education/community service, occupational/technical, and pre-baccalaureate. The 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 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 counselor as reflected on the annual planning document agreement. Each counselor may, in addition, be given other assignments that are in keeping with institutional priorities, program needs, and individual expertise. The counselor will be evaluated annually by the chief student services officer or other designated supervisor.

2.1.4 Types of Appointments Applicable to All Faculty
All recommendations for appointment to the faculty of KCTCS 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 colleges. All recommendations for appointment to the faculty must originate with the appropriate administrative officer after due consultation with the appropriate Associate and Professor 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.

2.1.4.4 Emeritus Professors

Upon retirement, tenured status, continuing status, and continued status faculty members will retain their titles with the designation "emeritus". Personnel with emeritus status are entitled to the following rights and privileges:

1. To be included in faculty lists in KCTCS bulletins and, upon request, to be provided mailboxes by their 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 receive KCTCS identification cards;
5. To attend, without voting privileges, meetings of the Senate;
6. To participate, upon invitation, as a non-voting member of a division or college faculty;
7. To participate in academic processions;
8. To be appointed to represent KCTCS at academic ceremonies at other institutions; and
9. To take part generally with the faculties in all social and ceremonial functions of KCTCS.

Faculty Appointment and Assignment

2.3.2 Faculty Appointment and Assignment Periods

Faculty are normally assigned on a 10-, 11-, or 12-month basis dependent upon program and curriculum needs and as allowed under their respective personnel system. 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). Assignments of regular status faculty members shall be on 9 month (academic year), 10-month, 11-month, or 12-month basis within a fiscal year dependent upon program and curriculum needs. However full-time faculty covered under the administrative regulations effective on June 30, 1998 for KRS Chapter 151B are employed only on a 12-month basis.

Faculty members employed on a 9-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 a KCTCS temporary assignment 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 9-month assignment period salary for the fiscal year in which the activity occurs.

Faculty members employed through a 10-month assignment basis shall be normally available for participation in academic activities from August 1 through May 31, or during any other 10-month period, which has been established after consultation with the affected faculty members and approval by the Chancellor. All regular-status, full-time faculty members on a 10-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 college and has advance approval by the college president, a faculty member employed on a 10-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 10-month basis may be permitted to engage in a temporary assignment during an interim between 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 employment during such an interim shall not exceed 1/217 or 1/10, respectively, of an individual’s regular, 10-month assignment period salary for the fiscal year in which the activity occurs.

Faculty members employed on an 11-month assignment basis shall be normally available for participation in academic activities from August 1 through June 30, or during any other 11-month period, which has been established after consultation with the affected faculty members and approved by the Chancellor. All regular status full time faculty members on an 11-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, with advance approval by the college president, a faculty member employed on an 11-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 11-month assignment basis may be permitted to engage in a temporary assignment 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 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.

A faculty member employed on a 9-month, 10-month, or 11-month assignment basis shall not engage in two (2) or more assignments during an interim between two (2) regular assignment periods unless a request for such has been forwarded through the college president and approved in advance by the 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 regular-status, full-time faculty members on a 12-month assignment basis shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period, unless otherwise specified in the rules of their respective personnel system. 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 12-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 if allowed under their respective personnel system. Temporary-status 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.
Credentials of the Faculty
OCTC is committed to recruiting faculty members whose highest degrees earned are from a broad range of regionally accredited institutions. KCTCS Administrative Policy 2.1, (Attachment A) defines the minimum required degrees and credits for faculty members in each area of concentration:

- College credit courses intended for transfer to the university and part of the Kentucky Baccalaureate Transfer Framework, faculty must possess the credential qualifications required of SACS-COC, which includes “at least a master’s degree and 18 graduate semester hours (GSH) in the teaching discipline or…a minimum of a master’s degree with a major in the teaching discipline.”
- Developmental or remedial studies courses (not applied towards degree completion or designed for college transfer), faculty must possess “a bachelor’s degree in a discipline related to the teaching assignment and either teacher experience in the discipline or graduate training in remedial education.”
- Technical, occupation, workforce, or associate of applied science courses for college credit (courses not designed for transfer), faculty must possess “at least an associate’s degree in the related teaching field and…five years of recent work experience exclusive of teaching.”

Faculty Responsibilities
2.5.1.1 Instruction
The primary function of a faculty member 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 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 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 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 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
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 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.

2.5.1.1.2 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.

2.5.1.1.3 External Service - Community Service
Responsibility for service across the broad spectrum of the community to meet needs not met by formal degree programs is shared by faculty. 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, see Performance Review section) and evaluation of a faculty member's contribution to the college. Community service as extensions of the faculty member's role as a teacher 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.

2.5.1.1.4 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.

2.5.1.1.5 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.

Academic Freedom
OCTC is committed to safeguarding and protecting academic freedom. Faculty are to have the freedom to examine all pertinent data, to question assumptions, to pursue scholarly inquiry without undue restriction, and to voice and publish their conclusions concerning the significance of evidence that they consider relevant. The policy also recognizes that faculty must carry out their teaching responsibilities in a professional, ethical manner and in compliance with the law. It requires that faculty remain within the bounds of good taste and the usual properties of public debate.

Performance Review
A common process of annual performance, planning, and evaluation for full-time faculty and staff is followed by OCTC. The purpose of annual performance review is individual and institutional improvement. A Performance, Planning, and Evaluation Form (APPENDIX B) 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:

- August 30– Supervisor completes the Planning Stage by meeting with the faculty and staff to establish goals for the upcoming academic year.
- December/January – 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. Faculty Performance Review
As part of a continuing program of improvement and growth both in the instructional and non-instructional areas, OCTC utilizes 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 Performance, Planning, and Evaluation Program Form (PPEPF) and the Distribution of Effort Agreement (DOEA), which may be used in conjunction with the PPEPF, completed by the chief academic officer, division chairperson, 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. A standard Student Evaluation of Instruction Form will be used for consistency. (See Appendix C for Student Evaluation of Instruction Form) 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 PPEPF and/or DOEA.
2.5.1.1 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.

2.5.2.2 Standard Evaluation Form
A standard Performance, Planning and Evaluation Form (APPENDIX B) 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 DOE, will provide: a legend explaining the descriptive rating categories for the overall performance evaluation; space for an overall written evaluation and recommendations for improvement; and spaces for the signatures of the faculty member, the, to the chief academic officer, Associate Dean of Academic Affairs, and the president. 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 OCTC president and by the KCTCS Human Resources’ office.

2.5.1.2.1 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. Consistently Exceeds Expectations of Job Requirements (EE) - Job performance is continuously performed in an exceptional manner. Contributions significantly exceed expectations and requirements based on established success criteria, with exceptional quality, quantity, and timeliness of work. Consistently achieves outstanding results well beyond those expected of the position and helps achieve KCTCS strategic objectives and goals.

2. Meets and Frequently Exceeds Job Requirements (ME) - Job performance consistently exceeds the expectations and requirements for the position based on established success criteria. Contributions exceed expected criteria for quality, quantity, and timeliness of work. Achieves results beyond those expected for the position.

3. Fully Meets Job Requirements (M) - Job performance consistently meets the expectations and requirements for the position based on established success criteria. Contributions occasionally exceed expected criteria for quality, quantity, and timeliness of work.

4. Some Improvement Needed to Meet Job Requirements (NI) - Certain job duties are performed capably; however, improvement in quality, quantity, and/or timeliness of work is required in order to fully meet expectations and requirements for the position based on established success criteria. (Performance will be evaluated again in 6 months. Failure to achieve an acceptable level of performance at that time may result in disciplinary action and/or termination of employment.)

5. Does Not Meet Job Requirements (F) - Performance throughout the rating period has not met the job requirements and expectations for the position based upon established success criteria. Significant and immediate improvement in quality, quantity, and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment. A Performance Improvement Plan will be immediately developed by the supervisor to facilitate improvement by the employee. Performance will be re-evaluated based on the Performance Improvement Plan and the evaluation goals in at least 3 months, in 6 months, and again thereafter if determined necessary. Failure to achieve an acceptable level of performance at that time may result in disciplinary action and/or termination of employment.
2.5.1.3 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 Associate Dean of Academic Affairs 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 college president, and agreement will be 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, Associate Dean of Academic Affairs, department head, or the college president 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 president (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 DOE. 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 DOE 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 President’s Role
The President of OCTC is responsible for the communication of the procedures to be used in the performance review to the faculty members of the college, prior to the beginning of each review process. The evaluation instruments or forms to be used by OCTC will be developed by the college, adapted from KCTCS policies, and will involve consultation with the appropriate faculty. The President shall provide the 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 President shall review and finalize performance evaluations recommended by the chief academic officer. Where there are differences, a conference will be held between the President and the chief academic officer to discuss the rating of each individual in the attempt to resolve any differences in judgment. There will be only one (1) official rating, that being assigned by the college president.

2.5.2.4 Chief Academic Officer’s Role
The chief academic officer in conjunction with the Associate Dean of Academic Affairs, 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 college president) 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 the 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 college. The chief academic officer will recommend an evaluation category to the college president. The chief academic officer or Associate Dean of Academic Affairs 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 Associate Dean of Academic Affairs during this meeting.

2.5.2.5 Associate Dean of Academic Affairs Role
The Associate Dean of Academic Affairs 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 dean and the chief academic officer (and the president) 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 college. The chief academic officer will recommend an evaluation category to the college CEO. The chief academic officer or Associate Dean of Academic Affairs 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 Associate Dean of Academic Affairs 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 Associate Dean of Academic Affairs during this meeting.

2.5.1.3.1 Biennial Ratings
The performance of non-tenured faculty will be reviewed annually. At the discretion of the president, 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.

2.5.1.4 Appeals
The faculty member will be provided opportunities for appeal at both the college and the KCTCS System levels. After consultation with appropriate faculty members, each college president will annually appoint a Faculty Performance Review Appeals Committee to hear appeals made by a faculty member, who, after a conference with the president, remains in disagreement with the rating received. After an appropriate hearing, the Committee will make a recommendation to the president, who will accept or reject the recommendation of the 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 Committee will meet in a central location to hear the appellant, the president, and
the applicable division dean 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. A final stage personnel dispute resolution, involving an independent
third party is available to faculty.

2.5.1.4.1 Schedule
The schedule (subject to change) for the review and evaluation process is:
On or before June 30 - Supervisor completes the performance evaluation planning stage for 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.

2.5.1.5 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 Associate
Dean of Academic Affairs/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.

Faculty Hiring Process
It is the aim of the college to recruit and select outstanding faculty members in support of the
combined mission of Owensboro Community & Technical College. The president or designee is
responsible for all college appointments including the appointment of search committees, the
appointment of faculty members, and the conducting of the faculty orientation process. The college
president is responsible for developing the procedures that adhere to the policies of the KCTCS
Board of Regents regarding employment.

2.3.1. Faculty Recruitment and Search for Faculty
Prior to advertising of a faculty position, a chief academic officer or designee, in collaboration with
the appropriate academic unit, must assure that:

Position Description and Identification
A. The vacant position is identified and authorized subject to availability of funds.
B. The current essential functions of the position are properly described and documented,
including minimum requirements, preferred skills and experience, and any required and/or
preferred licensures and/or certifications.

Position Advertisement and Recruitment
C. The college Director of Human Resources or designee, in conjunction with
KCTCS Diversity Programs and/or KCTCS Employment, is responsible for using
appropriate recruitment methods that secure a quality candidate pool. Increased recruitment
emphasis should be implemented to obtain a representative pool. A list of recommended advertising media may be obtained from KCTCS Employment. EEO guidelines will be followed.
D. The position vacancy is advertised, including the minimum requirements, current essential functions, and required and/or preferred licensures and/or certifications. An Equal Employment Opportunity statement must be included in the advertisement.

Advisory Search Committee Formation
E. The responsibility for recruiting faculty members is entrusted to the college president in consultation with a faculty advisory search committee appointed by the college president or designee and appropriate administrators. Search committees are normally comprised of the designated administrative official responsible at the applicable college, the appropriate division chairperson, faculty members representing the academic unit in which the appointment is to be made, and faculty members outside the academic unit in which the appointment is to be made. The search committee chairperson may be elected by the committee or appointed by the college president or designee as determined by the college president.

Responsibilities of the Search Committee Chairperson
F. The chairperson is responsible for communicating the committee’s official charge to committee members as soon as is reasonably possible after completion of the search committee formation and appointment or election of the chairperson. The committee charge is signed/approved by the college president or designee and assists in the determination of the interview and selection criteria for the position. The chairperson of the search committee is required to keep the president or designee of the college informed about the progress of the search. The chairperson is also responsible for appropriately informing the faculty of the applicable college about the status of the search process. The chairperson works closely with the college Director of Human Resources or designee to set up (an) organizational meeting(s) and deliver search committee guidelines and materials to committee members in addition to arranging candidate interviews and completing necessary documentation for the committee.

Candidate Screening and Interviewing
G. An advisory search committee’s selection criteria for the vacancy are properly established in consultation with the college Director of Human Resources or college president designee, and the screening and interviewing processes are implemented.
H. Employment and personal history inquiries are conducted according to hiring procedures specified in KCTCS Policy 2.18 as well as search committee procedures.
I. Generally, three (3) or more candidates are recommended by the Advisory Search Committee for an interview, based on their meeting or exceeding the established criteria and position requirements.
J. Of the selected interviewees, the finalists are selected to be interviewed by the college president or designee.
K. Recommendations for appointment are made by the Advisory Search Committee to the college president or designee. The college president reviews the committee’s recommendation and determines if an employment offer will be extended.
L. If the employment offer is not accepted, the college president or designee may extend an offer to another candidate, continue, or terminate the search.
M. Either before or at the time of interview of an individual for an appointment to the faculty, the college president or designee shall inform the individual about appointment, promotion, and tenure policies and shall provide access to these policies as requested.
N. In the event that no recommendation is made, the search may be re-opened or terminated at the discretion of the college president.
2.3.3 Orientation
1. At the time a contact is issued, an individual should be informed of general items regarding criteria for academic rank by the unit administrator, if applicable.

2. The college president or designee shall inform each new faculty member within one 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;

   c. The Rules and Bylaws of the OCTC College Assembly;

   d. The rules and procedures of the new employee’s division; and

   e. Student Rights and Responsibilities, available in the Student Handbook.

All applicable federal, state and local laws, as well as applicable college policies and procedures for hiring and appointments, must be followed.

2.11 Work Load
Faculty work load shall be assigned in an equitable manner within campus locations, according to BOR 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.

2.11.1 Work Load
The division dean with the approval of the president 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 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 fulltime occupational/technical instructor shall be determined by the president but shall not exceed thirty (30) hours.

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 Internal Faculty Overload
1. Restrictions on Internal Overload for Faculty-Internal overload within the educational unit for faculty 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 president’s responsibility to evaluate the budgetary impact of a proposed overload and to determine, after due consultation with the faculty member, the division
dean, 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 by the chief executive officer but shall not exceed thirty. 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 president 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. Overload payment requests must be documented using appropriate forms and submitted to the HR Office as notification by the president 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.

2.5 Appointment, Promotion and Review Process

Following appropriate review periods not exceeding in duration those described above, all persons of associate professor or higher rank shall be given tenure or shall not have their appointments renewed; all persons of assistant professor rank shall be promoted to associate professor with tenure or shall not have their appointments renewed. Established appointment, promotion, and review procedures shall be followed in making these decisions. A tenured associate professor who has not received a recommendation for promotion for six (6) years shall be considered for promotion, and a recommendation by OECT’s president, either affirmative or negative, shall be made to the KCTCS chancellor during the seventh (7th) year. If the recommendation of the president is negative, the KCTCS chancellor shall advise the faculty member of the decision not to recommend promotion and shall give the faculty member an opportunity to submit a promotion file to the KCTCS Senate Advisory Committee on Promotion, a committee made up of an elected representative from each college, for evaluation. Within thirty (30) calendar days of notification by the chancellor, the faculty member shall reply in writing to the chancellor either accepting or declining this opportunity for an evaluation of the faculty member's file by the KCTCS Senate Advisory Committee on Promotion. In the case of acceptance, the Senate Advisory Committee on Promotion shall review and evaluate the file and recommend to the chancellor in the usual manner. In case of declination, the provision of another opportunity for consideration of the faculty member's promotion by the KCTCS Senate Advisory Committee on Promotion shall not be mandatory until six (6) more years have passed.

Procedure for Promotion and Granting of Tenure

The president of Owensboro Community and Technical College:

1. Initiates the proposal;
2. Supervises the gathering of vitae with the required and supporting material including the written opinions of the tenured faculty of the appropriate division;
3. Secures the advice of the division chairperson;
4. Secures the advice of the College Advisory Committee on Promotion;
5. Approves or disapproves the proposal at the level of Instructor to Assistant Professor. Notifies the faculty member and the division chairperson;
6. Forwards to the Chancellor recommendations for promotions at the levels of Assistant
Professor to Associate Professor and of Associate Professor to Professor; and
7. Notifies the faculty member and the division chair if the proposal is approved or disapproved after the proposal goes through all of the steps and a decision is made.

The KCTCS Chancellor:
1. Reviews proposal for completeness;
2. Secures the advice of the KCTCS Senate Advisory Committee on Promotion;
3. Forwards recommendations for approval to the KCTCS President; and
4. Notifies the college president once the proposal is approved or disapproved.

The President of KCTCS:
1. Reviews the proposals;
2. Submits recommendations for approval to the Board of Regents for final action; and
3. Notifies the KCTCS chancellor if the proposal is disapproved.

The Board of Regents:
1. Takes final action.

**Promotion and Tenure**

2.6 Promotion in Rank (All Eligible Faculty) 2.6.1 Definition of Faculty Eligible for Promotion in Rank Faculty as defined in Board of Regents Policy 2.1.1 are eligible for promotion in rank.

2.6.2 Promotion in Rank Process (All Eligible Faculty)
The president of the college, after consultation with the appropriate division chairperson/director of library services and/or chief academic officer or chief student services officer, is responsible for initiating the promotion process by inviting a faculty member to prepare a vita and appropriate supporting materials. The invitation letter to the faculty member should be issued on or before May 31 with the portfolio format. With the assistance of the faculty member and the division chairperson, the president of the college is responsible for gathering supporting materials and submitting the promotion file. The president of the college has the responsibility for ensuring that each promotion file is complete and contains the advice of the appropriate division chairperson and six or more faculty letters, including at least all Associate and Professor division members located on the same campus. Faculty letters should be addressed and sent to the college president. The college president also has the responsibility, along with the division chairperson, for ensuring that the 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. The president shall ensure that the College Advisory Committee on Promotion (CACP) reviews and advises on some or all recommendations to appoint or promote. The college president is 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 Promotion (CAPC). These actions are reported by the college president to the Chancellor. Recommendations for appointment to the ranks of Associate Professor and Professor, with or without tenure, must be forwarded to the Chancellor. The KCTCS Senate Advisory Committee on Promotion (KCTCS Senate ACP) will make its recommendation to the KCTCS President or designee, the Chancellor. The positive recommendation by the KCTCS President will be given final action by the Board of Regents. Whenever a promotion is disapproved and stopped by the president, the Chancellor, or the KCTCS President, the faculty member will be informed in writing by the president of the college of the action taken. The KCTCS President or designee, the Chancellor, shall report the KCTCS Senate ACP’s recommendation and the decision to the college president in writing with reason(s) for the disapproval. The reason(s) for the disapproval shall be included in a written letter from the college president to the faculty member. A conference shall be called by the college president to discuss, informally, the disapproval and reason(s). The director of library services/division chairperson and/or chief academic officer or chief student services officer may be included in the discussion at the request of either the college president or the faculty member.

2.6.2.1 Promotion from Associate Professor to Professor
After review by the local College Advisory Committee on Promotion, the president of the college will make a recommendation, either affirmative or negative, in writing to the Chancellor as specified
in annual promotion timelines. Individuals being considered for the rank of Associate Professor and Professor who have a negative recommendation from the college president will be notified by the president of that recommendation and, in the case of a Professor candidate, be given the opportunity to submit a promotion file directly to the KCTCS Senate ACP. Those individuals with tenure, seeking the rank of Professor, who choose not to have their files reviewed by the KCTCS Senate ACP will thereby begin 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 college president and those who choose to have their file reviewed, even though there is a negative recommendation by the college president, will be considered for promotion in the usual manner. Individuals being considered for promotion to either Associate Professor or Professor are expected to complete a promotion review notebook. The recommendations by the local College Advisory Committee on Promotion on all promotions shall be signed by all members of the committee and the vote of the committee given.

2.6.2.2 Promotion from Assistant Professor to Associate Professor or Professor

Proposals for promotion to Associate Professor will follow the process described in Section 2.6.2. In each case, the president of the college will either approve the proposal and forward an affirmative recommendation to the Chancellor or disapprove and stop the proposal, informing the faculty member in writing and notifying the appropriate chief academic officer or chief student services officer and the appropriate division chairperson/director of library services. When the Chancellor receives the promotion file containing the president's recommendation, the Chancellor will obtain a related recommendation from the KCTCS Senate Advisory Committee on Promotion (ACP) and then will either approve the proposal and forward an affirmative recommendation to the President of the KCTCS or disapprove and stop the proposal and notify the president of the college. When the President of KCTCS receives the Chancellor's recommendation, the President of KCTCS 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 who, in turn, will notify the president of the college of this action in writing with reason(s). In a case where the Board of Regents takes final action, the President of KCTCS, through the Chancellor, will inform the president of the college about the Board's action. The president of the college, in turn, will notify the faculty member in writing with reason(s) and also inform the chief academic officer or chief student services officer and the appropriate division chairperson/director of library services.

2.6.2.3 Promotion from Instructor to Assistant Professor

The president of the college has been delegated authority to approve or disapprove promotions from Instructor to Assistant Professor. An approved action will be communicated through the Chancellor to the President of KCTCS who will report it to the Board of Regents of KCTCS. In case of disapproval of such a promotion, the president of the college will inform the faculty member in writing and notify the chief academic officer or the chief student services officer and the division chairperson/director of library services. Tenure Track- An individual shall not remain as an Instructor for more than three (3) years. If after that period promotion to a higher rank cannot be justified, the individual’s appointment shall not be renewed.

2.6.2.4 Failure to Support Administrative Action for Promotion

Whenever a recommendation to promote is disapproved by either the Chancellor or the President of KCTCS, this decision must be reported to the president of the college with supporting reasons in writing, and an opportunity must be provided for a thorough discussion among the concerned parties. The president of the college shall notify the faculty member in writing of the decision and shall include the reason(s). The president of the college will initiate the discussion with the faculty member. The director of library services/division chairperson, chief academic officer, and/or chief student services officer may be included in such a discussion at the request of the president of the college or the faculty member. Any related appeals through administrative channels and/or the KCTCS Senate Advisory Committee on Appeals (KCTCS Senate ACA) must be initiated in writing by the faculty member within thirty (30) days after being notified in writing by the president of the college of the decision to disapprove the recommendation to promote. The faculty member’s appeal shall be in writing, shall be addressed to the Chancellor, and shall be sent through the college
president’s office. It shall state and explain the appeal under inadequate consideration and/or incomplete procedure (See Administrative Policy 2.16.2). For continuing status, continued status, term contract status faculty, and all Professors (Promotion Tracks A and B), the KCTCS Senate ACA shall follow committee review of the record procedures. For tenure track faculty members for the ranks of Assistant and Associate Professor, the KCTCS Senate ACA shall follow formal hearing appeal procedures developed by the committee.

2.6.2.5 Promotion Committees
1. College Advisory Committee on Promotion (CACP)
   This committee shall be comprised of a representative from each of the divisions and one representative from the non-teaching faculty (librarian/counselor). Members of the committee shall be at the Associate Professor rank or above. The college president shall, after consultation with faculty, appoint the committee. Committee representatives who have direct responsibility for required faculty performance evaluations shall not participate in the consideration of said faculty member’s files. In addition to the appointed committee members, the college president shall appoint the CACP Chair for a two-year term. The CACP Chair may be reappointed for one additional two-year term.

   Terms of CACP members – Appointed members shall serve a one-year term. Appointed members may be reappointed on an annual basis to serve up to three consecutive years. The committee shall submit a recommendation to the college president (with the committee vote and signature of each member in attendance). Reasons for the recommendation, including strengths and weaknesses, will be noted. The college president shall review the portfolio and the recommendation and, in the case of a candidate for Associate Professor or Professor, forward the portfolio with the president’s letter of recommendation to the Chancellor. Upon review by the CACP, promotions from Instructor to Assistant Professor may be approved by college president and a letter submitted to the Chancellor with a copy to the faculty member. In the event a candidate for Associate Professor or Professor is denied at the local level, the college president shall send the Chancellor a letter stating such denial with a copy to the faculty member. In the case of a candidate for Professor, the college president shall contact the faculty member in writing to present the option of submitting the portfolio for review by the system committee (KCTCS Senate Advisory Committee on Promotion) in the regular system portfolio review process.

2. KCTCS Senate Advisory Committee on Promotion (KCTCS Senate ACP)
   This committee shall consist of one member and one alternate from each district who hold the rank of Associate Professor or Professor appointed by the KCTCS President from recommendations made by each district by the KCTCS Council. A minimum of five members shall review each file. Terms – In the initial appointment, eight (8) members and eight (8) alternates will be appointed for two-year terms; eight (8) members and eight (8) alternates will be appointed for a one-year term. Thereafter, members will be appointed for two-year terms. The committee shall make a recommendation to the KCTCS President (with the committee vote and signature of each member in attendance). The committee shall give in writing the reason(s) for a negative recommendation. The KCTCS President or designee, the Chancellor, shall report the committee’s recommendation and the decision to the college president in writing. The college president will notify the faculty member in writing. In the event of a decision to deny, the reason(s) shall be included in the letter from the college president to the faculty member. A conference shall be called by the college president to discuss the negative recommendation or reason(s).

3. KCTCS Senate Advisory Committee on Appeals (KCTCS Senate ACA)
   This committee shall consist of seven members (5 members and 2 alternates). The KCTCS President shall appoint the members from recommendations made by each district by their respective KCTCS Council member. In the initial appointments, four (4) members shall be appointed for two-year terms; and three (3) members shall be appointed for one-year terms. Thereafter, members shall be appointed for two-year terms. The committee shall decide whether to hear the appeal. For continuing status, continued status, term contract faculty, and all Professors (Promotion Track A and B), the committee
shall use a committee review of the record format. For tenure track faculty (Assistant and Associate), the committee shall use a formal appeal hearing format developed by the committee.

Faculty denied promotions have 30 days from receipt of the final letter to deny promotion from the college president to file an appeal. The basis for all appeals shall be inadequate consideration and/or incomplete procedure. The appeal, which is to be sent through the college president’s office, shall be addressed to the Chancellor in writing and the facts for the reason(s) for the appeal —inadequate consideration and/or incomplete procedure, shall be stated and explained.

2.6.2.6 Promotion Timelines
1. On or before May 31, the college president shall invite faculty members to become a candidate for promotion by sending them an invitation letter and a copy of the portfolio format.
2. Timelines—Standard Promotion Process for Assistant, Associate Professor, Professor:
   ♦ Annual Performance reviews for Promotion Candidates-January through the first week of February.
   ♦ Deadline for submitting promotion folders to CACP-on or before Monday of the second week of February,
   ♦ Deadline for CACP to forward to college president-last day of the first week of March.
   ♦ Deadline for college president to forward to Chancellor-third week of March.
   ♦ KCTCS Senate AC Committee meets the second week of April.
   ♦ Appeal Timeline: Once written notice of disapproval is received, a faculty member has 30 working days to appeal the decision.

2.6.3 KCTCS Rank and Promotion Guidelines for Term Contract Faculty
2.6.3.1 Definition: Term contract faculty are those full-time teaching faculty offered non-tenured contracts for specific contract terms as specified in administrative policy.
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, term 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. The faculty member must be invited to apply for promotion according to existing promotion procedures. (See Administrative Policies 2.1 (Track A) and 2.6).
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 deny promotions for term 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.
5. An approved action by the college CEO will be communicated through the Chancellor to the President of KCTCS, who will report it to the KCTCS Board of Regents.
6. In the case of denial, the college CEO will inform the faculty member in writing, including the reasons, and also notify the Associate Dean of Academic Affairs. 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 denial from the college CEO, utilizing existing appeal timelines and processes.
2.6.3.3 Timeline
Standard Promotion Process for Assistant, Associate Professor, Professor:
• Annual Performance Reviews for Promotion Candidates – January through first week of February.
• Deadline for submitting promotion folders to college faculty promotion peer committee - on or before Monday of the second week of February.
• Deadline for college president to forward to Chancellor – third week of March.

2.8 KCTCS Employee Separation
*KCTCS Administrative Policies and Procedures – Effective date March 11, 2005*
There are four (4) categories of separation of employment for KCTCS employees:
• Non-renewal of Appointment
• Termination
• Resignation
• Retirement
When an individual leaves employment, college human resources officers shall attempt to conduct an exit interview to discuss the reasons for leaving KCTCS. During the exit interview, the employee may provide insights into areas for improvement that KCTCS can make. Every attempt shall be made to keep all information confidential.
Any KCTCS property such as office or computer equipment, keys, parking passes or credit cards shall be returned to KCTCS at the time of separation. The employee shall be responsible for any lost or damaged items. The value of any property issued and not returned may be deducted from the employee’s paycheck, and the employee may be required to sign a wage deduction authorization form for this purpose.

2.8.3 Resignation
*KCTCS Administrative Policies and Procedures – Effective date November 20, 2009*
Employees in all employment status categories shall provide the proper notice as specified in KCTCS administrative policies and procedures in order to not adversely impact KCTCS operations. Resignations shall be given early enough to obviate serious inconvenience to KCTCS. To leave “in good standing”, regular status and temporary status non-exempt staff employee shall give at least two weeks written advance notice, unless otherwise specified in the terms of their contract. To leave “in good standing”, regular and temporary exempt staff employees shall give at least one month written advance notice. Faculty members are requested to give written notice of their intent to resign as soon as possible and no less than three (3) months in advance. This advance notice requirement may be waived by the college president/CEO.
Employees under the KCTCS personnel system, the UK personnel system, or the administrative regulations for KRS Chapter 18A, who have not worked for one year, are not on an approved leave of absence, and did not otherwise terminate or resign, shall be deemed to have resigned at the end of that year. For employees under the administrative regulations for KRS Chapter 151B, this issue is addressed in the administrative regulations located in Appendix I.

Return of OCTC Property
Any OCTC property issued to you, such as office equipment or computer equipment, keys, parking passes, and credit cards must be returned to OCTC 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.
CHAPTER THREE

ACADEMIC PROGRAMS, COMMITTEES, POLICIES, STUDENT RIGHTS AND RESPONSIBILITIES

Owensboro Community & Technical College offers the following degrees:

Associate of Arts Degree

Associate of Science Degree

Associate of Fine Arts Degree
   Theatre Track
   Visual Arts Track

Associate of Applied Science Degrees
   Agricultural Technology
   Automotive Technology
   Business Administration
      Accounting Track
      Management Track
      Turf Grass/ Landscaping Management Track
   Criminal Justice
      Law Enforcement Track
      Criminal Justice Track
      Corrections Track
      Security/Loss Prevention Track
   Computer and Information Technology
      Applications Track
      Computer Science Track
      Information Security Track
      Internet Technologies Track
      Network Administration Track
      Network Technologies Track
      Programming Track
   Computerized Manufacturing and Machining
   Diesel Technology
      Agriculture Diesel Technician Track
      Construction Equipment Technician Track
      Medium and Heavy Truck Technician Track
   Education
      Teacher Associate Track
      Teacher Preparation Track
   Engineering and Electronics Technology
   Electronics Track
   Industrial Track
   Mechanical Track
   Electrical Technology
   Construction Electrician Track
   Industrial Electrician Track
   Motor Controls Electrician Track
   Fire Rescue Technology
   General Occupational/Technical Studies
   Healthcare Facilities Leadership
   Horticultural
   Science Track
   Business Track
   Human Services
   Interdisciplinary Early Childhood Education
   Medical Information Technology
   Medical Administrative Track
   Medical Coding Track
   Electronic Medical Records Track
   Medical Office Management Track
   Medical Transcription Track
   Nursing
   Office Systems Technology
   Radiography
   Surgical Technology

The college currently offers numerous diploma and certificates embedded within the Associate of Applied Science degree programs. A complete list of diploma and certificate programs are available in the College Catalog or through the OCTC Web Site at http://www.octc.kctcs.edu/Academics/Academic_Programs_of_Study.aspx.
Distance Learning
OCTC and KCTCS are partners in the Kentucky Virtual Campus (KYVC) delivering quality online courses. Through KYVC, OCTC offers a variety of online Associate degrees taught online.

Discover College
Discover College is a collaborative program between ten area high schools and Owensboro Community and Technical College intended to give students the opportunity to earn college credit while still in high school—some of which is at no cost to the student. Courses in Discover College are taught on both high school and college campuses. The program consists of the following options:

Concurrent Enrollment Programs
Courses taught at the high school in the specific programs. Students will receive both high school and college credits. (Courses may vary, depending on the high school.)

Dual Enrollment College-Based Programs
Students in these programs attend classes for half a day on the OCTC Downtown, Southeastern or Main campuses.

Early College Program
Students spend a portion of or the entire senior year on the OCTC campuses—earning both high school graduation credit and college credit at the same time. Students assume tuition and book costs and must provide their own transportation. This is a Selective Admission program.

Institutional Committees
Participation in committee and action teams by all faculty and staff serves to support the institutions in the accomplishment of specific tasks and strategic goals. It enables faculty and staff to come together from cross functional areas to participate in the governance, advisory, and leadership functions of the college. All members of the college will serve on at least one committee or action team.

Administrative Council
This is the primary representative forum which serves as a decision making body for the college. With representatives from all divisions and units of the college, it serves to communicate, to review and discuss issues, and to make recommendations to the college.

Committees with defined tasks that must be completed each year to carry out a specific programmatic or advisory focus are as follows:
- College Advisory Committee on Promotion (CACP)
- Faculty Appeals
- Student Appeals
- Scholarships
- Professional Development
- Library Resources
- Safety and Grounds
- Nature Committee
- Special Events
- Allied Health Admissions

Elected Committees: Two committees with specific governance and programmatic functions have elected representation. These committees are:
- Rules Committee
- Curriculum Review Committee (CRC)

Ad Hoc Committees: Cross functional committees that serve specific cross functions for a specific time frame may be created based on need.
Classroom Policies

Syllabus

Copies of each syllabus must be submitted electronically to the division dean’s office within two weeks following the beginning of the semester. Faculty may modify the syllabus guide to suit the needs of their course, but each syllabus must include the following:

a. The course description verbatim from the catalog
b. Course objectives
c. Exams or papers to be assigned during the course
d. Policies concerning grading, attendance, make-up exams, “W” grades, and the final exam
e. Course information that does not coincide with the Academic Calendar (faculty who teach courses that have different beginning and ending dates from those stipulated in the Academic Calendar) must specifically list these items:
   • Beginning date
   • Midterm date
   • End of class work date
   • Final exam date
f. Availability to students, office hours, office location, phone and email contact information;
g. For all general education courses, statements describing the cross-curricular general education competencies and their implementation in the course.

Faculty should address any questions concerning the syllabus format to their division dean.

Syllabus Checklist

http://www.owensboro.kctcs.edu/~media/Owensboro/Faculty_Staff/OCTC%20Syllabus%20Checklist%202010-10-03.ashx

Suggested items for inclusion on the course syllabus:

1. Semester and year
2. Course title and number
3. Prepared by (faculty)
4. Course description-from college catalog
5. Course content-a student has the right to be informed in reasonable detail in writing at the first or second class meeting about the nature of the course and to expect the course to correspond generally to its official description.
6. Textbooks required-including author, title, publisher and their address, copyright date, and edition if applicable.
7. Supplemental textbooks or material needed for the course.
8. Absence policy-the absence policy must be specific. A student who is doing unsatisfactory work or who is irregular in attendance in any course should be reported to the Retention/Intervention Specialist. The syllabus must clearly explain the absence policy and its end effect, particularly it includes a provision that excessive absenteeism will have an adverse effect upon the student’s grade.
9. Grade policy-should be specific as to how the grades during the semester and the final grade are to be tabulated. Whenever factors such as absences or late papers will be weighted heavily in determining grades a student shall be so informed, in writing, at the first or second class meeting. Therefore the grade policy should clearly state how tests, quizzes, papers, absences and other factors are weighted for the overall grade in the class.
10. Withdrawal policy, grade “W”-although students may withdraw from a course at any time during the semester, midterm is the last day for students at their discretion, to officially withdraw from a class and receive a grade “W”; after midterm, it is the instructor’s responsibility to assign a grade “W” or “E”, for student who withdraw. Therefore, the policy should clearly state what the instructor will/will not do after the midterm date.
11. Testing/Exam policy—the instructor must inform students of the testing/exam/quiz policy for each course. It should include the number and type of exams as well as whether or not a final exam will be administered. Each instructor should determine if a final is appropriate for the course. If final exams are not given in a course a statement should address the criteria on which the student will be graded.

12. Course objectives
13. Methods of instruction
14. Course outline
15. Assignments

16. Make-up days—Make-up days for any sessions canceled due to inclement weather or other emergencies will be scheduled as the discretion of the instructor or the president of the college or his designated representative will publish the specific policy for doing this during the semester.

Graduation Exercises
The faculty and administrative staff are required to participate in graduation exercises.

Cancellation of Classes for Insufficient Enrollment
In scheduling classes it is important to note the need for a sufficient number of students. In some instances classes must be cancelled due to insufficient enrollment. Decisions regarding cancellation are made by the Vice-President of Academic Affairs in consultation with the division associate dean.

End of Semester Procedure
At the end of each semester, each faculty member must submit the following:

- Incomplete Grade Sheets (name) (for each student given an incomplete grade) to the Office of Student Records.
- Grade sheets for all students to the Office of Student Records electronically.

Academic Records
All faculty members teaching classes are expected to maintain up-to-date records of all class attendance and up-to-date grades of all students in their classes. Record books are provided for this purpose. Numerical scores or letter grades should be accompanied by an adequate explanation as to how they were derived. Adjunct faculty must submit record books at the end of the semester and/or summer session.

Field Trips
Field trips for classes are permitted and encouraged, but they must be approved at least two weeks in advance by the Vice-President for Academic Affairs. Also, a list of students participating must be submitted as well as departure/returning dates/times and specific details concerning the purpose of the trip. Upon approval, the Vice-President for Academic Affairs will notify all faculty of the decision and will provide a list of students who will be involved in the field trip to the faculty. Field trips for student organizations are permitted and encouraged, but they must be approved at least two weeks in advance by the Vice-President of Student Services. Also, a list of students participating must be submitted as well as departure/returning dates/times and specific details concerning the purpose of the trip.

Information Technology and Computing Procedures
Information Technology (IT) Support is available to all faculty and staff. Anyone experiencing problems with computers or telephones should contact the Information Technology (IT) Director or Information Technology (IT) Technician on your campus. Support for faculty using instructional technology is available through the instructional support specialist on the Main Campus. All employees are required to read and sign the Acceptable Usage Policies as defined in the KCTCS Human Resources Handbook, verifying compliance with issues regarding information systems, email accounts, etc. OCTC employees comply with the KCTCS Policy Governing Access to and Use of Kentucky Community and Technical College System Computing Resources. All new employees are assigned an employee email account similar to the following format: John.Doe@kctcs.edu. Employees may access email from any computer with internet access. The personalized password expires every ninety days and can be reset from the https://webmail.kctcs.edu website. PeopleSoft is the administrative database management system which maintains student information, Human Resource information, and Business office functions. All teaching faculty have access
to PeopleSoft to see grades, class rosters, scheduled classes, a list of advisees and their completed classes. Access is assigned to all full and adjunct teaching faculties. Students are able to view their account information through the PeopleSoft Student Access website. Students can check grades, view their schedule, check on the status of financial aid, and make tuition payments, all online.

3.3.5 Intellectual Property
*KCTCS Administrative Policies and Procedures* – revised 10-28-08

It is the policy of KCTCS to recognize and encourage the individual effort on the part of its faculty, staff, other employees, and students that leads to the creation of intellectual property. As such, it is the intent of KCTCS to protect the rights of the individual and of KCTCS to provide for reasonable and appropriate sharing of any proceeds in the event that these creations have commercial value.

3.3.21.4 E-Mail Provisions That Apply to the Entire KCTCS Community
*KCTCS Administrative Policies and Procedures approved 4-30-99 – revised 11-2-2010*

3.3.21.4.1 Responsibilities

- KCTCS students and employees have an obligation to use their access to the Internet and e-mail in a responsible and informed way, conforming to network etiquette, customs, courtesies, and any or all applicable laws or regulation.

- As with other forms of publications, copyright restrictions/regulations shall be observed.

- KCTCS students and employees shall be aware that their conduct or information they publish could reflect on the reputation of KCTCS. Therefore, professionalism in all communications is of the utmost importance.

- KCTCS students and employees shall represent themselves and KCTCS accurately and honestly through electronic information or service content.

- E-Mail should be used for “appropriate business use” only. Those who choose to use e-mail to transmit highly sensitive or confidential information should be aware of the potential risks of sending unsecured transmissions. E-Mails of this nature should, at a minimum, contain a confidentiality statement.

3.3.21.4.2 Unacceptable Uses

Since e-mail provides for peer-to-peer communications between participants, it also has great potential for misuse. Use of KCTCS e-mail resources is a privilege that may be revoked at any time for inappropriate conduct. Any abuse of acceptable use policies is considered gross misconduct and may result in revocation of access, notification of KCTCS management, and disciplinary action up to and including dismissal. Examples of inappropriate conduct include, but are not limited to:

- Accessing another individual’s personal e-mail or files without their specific permission is considered gross misconduct. No one has authority to read another person’s e-mail unless explicitly given authority to do so by the owner of that e-mail.

- Using e-mail for personal gain or personal business activities in a commercial connotation such as buying or selling of commodities or services with a profit motive.

- Using e-mail for any illegal purposes, including initiating or receiving communications that violate any laws and regulations, including KRS 434.840-434.860 (Unlawful Access to a Computer) and KRS 512.020 (Criminal Damage to Property Law). This includes malicious use, spreading of viruses, and hacking. Hacking means gaining or attempting to gain the unauthorized access to any computers, computer networks, databases, data or electronically stored information.
• Using e-mail for transmitting statements, language, images or other materials that are reasonably likely to be perceived as offensive or disparaging of others based on race, national origin, sex, sexual orientation, age, disability, religious or political beliefs.

• Using abusive or objectionable language in either public or private messages.

• Using e-mail for disseminating, soliciting or storing sexually oriented messages or images.

• Misrepresenting, obscuring, suppressing, or replacing a user’s identity in e-mail. This includes the use of false or misleading subject headers and presentation of information in the distribution of e-mail.

• Using e-mail for sending or forwarding chain letters.

• Distributing or forwarding unsolicited commercial e-mail.

• Using e-mail for soliciting money for religious or political causes, or advocating religious or political opinions.

• Using e-mail to distribute personal information to include any information that constitutes an unwarranted invasion of personal privacy as defined in the Kentucky Open Records Act, KRS 61.870 or other state and Federal laws.

• Using e-mail for copying, disseminating or printing copyrighted materials (including articles, images, games, or other software) in violation of copyright laws.

• Using e-mail for other non-business related activities that will cause congestion, disruption of networks or systems including e-mail attachments.

Reference link:
Policy 4.2.5 Information and Information Technology Responsible Use Policy - http://www.kctcs.edu/employee/policies/volumeII/section4.cfm

3.3.21.5 Student E-Mail Policy
KCTCS Administrative Policies and Procedures approved 4-30-99 – revised 11-2-2010

3.3.21.5.1 KCTCS Colleges Use of E-Mail
E-Mail is an official method for communication at KCTCS colleges. Students are responsible for the consequences of not reading, in a timely fashion, KCTCS college-related communications sent to their official KCTCS student e-mail account.

3.3.21.5.2 Application for Student E-Mail Accounts
Students will receive access to a KCTCS student e-mail account within 24 hours of initial enrollments. Students must access their account over the Web at https://webmail.kctcs.edu/. A student e-mail account created on the KCTCS Web is the official e-mail address to which KCTCS colleges will send e-mail communications. This official address will be recorded in the KCTCS colleges' electronic directories and records for that student. The official address will end in the domain name "kctcs.edu".

3.3.21.5.3 Expectations Regarding Student Use of E-Mail
Students are expected to check their official KCTCS e-mail on a frequent and consistent basis in order to remain informed of KCTCS college-related communications.
KCTCS offices cannot validate that a communication coming by e-mail is from a student unless it comes from a valid KCTCS address. If students make queries to KCTCS administrative offices or faculty from "nickname" e-mail accounts (Hotmail, AOL, etc.), they may be asked to resubmit their query using an official KCTCS account.

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3.3.21.5.4 Faculty Expectations and Educational Uses of E-Mail
Faculty members may require e-mail for course content delivery, class discussion, and instructor conferencing and may specify course-related e-mail policies in their syllabi. Faculty may also require students to confirm their subscription to a KCTCS college-provided mailing list.

3.3.21.5.5 Appropriate Use of Student E-Mail
All use of e-mail will be consistent with other KCTCS policies and local, state, and federal law, including the Family Educational Rights and Privacy Act of 1974 (FERPA).

3.3.21.5.6 Forwarding E-Mail
Students should not forward their KCTCS e-mail to another e-mail account. Having e-mail lost because of forwarding does not absolve a student from the responsibilities associated with communication sent to his or her official e-mail address. The KCTCS colleges are not responsible for the handling of e-mail by outside vendors or unofficial servers.

3.3.21.6 Responsibilities
1. This policy is issued by the President of KCTCS. The KCTCS Chief Information Officer is responsible for maintenance of this policy.
2. Office of Technology Solutions shall provide users of KCTCS electronic communications resources with instructional material based on this policy.
3. Colleges are responsible for creating guidelines on usage of this policy.

Educational Rights and Privacy
6.2 Educational Rights and Privacy Act
FERPA, or 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 the college 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 the college 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 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.

6.2.5 Waiver of Student’s Rights
Students may waive any or all of their rights under the Act. Waivers are not required 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 college shall have access to nor shall the college 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 college reserves the right, as allowed under the Act, to disclose education records or components thereof without written consent to:

1. Personnel within the college 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 college 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 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 college 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 college 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.

6.5 Policies and Procedures for Disabilities Services
Owensboro Community and Technical College is committed to providing equal educational opportunity and full participation for persons with disabilities. No otherwise qualified person with a disability be excluded from participating in any program or activity, be denied the benefits of any program or activity, or otherwise be subjected to discrimination with regard to any program or activity. A person with a disability must be ensured equal access to programs, opportunities and activities at the college. 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 the college. The combined efforts of all 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 OCTC has 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).
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 OCTC has the responsibility to:
1. Provide appropriate settings for our 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 programs, services, jobs, activities, and facilities available through OCTC.
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.

6.5.2.2 Every student with a disability has the responsibility to:
1. Meet OCTC 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 procedures for obtaining and using reasonable and appropriate accommodations.

6.5.3 Policy Guidelines
1. The 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 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.
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.
CHAPTER FOUR
PERSONNEL RECORDS

2.4 KCTCS Personnel Records
KCTCS Administrative Policies and Procedures approved 4-30-99 revision 4-21-09

Each college and the System Human Resources Office, as applicable, shall maintain a personnel file on employees for the purpose of review as appropriate. The System Human Resources Office shall maintain the official file for active employees. The college president shall designate a custodian to maintain an official file for active college employees.

Colleges are responsible for keeping a file for their active college employees. The System Human Resources Office is the official repository for employee files. After a period of inactivity of not less than two (2) academic years, the inactive files are to be transferred to the Kentucky Community and Technical College System Human Resources Office for archiving. Records may not be removed or destroyed except in accordance with applicable state laws.

The types of documents maintained and retained in the personnel files may include, but are not limited to:
1. Application for Employment;
2. Résumés or Curriculum Vitae;
3. Payroll activation and authorization records;
4. Vacation and temporary disability records (which should be forwarded by the department/division as completed), excluding records which include medical information;
5. Emergency contact form;
6. Performance Evaluations and related documentation, along with copies of performance reviews, including the performance review agreement and professional development plan;
7. Disciplinary Records, Consultation Reports, and other related documentation;
8. Separation Sheets;
9. Diplomas, certificates, training records, official credentials, including a current official transcript, and related documentation regarding personal accomplishments;
10. All official correspondence between the unit administrator and employee concerning appointment or status, including employment contracts;
11. Copies of publications and published reviews or letters concerning publications and/or copies of materials relating to creative productivity;
12. Equal opportunity compliance forms;
13. Salary and fringe benefits data; and
14. Any additional information that the employee wishes to place in this file that pertains to the employee’s professional background or accomplishments.

2.4.1 Responsibility for Faculty Personnel Records
KCTCS Administrative Policies and Procedures Effective date 4-30-99, revision 4-21-09

Because all considerations of promotion (and tenure, where applicable) require thorough documentation of the faculty member's record of pertinent activities in the Kentucky Community and Technical College System, as well as the relevant actions involving the individual's faculty status, the college president and the individual faculty member shall jointly ensure that the personnel file includes current documents that relate to credentials and performance.

It shall be the responsibility of the faculty member to provide official credentials (i.e., curriculum vitae and transcripts) and the college president’s office to provide faculty performance reviews and evaluations, performance review agreements, and the professional development plan 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.
2.14 Leaves of Absence

KCTCS Administrative Policies and Procedures - Effective 6-22-98, revised 1-4-07

Opt Over Banked Leave Balances

KCTCS employees under the UK personnel system or 18A/151B personnel system who exercise their one-time election to opt over to the KCTCS personnel system without a break in service shall bank existing vacation/annual leave, compensatory leave, and sick/temporary disability leave balances. These banked balances shall be available for use subject to the leave policies under the KCTCS personnel system. KCTCS policies shall govern new leave accumulations.

Continuous Service Credit for Employees Who Elect to Opt Over

For KCTCS employees who exercise their one-time election to opt over to the KCTCS personnel system, their length of service for benefits calculations shall be their combined, uninterrupted service for KCTCS and the University of Kentucky Community College System, Lexington Community College, or the Commonwealth of Kentucky prior to the transfer to KCTCS set forth by statute. They shall retain their original service date.

2.14.1 Faculty and Staff Vacation Leave

KCTCS Administrative Policies and Procedures – Effective 6-22-98, revised 1-4-07

KCTCS provides vacation with pay to any regular full-time and eligible regular part-time faculty and staff. Vacations are to be scheduled at times that are convenient to the department with due consideration given to the department. The department supervisor shall be responsible for scheduling vacations to allow for adequate staffing to meet the departmental work load. This scheduling may specify periods during which some or all employees may not take vacation leave.

Employees shall earn vacation leave/annual leave based on their position title, duration category, time worked category, the personnel system under which they are governed; KCTCS policies, procedures, and regulations; and applicable laws. Employees shall confirm eligibility for vacation leave with their supervisor and follow all policies and procedures for requesting and/or reporting vacation leave.

All paid vacation leave requires the approval of employees’ supervisor in order to be considered excused leave time. Employees shall request from their supervisor, in advance of each absence unless that is not possible, the approval of vacation leave, using the official KCTCS absence record/request form (located on the KCTCS website Forms page) in accordance with KCTCS Business Procedures regarding absence record procedures. An official KCTCS absence record/request form shall be submitted for each absence prior to any vacation being taken. In addition to the official KCTCS absence record/request form, colleges may also use a vacation leave planning form to plan at the beginning of the academic year vacation leave for the whole year; however, this form shall be used for planning purposes only, rather than for the purpose of requesting and/or recording vacation leave time. Absence record/request forms, and time sheets if applicable, shall accurately reflect the amount of vacation leave taken during any given pay period. Local payroll and/or human resources staff shall use standardized methodology to track the earning of and usage of vacation leave. A deduction of leave time shall be recorded in leave records as the leave time occurs.

Employees may use vacation leave for absences due to illness and other health-related reasons. When requesting approval for an absence due to an illness or health-related reason, employees and supervisors shall contact and collaborate with the human resources staff to explore whether or not the absence qualifies for Family Medical Leave (FML). The KCTCS FML request form shall be completed and submitted in order for a final determination to be made. If the absence does qualify as FML, it shall be subject to the provisions of that policy and the Family Medical Leave Act. Approved FML shall run concurrent with other paid and unpaid leave time.

Employees on vacation leave who become ill or injured while on vacation may substitute TDL during the period of temporary disability upon providing written certification of a
physician. The employee shall be responsible for obtaining the physician’s certification and requesting the substituted time through their supervisor by the end of the pay period in which the absence occurred. The employee shall make any necessary corrections on their timesheet/absence record and obtain appropriate signatures in order to complete substitution of time.

Employees shall exhaust all available and applicable paid leave time, including applicable banked leave, if necessary during the duration of the leave. Excessive non-FML absenteeism, including unplanned absences, and tardiness are disruptive, and either violation may lead to disciplinary action, including termination of employment.

The subsequent policies further address faculty and staff vacation leaves. In addition, provisions regarding leaves of absence shall be adhered to in accordance with other KCTCS policies and human resources procedures related to attendance and leaves, including KCTCS policies regarding unauthorized absences and leaves and unpaid medical leaves of absence.

2.14.1.1 Faculty Vacation Leave

KCTCS Personnel System and UK Personnel System

Regular 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. Regular part-time faculty members who work 50 percent or more of a full-time schedule on an annualized basis earn a pro-rata share of vacation days annually. Temporary faculty members, along with regular part-time faculty who work less than 50 percent of a full-time schedule on an annualized basis, shall not earn vacation leave.

In addition to their vacation leave earned under the KCTCS personnel system, faculty who opted over from the 18A/151B personnel system shall retain their balance of banked vacation leave earned under that personnel system. The banked balance shall not increase but may be used in accordance with this policy.

Except for emergencies or other special reasons as approved by the college president/CEO, faculty shall not take vacation during the academic year while classes (including labs, clinicals, committee work, advising, office hours, and other responsibilities assigned by the supervisor and college officials) are in session. 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 emergencies or other special reasons, leave is approved by the college president/CEO.

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 if allowed under their respective personnel system. For regular full-time faculty members on a ten (10)-month or eleven (11)-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 president/CEO, 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.

18A/151B Personnel System

For employees under this personnel system, additional provisions regarding annual leave is addressed in the provisions of their retirement plan and in the Kentucky Administrative Regulations for KRS Chapter 18A and KRS Chapter 151B in effect as of June 30, 1998, located in Appendix I (Section 2) of this manual.
2.14.1.2 Staff Vacation Leave

KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 1-4-07

Available vacation leave shall be taken only after it has been accrued and in increments of no less than .25 hours when approved.

KCTCS Personnel System

Regular full-time and regular part-time employees who work 50 percent or more of a fulltime scheduled on an annualized basis, KCTCS provides you with vacation pay.

Vacations are scheduled at times that are convenient to the department with due consideration given to employee preferences.

Regular full-time staff employees in a twelve-month position shall have an annual vacation allowance 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.

Regular full-time staff employees in an eleven-month position shall have an annual vacation allowance 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.

Regular employees who work less than ten months per year accrue no vacation allowance. In addition, temporary staff employees accrue no vacation allowance.

Vacation earned is earned monthly on the 15th of the month and is available for use on the sixteenth day of that month (including the months during the new employee introductory period) for the months in which employees are in a paid status for a minimum of half of the month. Vacation leave may be used when credited and scheduled with the supervisor. Monthly vacation accruals are as follows:

<table>
<thead>
<tr>
<th>Assignment Period</th>
<th>12 Months/year</th>
<th>11 Months/year</th>
<th>10 months</th>
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<tr>
<td>0-5 years of</td>
<td>1.25 days/month</td>
<td>1.1 day/month</td>
<td>1 day/month</td>
</tr>
<tr>
<td>6 years and over</td>
<td>1.67 days/month</td>
<td>1.5 days/month</td>
<td>1.4 days/month</td>
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Paid vacation leave is earned for a month when employment commences on or before the fifteenth day of the month.

Employees in an unpaid leave of absence for more than half of the month do not accrue vacation leave during that month.

In addition, no paid vacation leave is accrued in the final month of employment when termination occurs on or before the 15th day of the month.

In addition to their vacation leave earned under the KCTCS personnel system, staff who opted over from the UK personnel system or the 18A/151B personnel system shall retain their balance of banked vacation leave earned under that personnel system. The banked balance shall not increase but may be used in accordance with this policy.

Part-time employees accumulate vacation on a pro-rata basis. If the scheduled work week is not to be consistent throughout the year, the pro rata percentage to full-time shall 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 eligible part-time employees who work 50 percent or more of a full-time schedule on an annualized basis.

An employee’s balance of vacation leave earned under the KCTCS personnel system is limited to a maximum of 40 days at any given time. An employee shall forfeit the balance of vacation leave in excess of the 40-day limit that was earned under the KCTCS personnel system.

UK Personnel System

Regular full-time staff employees and part-time staff employees who work 50 percent or more of a full-time scheduled on an annualized basis who are absent shall be granted paid vacation leave if they have an available leave balance and if the requested leave is
approved.
Regular full-time staff employees in the following groups and employed on or after 07/01/83 shall accrue paid vacation leave as follows.
1) Any administrative and professional staff employee earns vacation as follows:
   a. 15 days each year during the first five years of continuous service, and
   b. 20 days each year during the sixth year and each year of continuous service thereafter.
2) Any office and clerical, service and maintenance or technical and scientific staff employee earns vacation as follows:
   a. 10 days each year during the first three years of continuous service,
   b. 15 days each year during the fourth through the ninth year of continuous service, and
   c. 20 days each year during the tenth year and each year of continuous service thereafter.
Any regular employee with an assignment of 0.5 FTE or greater and employed before 07/01/83 shall receive vacation leave in accordance with the policy in effect at the time of that employee’s employment as long as that employee has not been involved in a personnel action (i.e. promotion, demotion, transfer etc.) in which the exempt/nonexempt position status changed.
Regular part-time staff employees who work 50 percent or more of a full-time schedule on an annualized basis shall accrue vacation leave in an amount for the hours and/or days worked, directly proportionate to the amount received by full-time staff employees. The principle governing pro rata percentages under this policy is to provide, within reasonable limits, an equitable allocation of paid vacation for an eligible employee who is not full-time but who works half-time or more.

18A/151B Personnel System
If approved, paid annual leave shall be granted subject to the terms specified in the Administrative Regulations for KRS Chapters 18A and 151B effective on June 30 1998, located in Appendix I Section 2.

2.14.9 Holiday Leave
KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 6-29-11.
Designated Holidays
KCTCS observes the following holidays, with all departments and offices closed with the exception of those departments and offices in which continuous service is essential (see below): Martin Luther King Day, President’s Day, Good Friday (1/2 day), Memorial Day, Independence Day, Labor Day, Presidential Election Day, Thanksgiving Day, and Day after Thanksgiving Day. When a KCTCS designated holiday falls on a Saturday, KCTCS will observe that holiday on Friday. If the KCTCS designated holiday falls on a Sunday, KCTCS will observe that holiday on Monday. The KCTCS holidays will be listed on the KCTCS website.
In addition to these holidays, KCTCS will observe a two-week institutional closing beginning in December, which will include the day before Christmas Eve, Christmas Eve, Christmas Day, and New Year’s Day.
Regular faculty who are not assigned to provide essential services but remain available for meetings and other KCTCS business on site shall be paid during spring and fall break periods. Faculty are assumed available and may be requested to work during this time unless they have been authorized vacation or sick leave. Faculty leaving the area or who are unavailable for meetings and other KCTCS business on site shall request and use vacation/annual leave, sick leave if applicable, compensatory time if available, or unpaid leave. College and system office staff are not granted spring and fall break periods as paid holiday leave.
Holiday Leave Entitlement

While there are exceptions, eligible regular full-time employees shall be granted time off with pay on a holiday; in addition, eligible regular part-time employees who work a schedule of 50% or more of a full-time schedule on an annualized basis shall be granted holiday time off with pay on a pro rata percentage to full time. Regular part-time employees who work a schedule of less than 50% of a full-time schedule on an annualized basis shall not receive holiday leave with pay. Temporary employees shall not receive holiday leave with pay. Employees in a no pay status for any portion of either the scheduled work day(s) or leave day(s) that fall immediately before and after a holiday, shall not be paid for the holiday. Employees whose retirement occurs during a designated holiday period shall receive that holiday pay, ending with the effective date of their retirement.

If a holiday occurs while employees are on authorized paid vacation leave, paid sick/temporary disability leave, or compensatory leave, the employee shall not be charged vacation leave or sick/temporary disability leave time, or compensatory leave for the holiday.

Other Holidays

In addition to the normal designated 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 shall be charged to a vacation day or compensatory leave time, if available, or otherwise shall be unpaid. Other possible alternatives include, at the discretion of the supervisor, allowing employees to substitute one of the designated KCTCS holidays for a religious holiday, or the time taken for the employees’ religious holiday may be made up by working additional hours, provided the arrangement is completed within a reasonable period.

In addition to the KCTCS designated holidays, institutional closing days may be granted by action of the Board of Regents or the KCTCS President.

Working on a Designated Holiday

When essential services are required, designated employees who work on the KCTCS designated holiday shall have their paid holiday time off scheduled for another day as close to the holiday as possible (normally within six weeks of the holiday) that is mutually agreeable between the employee and KCTCS. The applicable pay rate for non-exempt employees who work on a holiday varies by personnel system. Exempt employees who are required to work on a holiday shall receive the regular rate of pay.

Related Policies

Additional provisions regarding holidays shall be adhered to in accordance with other KCTCS policies and human resources procedures related to holidays and leaves of absence. Other KCTCS polices and human resources procedures specify the terms for overtime pay during holiday leave and pay for work performed on a holiday. In addition, KCTCS has separate policies and procedures governing leaves due to institutional closing and emergency closing.

2.14.14 Bereavement Leave

KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 1-4-07.

KCTCS Personnel System

A regular full-time employee, or regular part-time employee who works a schedule of 50% or more of a full-time schedule on an annualized basis, shall be granted bereavement leave with pay as follows:

1. Up to five (5) working days for attending to funeral related matters in the case of the death of a parent, spouse, brother, sister, child (includes steps or halves of the same relationship), grandparent, grandchild, parent-in-law, brother-in-law, sister-in-law, domestic partner, step-parent, daughter or son of the employee’s spouse or domestic partner, and any other person who resides in
the employee’s household, or other persons with whom the employee has an “in loco parentis”* relationship. Upon request, the supervisor may authorize up to an additional two days of bereavement leave with pay for extenuating circumstances, such as extended, lengthy travel. Total bereavement leave with pay, including additional leave for extenuating circumstances, shall not exceed seven (7) working days.

2. Up to two (2) working days in the case of the death of an aunt, uncle, niece, and nephew. Upon request, the supervisor may authorize up to an additional two days of bereavement leave with pay for extenuating circumstances, such as extended, lengthy travel. Total bereavement leave with pay, including additional leave for extenuating circumstances, shall not exceed four (4) working days.

3. At the discretion of an employee’s supervisor, an employee may be granted bereavement leave with pay up to one-half of a working day to attend the funeral service of other relatives, associates, or close friends.

A “day” for bereavement leave purposes is defined as the number of hours an employee works in a regularly scheduled work-week on an annualized basis, divided by five (5).

In cases requiring absences in excess of the above allowances or other absences requested for funerals of other relatives or friends, approved time off shall be requested using other available leave as applicable or without pay if no other leave is available.

If requested, a portion of the available bereavement leave with pay may be used at a time subsequent to the day of the funeral, in order to address related estate/business matters. Regular part-time employees who are eligible for bereavement leave with pay as noted above shall receive bereavement leave for the scheduled work hours that fall within the leave period.

UK Personnel System

A regular full-time employee, or regular part-time employee who works a schedule of 50% or more of a full-time schedule or more on an annualized basis, shall be granted bereavement leave with pay as follows:

1. Up to five (5) working days for attending to funeral related matters in the case of the death of a parent, spouse, brother, sister, child (includes steps or halves of the same relationship), a step-child for whom the employee is directly responsible, and any other person who resides in the employee’s household, or other persons with whom the employee has an “in loco parentis”* relationship. Upon request, the supervisor may authorize up to an additional two days of bereavement leave with pay for extensive travel. Extensive travel is defined as travel distance greater than 100 miles, one way. Total bereavement leave with pay, including additional leave for extensive travel, shall not exceed seven (7) working days.

2. Up to two (2) working days in the case of the death of a direct descendant grandparent, grandchild, aunt, uncle, niece, and nephew, a step-child for whom the employee is not directly responsible, mother-in-law, father-in-law, brother-in-law, sister-in-law, son-in-law, or daughter-in-law. Upon request, the supervisor may authorize up to an additional two days of bereavement leave with pay for extensive travel. Extensive travel is defined as travel distance greater than 100 miles, one way. Total bereavement leave with pay, including additional leave for extensive travel, shall not exceed four (4) working days.

3. At the discretion of an employee’s supervisor, an employee may be allowed bereavement leave with pay up to one-half of a working day to attend the funeral service of other relatives, associates, or close friends.

A “day” for bereavement leave purposes is defined as the number of hours an employee works in a regularly scheduled work-week on an annualized basis, divided by five (5).

In cases requiring absences in excess of the above allowances or other absences requested for funerals of other relatives or friends, approved time off shall be requested using other available leave.
as applicable or without pay if no other leave is available. If requested, a portion of the available bereavement leave with pay may be used at a time subsequent to the day of the funeral, in order to address related estate/business matters.

Regular part-time employees who are eligible for bereavement leave with pay as noted above shall receive bereavement leave for the scheduled hours that fall within the funeral leave period.

### 18A/151B Personnel System

For employees under this personnel system bereavement leave is addressed in the Kentucky Administrative Regulations for KRS Chapter 18A and KRS Chapter 151B, located in Appendix I (Section 2) of this manual.

*“In loco parentis” means the employee has the day-to-day responsibilities for the care and financial support of a child or persons who had such a responsibility for the employee when the employee was a child. A biological or legal relationship is not necessary.*

### 2.14.4 Voting Leave

*KCTCS Administrative Policies and Procedure – Effective date 6-22-98, revised 1-4-07.*

**KCTCS Personnel System**

Employees who are eligible to vote in national, state, or local elections, are encouraged to exercise their voting privileges. Employee work schedules normally permit adequate time for employees to exercise their voting privilege, either before or after normal working hours. However, in the case where voting cannot be accomplished in off-duty hours, KCTCS shall grant employees time off with pay (not to exceed two hours) to vote on election day.

If employees desire time off to vote, they shall submit a request to their supervisor at least one working day in advance of the election.

If employees do not submit their request at least one working day in advance for time off to vote, they may still receive time off to vote but it shall be using vacation leave, compensatory leave, flexible scheduling, or leave without pay.

Regular full-time employees and regular part-time employees who work 50 percent or more of a full-time schedule on an annualized basis who accept a position as an election official shall use accrued vacation leave or compensatory leave for that absence.

**UK Personnel System**

Faculty and staff are encouraged to exercise their voting privileges at all national, state and local elections. Work schedules shall normally permit adequate time for faculty and staff to exercise their voting privileges, either before or after normal working hours, and it is encouraged that they use this period of time to vote whenever possible. When this is not possible, regular full-time faculty and staff entitled to vote may be granted time off from regular duties for up to four hours for the purpose of voting on election days. The employer may specify the hours during which employees may be absent from work for voting purposes.

Faculty and staff who are absent for such purpose shall not be subject to any penalty or deduction from pay. Faculty and staff who vote in distant communities are encouraged to exercise their right to vote by absentee ballot to avoid absence from work.

Regular full-time employees and regular part-time employees who work 50 percent or more of a full-time schedule on an annualized basis who accept a position as an election official shall use accrued vacation leave or compensatory leave for that absence.

### 18A/151B Personnel System

For employees under this personnel system unpaid leaves of absence is addressed in the Kentucky Administrative Regulations for KRS Chapter 18A and KRS Chapter 151B in effect as of June 30, 1998, located in Appendix I (Section 2) of this manual.

### 2.14.15 Jury Duty

*KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 1-4-07.*

Jury duty is recognized as a civic responsibility. Employees are encouraged to fulfill their obligations with regard to this service as citizens of the community. KCTCS shall
pay employees their regular salary for time served on jury duty. Employees shall submit to their supervisor a copy of the call to jury duty as soon as possible after receipt. Upon completion of jury duty each day, employees shall report back to work as soon as possible to resume their assigned work responsibilities. If employees are dismissed too late to return to work before their shift ends, or if they work a second, third or other variable work shift on a given day, employees shall report to work at the beginning of their next assigned work shift. Employees shall receive instructions from their supervisor, in advance of the assigned period of jury duty, for any further specific reporting expectations. Supervisors are encouraged to accommodate employees on second or third shifts whose jury duty interrupts normal sleep schedules. Employees shall be permitted to retain jury duty compensation, if received, in addition to their regular salary from KCTCS for paid time off for jury duty to help defray expenses while serving on a jury.

2.10 Faculty and Staff Tuition Assistance

KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 1-4-07.
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. In addition, KCTCS shall provide a tuition defrayal for regular employees other Kentucky postsecondary education institutions.
To facilitate career growth and to encourage personal and professional development of employees, the Kentucky Community and Technical College System shall provide a tuition waiver for regular full-time faculty and staff enrolled in KCTCS colleges. In addition, KCTCS shall 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 waiver or defrayal for courses taken at any postsecondary public institution.
2. For eligible employees, the maximum number of credit hours for which the tuition may be waived and defrayed shall be no more than six per term, with a combined maximum waiver and/or defrayal of 18 credit hours per academic year. Employees under the UK personnel system may have a tuition defrayal of up to eight credit hours at the University of Kentucky with a maximum a combined maximum defrayal and/or waiver of 18 credit hours per academic year; if more than six credit hours are scheduled in a semester at the University of Kentucky for these employees, then the number of classes shall not exceed two and their respective one- or two-credit hour labs.
a. Tuition waiver or defrayal is not available for audited, non-credit, continuing education, or community education courses.
b. If an employee registers for more hours than the maximum for which the tuition may be waived and/or defrayed, the excess tuition shall be paid by the employee.
3. The combination of summer sessions is considered as one term. Therefore, the combined total amount of tuition which may be waived and/or defrayed for summer sessions shall not exceed the normal tuition for six hours of credit, or eight hours of credit taken at the University of Kentucky for employees under the UK personnel system.
4. Fees other than tuition (e.g., breakage fees, books, etc.) shall not be waived or defrayed by the Kentucky Community and Technical College System.
5. Employees utilizing this policy 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 waiver or defrayal shall not be honored.
7. Employees utilizing this policy shall be permitted, with their supervisor’s or department head’s and the institution’s president/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 shall be made up within that regular workweek, resulting in no net loss of work time for which the employee shall be paid. As determined by the college president/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 shall be granted and the hours away from work do not have to be made up. Scheduling of classes and make up time shall be approved in advance by the employee’s supervisor or department head and the college president/ceo.

2.10.1 Dependent/Spouse Tuition Waiver
KCTCS Personnel System
Regular 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 shall apply to classes taken at KCTCS colleges.
2. The tuition waiver shall be for a maximum of six credit hours per academic term (fall, spring and summer).
   a. Tuition waiver shall not be available for audited, non-credit, continuing education, or community education courses.
   b. If a dependent/spouse registers for more hours than the maximum (six hours per term) for which the tuition shall be waived, the excess tuition shall be paid by the student.
   c. Only a maximum of six 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 six 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.
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.

UK Personnel System and 18A/151B Personnel System
This benefit is not available for employees under these personnel systems.

3.1 Equal Employment Opportunity
KCTCS Board of Regents Policies – Effective date 6-22-98, revised 6-12-09
KCTCS is an equal employment opportunity employer. Employment decisions are based on merit and business needs, and not on race, color, national origin, ethnic origin, gender, sexual orientation, age, religion, creed, physical or mental disability, veteran status, political affiliation or any other factor protected by law.
Equal employment opportunity notices are posted near employee gathering places as required by law. Additionally, they are posted on bulletin boards where employment opportunities are displayed and appropriate on-line communication systems. These notices summarize the rights of employees to equal opportunity in employment and list the names and addresses of the various government agencies that may be contacted in the event that any person believes he or she has been discriminated against.
It is the policy of KCTCS to comply with the Americans with Disabilities Act (ADA). KCTCS will not discriminate against any qualified employee or job applicant with respect to any terms, privileges, or conditions of employment because of a person's physical or mental disability. KCTCS will also make reasonable accommodation wherever necessary for all employees or applicants with disabilities, provided that the individual is otherwise qualified to safely perform the essential duties and assignments connected with the job and provided that any accommodations made do not impose an undue hardship on KCTCS.
The President of KCTCS is accountable for developing affirmative action plans consistent with the policies and formats of the KCTCS. The KCTCS Vice President primarily responsible for Human Resources is accountable for implementing affirmative action procedures, for reviewing all appointments, and for keeping appropriate records. While management is primarily responsible for seeing that KCTCS' equal employment opportunity policies are implemented, all members of the staff share in the responsibility for assuring that by their personal actions the policies are effective and apply uniformly to everyone. Any employees, including immediate supervisors, involved in discriminatory practices will be subject to disciplinary action, including termination.

3.3.2 Nepotism

*KCTCS Administrative Policies and Procedures – Effective date 6-22-98, revised 4-21-09.*
Specific approval from the KCTCS President or Vice President primarily responsible for Human Resources, as appropriate, is required before employees related by blood or marriage work in the same department or division. In most cases in which employees are related by blood or marriage, neither shall have supervisory or line authority over the other. Under KCTCS policy, persons related by blood or marriage include parents and children, husbands and wives, brothers and sisters, brothers- and sisters-in-law, mothers- and fathers-in-law, sons- and daughters-in law, uncles, aunts, nieces, nephews, and step-relatives in the same relationships. Applicants and employees shall be required to disclose the above blood or marriage relationships with other employees at the same college on the KCTCS nepotism disclosure form. Disclosure of this information is the responsibility of applicants. In addition, disclosure of this information is the responsibility of employees in the event of a marriage or another pertinent change in family relationships. Failure to disclose relationships is grounds for possible discipline or dismissal, or for removal from consideration in the employment selection process. If employees are currently employed as a supervisor or direct line subordinate of a relative by blood or marriage and have been so employed since prior to January 16, 1997, they may continue to work provided they comply with any relationship disclosure requests. The above-mentioned employees shall be ineligible for promotions which would establish or continue apparent violation of this nepotism policy (excluding faculty promotions in rank). In addition, provisions regarding nepotism shall be adhered to in accordance with other KCTCS policies and human resources procedures related to nepotism and employment selection.

2.16 KCTCS Personnel Dispute Resolution

*KCTCS Board of Regents Policies – Effective Date 4-30-99, revised 6-13-11.*

2.16.1 Informal Personnel Dispute Resolution Procedure
KCTCS firmly believes in openly communicating issues that affect employees and the work environment. Accordingly, KCTCS encourages employees to bring an issue or dispute with a coworker to discuss that issue or dispute directly with that individual. If a resolution is not reached, employees shall arrange a meeting with their immediate supervisor to discuss any concern, problem, or issue that arises during the course of employment. Any information discussed in such meetings is considered confidential to the extent possible. Retaliation against any employee for appropriate usage of open communication channels is prohibited. It is counterproductive to a harmonious workplace for employees to create or repeat rumors or office gossip. It is more constructive for an employee to consult his/her immediate supervisor immediately with any questions. Supervisors have the responsibility to respond promptly to these questions. All members of the faculty and staff of the Kentucky Community and Technical College System have full rights of communication with administrative officers of the Kentucky Community and Technical College System and Board of Regents through established administrative channels. KCTCS faculty and staff shall send official recommendations and communications to their immediate supervisor. The immediate supervisor, when requested, shall transmit these recommendations or communications, with any comments and recommendations, to the next higher supervisor.
2.16.2 Formal Personnel Dispute Resolution Procedures
All members of the faculty and staff of the Kentucky Community and Technical College System are entitled to appeal any decision affecting terms of their employment by the Kentucky Community and Technical College System through regularly established channels. The Kentucky Community and Technical College System policies and procedures in no way limit the KCTCS President from communicating with members of the faculty and staff, nor do they prevent communication among members of the faculty, staff, administrative officers and the Board of Regents for purposes other than the submission of official recommendations and communications.

In accordance with KRS 164.586, the KCTCS Board of Regents has established a personnel dispute resolution system that is available to all employees. The personnel dispute resolution system includes appeal processes through the faculty KCTCS Senate Advisory Committee on Appeals, the KCTCS Complaint Resolution Procedure, and the KCTCS Independent Third Party Appeal Process.

For faculty appeals related to termination and the procedures used in the promotion process, a faculty member may submit an appeal to be heard by the faculty KCTCS Senate Advisory Committee on Appeals.

The KCTCS Complaint Resolution Procedure is a multi-stage appeals process available for designated types of complaints by faculty and staff, beginning with a review by the employee’s immediate supervisor and may progress through established administrative channels. Through the Complaint Resolution Procedure an employee shall make an oral complaint concerning a violation, misinterpretation or improper application of a specific personnel statute, regulation, safety procedure or policy.

The KCTCS President is authorized to promulgate formal complaint and appeals procedures to comply with KRS 164.586.

After completion of the appeals processes through the faculty KCTCS Senate Advisory Committee on Appeals or the KCTCS Complaint Resolution Procedure, employees may access the KCTCS Independent Third Party Appeal Process for designated types of complaints, as defined in the KCTCS Board of Regents policies regarding the independent third party appeal process.

3.3.1 Harassment-Free Workplace


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 or be subject to criminal offense(s) against a person or property motivated in whole or in part by an offender’s bias against a race, religion, disability, ethnic origin or sexual orientation. A hostile work 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 alleged harassment, the college Human Resources Office or KCTCS Office of Legal Services must be notified immediately in order to fully investigate the claim. When the organization receives notification of alleged 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 by contacting the college or KCTCS Human Resources Office, KCTCS Office of Legal Services, or a KCTCS Administrator. Appropriate investigation and disciplinary action shall be taken. All reports shall 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 of employment. KCTCS will also take any additional action necessary to appropriately remedy the situation. Retaliation of any sort will not be tolerated. No adverse employment action will be taken against any employee making a good faith report or allegation of harassment. All reports shall 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 of employment. KCTCS will also take any additional action necessary to appropriately remedy the situation. Retaliation of any sort will not be tolerated. No adverse employment action will be taken against any employee making a good faith report or allegation of harassment. Allegations of retaliation shall be reported and processed in the same manner as allegations of harassment or discrimination.

KCTCS accepts no liability for harassment of one employee by another employee or for retaliation against an employee for reporting harassment. 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.

3.3.25 Workplace Violence Policy
Administrative Policy and Procedures – Effective 7-22-02.
The college 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. The college will not tolerate intimidation, threats of violence, and/or acts of violence committed by or against employees or members of the public, while on college property or while performing business at other locations. College 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 college campuses, etc.
3.3.25.1 Prohibitions

Administrative Policy and Procedures – Effective 7-22-02

OCTC strictly prohibits acts of intimidation, threats of violence, and/or acts of violence in the workplace, on campus or other locations where college 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 fistwaving/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 OCTC or KCTCS business is conducted.

3.3.25.2 Employee Responsibilities

Administrative Policy and Procedures – Effective 7-22-02

It is the responsibility of every OCTC 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-inline supervisor, who is not a party to the violation, or directly to the HR office
- 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 the college. 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

Administrative Policy and Procedures – Effective 7-22-02

Assess situations, make judgments on the appropriate response, respond to reports of or knowledge of violence, document incidents, and consult the HR Director.

- 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 college employees have committed acts of threats and/or violence.
- When employee safety is a concern, supervisors should evaluate the workplace and make appropriate recommendations regarding a reasonable response.
3.3.12 Sales and Solicitation

*KCTCS Administrative Policies and Procedures Effective date 6-22-98, revised 5-23-06.*

So that employees may perform their duties free from interruptions, KCTCS prohibits employees from making unauthorized sales to or solicitation of employees and the general public on KCTCS property. Unauthorized sales or solicitation may include, but is not limited to, collection of money, political campaigning, solicitation of subscriptions or the sales of merchandise, e.g., housewares, cosmetics, food, tickets and raffles.

Various approved charitable organizations may, from time to time, conduct on campus solicitations of contributions from employees. An approval determination shall be made by the college president/ceo, or for the system office location by the appropriate KCTCS President’s Cabinet member or designee. These approved charitable solicitations may be carried out by (1) use of the KCTCS mail service and (2) access to the payroll deduction system.

Except for an employee whose job responsibilities include sales duties, any solicitation by an employee for sales of any kind of merchandise, publications, or services, or solicitation of items such as subscriptions, is prohibited, except upon permission of the college president/ceo, or for system office employees the appropriate KCTCS President’s Cabinet member.

This policy does not prohibit the placement of brochures, pamphlets, or order forms in designated areas.

Notices and announcements that employees wish to send to all college employees, to all system office employees, and/or to large groups of employees shall be approved in advance through the college president/ceo or designee. System office employees shall obtain approval from the appropriate KCTCS President’s Cabinet member or designee.

**OSHA Training**

In accordance with OSHA regulations, all OCTC employees must participate in regular trainings in hazardous materials and blood borne pathogens safety procedures. The training sessions, facilitated by a member of the OCTC faculty or staff, will include a review of Materials Safety Data Sheets (MSDS), a quiz, and a training verification. Every employee, including student workers, must attend these training sessions.

3.3.13 KCTCS Substance Abuse

*KCTCS Administrative Policies and Procedures – Effective date 4-30-99, revised 4-21-09*

**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 KCTCS Chancellor/Vice Presidents.

**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 KCTCS colleges, whenever a supervisor witnesses the unlawful possession, use, dispensation, distribution, or manufacture of controlled substances by an employee, that supervisor shall notify the college president/chief executive officer who shall (1) immediately notify the appropriate police authority, (2) suspend the employee pending further investigation, and (3) inform the college chief official for Human Resources. The college president/chief executive officer in conjunction with the employee's supervisor and the 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 KCTCS Vice President primarily responsible for Human Resources. 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 KCTCS Vice President primarily responsible for Human Resources, in conjunction with the college president/chief executive officer, 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.
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 college president/chief executive officer 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 college president/chief executive officer with the 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 college president/chief executive officer with the 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 college president/chief executive officer when an 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.
3.3.13.1.5 Student Employees
If evidence confirms that a student employee has violated this policy, the college president/chief executive officer with the 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.
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 KCTCS Chancellor/KCTCS Vice Presidents.

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 college president/chief executive officer who shall (1) suspend the employee pending further investigation and (2) inform the college chief personnel officer. The college president/chief executive officer in conjunction with the employee's supervisor and the 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, the college president/chief executive officer, with the employee's supervisor and the 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 college president/chief executive 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 is 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 suggests substance abuse, the employee shall be referred to the appropriate local rehabilitation health service by the college president/chief executive officer. The decision to acknowledge problem drinking and accept therapeutic intervention rests with the employee, and participation in an employee assistance program or rehabilitative 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 college president/chief executive officer shall monitor the progress of the employee, and inform the employee's supervisor of the employee's progress and anticipated safe return to the job. If an employee with problem drinking and/or poor work refuses or fails therapy, then the college president/chief executive officer, in conjunction with the employee's supervisor, shall institute an appropriate work performance evaluation and action.

3.3.17 Kentucky Community and Technical College System Emergency Response/Crisis Management Policy

KCTCS Administrative Policies and Procedures Effective 4-30-99, revised 4-21-09.

3.3.17.1 Purpose

It is the purpose of this policy to establish the criteria for Emergency Response and Crisis Management Plans that are to be maintained by all KCTCS Colleges and the System Office. The National Safety Council recommends that all facilities have a written response plan, including procedures for emergencies that are most likely to occur at the facility. OSHA standards require a planned response for every facility. Homeland Security Presidential Directive 5 requires State Agency implementation of the National Incident Management System (NIMS). The KCTCS Board of Regents has adopted the NIMS and authorized the KCTCS President to implement it through development of a Crisis Management Plan which is applicable and consistent across the System. For
the purpose of this policy, a **crisis** is defined as any unplanned event that can cause deaths or significant harm to employees, students, or the public or that can shut down business, disrupt operations, cause physical or environmental damage, or threaten the institution’s financial standing or public image. The **crisis** may take the form of an **emergency** requiring immediate action to save lives and protect property. OSHA standards require the following:

Facilities must have an Emergency Response Plan that addresses the actions employees must take to assure their collective safety during an emergency.

The Emergency Response Plan must include information on applicable emergency procedures for general evacuation, fire reporting, medical emergencies, bomb threats, tornado safety, notification procedure for deaths, hazardous material releases, earthquakes or structural failure, armed robbery, and media-related events.

All employees (including employees who are new to a facility) must be trained to respond to various emergencies that may occur. Employees must be notified whenever there are major changes to the procedures.

### 3.3.17.2 Emergency Response and Crisis Management Team

The System Office, each College, and each campus shall have an Emergency Response and Crisis Management Team in place, appointed by the KCTCS President, the College President, or Campus Director as appropriate for each location. The System Office team shall include, at a minimum, the KCTCS President, Legal Counsel, Chancellor, Vice Presidents, Director of Employee Relations, System Director of Facilities Management, Director of Safety, the Chief Information Officer, and any others that may be deemed appropriate. The College team shall include, at a minimum, the College President, the Chief Business Officer, the Chief Student Affairs Officer, a representative of Human Resources, the Safety Officer, and the Public Information Officer. The team for each extended Campus location will be determined by the Campus Director in consultation with the College President. Each team shall name one member as Coordinator and one as Assistant Coordinator. A subgroup of each team will be identified to meet quarterly to assess any need for updates or revisions to the plan.

#### 3.3.17.2.1 Responsibilities of the Emergency Response and Crisis Management Team

- Develop the Emergency Response and Crisis Management Plan for each location, including coordination with local emergency response agencies.
- The Plan will address recovery and restoration resources and options in the event of a major loss.
- Designated team members shall receive NIMS and Community Emergency Response Team (CERT) training as recommended by the Federal Department of Homeland Security.
- Carry out training and drills as required.
- Respond to any emergency and initiate appropriate immediate response.
- Inform and consult with System Office administration during crisis response and recovery efforts.
- Review and approve crisis related information in conjunction with the System Office of Marketing and Public Relations to be communicated on- and off-campus, to all appropriate constituencies: students, parents, faculty, staff, and media.
- Coordinate crisis response and recovery efforts.
- Supervise cooperative crisis response and recovery efforts with appropriate outside agencies.
- Conduct a post-crisis evaluation of the College's performance during crisis response and recovery efforts and recommend changes to the College’s crisis management procedures.
- Review the College crisis plan during each academic year in order to reduce the College's vulnerability in a crisis.

### 3.3.17.3 Emergency Response and Crisis Management Plan

Components of an Emergency Response and Crisis Management Plan are based on identified potential emergencies which may be expected to occur at a particular campus, based on a the findings of a Hazard Assessment or Risk Evaluation. The Crisis Management Team at each Campus shall develop a written Emergency Response and Crisis Management Plan based upon an annual risk assessment evaluation. The Emergency Response and Crisis Management Plan will include the following:

- Risk Assessment and Evaluation
A plan of action for each Risk determined to be a possibility, including at a minimum, the response to each of the following; general evacuation, fire, bomb threats, severe weather, including the threat of tornados, medical emergencies including pandemic flu outbreak, hazardous materials, violent or threatening behavior (see related KCTCS Workplace Violence Policy).

A training program, including scheduled drills.

A crisis communications plan.

Names, titles, phone numbers, addresses and e-mail addresses of Crisis Management Team members, trained first aid providers on campus, and local emergency service providers, including fire, local police, State police, ambulance, and Division of Environmental & Emergency Management.

A Recovery and Restoration Plan outlining resources and strategies available to aid recovery efforts from major events regarded as possibly during risk assessment.

A readily accessible and quickly referenced "flip chart" of Emergency procedures for distribution to faculty, staff and students.

The Emergency Response and Crisis Management Plan for each College or Campus may be an adaptation of the "Crisis Management Planning Guide" developed by a workgroup of System Office and college personnel or may be developed independently but be consistent with this policy and the Planning Guide. College plans shall be reviewed and certified by the System Office team.

3.3.20 Travel Policy

Official travel in Kentucky, 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 OCTC and KCTCS. Special rules and regulations apply to out-of-country travel charged to non-state funds (See Business Procedures Manual).

3.5 Fringe Benefits (Community College Employees Hired Prior to January 14, 1998)

3.5.1 Mandatory Benefits (Community College Employees Hired Prior to January 14, 1998)

3.5.1.1 Worker's Compensation (Community College Employees Hired Prior to January 14, 1998)

KCTCS Administrative Policies and Procedures – Effective date 4-30-00, Revision 5-5-09

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

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:

<table>
<thead>
<tr>
<th>REASON FOR TERMINATION</th>
<th>PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Voluntary Termination of Employee</td>
<td>18 months</td>
</tr>
<tr>
<td>Involuntary Termination of Employee (Except for Gross Misconduct)</td>
<td>18 months</td>
</tr>
<tr>
<td>Reduction in Work Hours of Employee</td>
<td>18 months</td>
</tr>
<tr>
<td>Disability of Employee as Determined under the Social Security Act</td>
<td>29 months</td>
</tr>
<tr>
<td>Death of Employee</td>
<td>36 months</td>
</tr>
<tr>
<td>Divorce or Legal Separation</td>
<td>36 months</td>
</tr>
<tr>
<td>Employee Becomes Entitled to Medicare</td>
<td>36 months</td>
</tr>
<tr>
<td>Dependent Child No Longer Qualifies as Dependent Under Group Health Plan</td>
<td>36 months</td>
</tr>
</tbody>
</table>

3.5.1.5.1 Special Rule for Multiple Qualifying Events (Community College Employees Hired Prior to January 14, 1998)

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

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.

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3.5.1.5.3 Independent Contractor and Other Service Performers (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
Regular full-time faculty are insured for $10,000 or the basic amount as established by the college system 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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
The College System offers health and dental insurance coverage to regular full-time employees through several companies. Health Maintenance Organization (HMO) preferred provider, Indemnity and consumer driven 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 (Community College Employees Hired Prior to January 14, 1998)
The College System will provide a contribution toward the cost of a health insurance plan for regular full-time employees, eligible retirees, and employees who have been approved for long term disability benefits. 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 Flexible Spending Account Program (125 Plan) (Community College Employees Hired Prior to January 14, 1998)
The Flexible Spending Account Program (125 Plan) is program which allows eligible faculty members to pay with tax free earnings for health care expenses for themselves and dependent family members 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 (Community College Employees Hired Prior to January 14, 1998)
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.
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 American 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 Contributions as a Percent of Basic Annual Salary (Community College Employees Hired Prior to January 14, 1998)

<table>
<thead>
<tr>
<th></th>
<th>By the Participant</th>
<th>By the Institution</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>5%</td>
<td></td>
<td>10%</td>
<td>15%</td>
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</table>

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 Eligible Regular Status Full-time Faculty and Staff)

3.5.3.2.1 Eligibility for Phased Retirement

The Phased Retirement Program is designed to provide an opportunity for eligible regular status full-time faculty and staff who participate in the 403(b) retirement plans. This option is not available under the defined benefits plans in accordance with the rules of those retirement systems. This policy does not apply to employees hired on or after July 1, 2009. A reduced health option is not available to 403(b) retirement plan participants hired on or after July 1, 2009 (as provided in KCTCS Board Policy 3.7). The intent of the Phased Retirement Program is to make an orderly transition to retirement through less than full-time service. It is entirely voluntary and will be implemented by written agreement. The Program is ongoing but the availability of the program may be limited at any time by the colleges.

Regular status full-time faculty and staff who are tenured or have continued or continuing employment status, have completed fifteen (15) years of full-time service and have reached the date of normal retirement as defined in the applicable retirement plan are eligible to request phased retirement, except as noted above. Term contract and at will employees who otherwise meet eligibility requirements may also request phased retirement. Individuals who have already taken regular retirement are not eligible for phased retirement under this Program.

3.5.3.2.2 Approval for Phased Retirement

Participation in the Phased Retirement Program is not an absolute right or entitlement. Requests for phased retirement appointments shall be granted only when such appointments are in the best interests of the Colleges or System Office.
Eligible staff and faculty shall submit requests for phased retirement to their division/department head. The request will be subject to final approval by the college President/CEO or System Office Vice President based on the availability of financial and human resources. Requests for phased retirement shall be submitted in advance within a reasonable time frame for processing subject to the division or department needs. Phased retirement that is requested and approved shall begin on the first workday of the next fiscal year following approval of the request unless otherwise agreed upon by the employee and approving parties.

**3.5.3.2.3 Phased Retirement Terms and Conditions**

Phased retirement under this Program shall be subject to the following terms and conditions:

1. Phased retirement involves a reduction of employment from regular status full-time to regular status half-time. Such appointments may consist of full-time work for one-half (1/2) of a regular schedule. The half time schedule may be daily, monthly, annually, or by semesters depending on individual and departmental needs. The area department head and the faculty or staff member requesting phased retirement shall provide an outline of the job duties and expectations for the phased retirement. This outline shall be in accordance with the essential job functions for the position and shall be set forth in detail in a written phased retirement agreement.

2. The salary of during phased retirement shall be reduced by fifty percent (50%) of the salary the employee would have received if they had not elected to participate in the phased retirement program. Employees electing phased retirement shall not be eligible for proportional merit increases during the period of their phased retirement program. For benefits eligibility purposes, an employee on phased retirement is subject to the terms of the eligibility rules of each carrier/retirement system.

3. Employees participating in phased retirement shall be considered for long-term disability benefits on the basis of the salary before electing phased retirement if allowed under the employee’s disability system/carrier.

4. The period of phased retirement shall not exceed three (3) years in duration for employees under the KCTCS Personnel System. Employees who request and receive phased retirement shall agree in writing to accept full retirement from the Colleges no later than three (3) years after the commencement of their phased retirement. The agreement to retire at the end of the reduced employment period is irrevocable (except as provided in subparagraph 3.5.3.2.4).

5. Phased retirement under this program shall not exceed five (5) years in duration for employees under the UK Personnel System. Employees under the UK Personnel System who request and receive phased retirement shall agree in writing to accept full retirement from the Colleges no later than five (5) years after the commencement of reduced employment. The agreement to retire at the end of the reduced employment period is irrevocable (except as provided in subparagraph 3.5.3.2.4).

6. All contributions to participating employees’ retirement shall be based upon their reduced salaries. Employees on phased retirement shall receive fifty percent (50%) of the paid vacation leave that they would have otherwise received. Employees on phased retirement shall receive retirement plan benefits and other employee benefits normally offered to regular full-time faculty and staff in accordance with eligibility rules of the carrier for each benefit. For employees hired on or after July 1, 2009, a retiree health option would not be available to 403(b) retirement plan participants (as provided in KCTCS Board Policy 3.7).

7. Requests for travel expenses and support services for participating employees shall be considered and evaluated under normal processes. A participating employee’s use and occupancy of office or lab space shall not be adversely affected unless it is in the best interest of KCTCS.

The terms and conditions may be modified by the college president/ceo or System Office Vice President.

In order to maintain their eligibility for health insurance benefits through KCTCS, employees who participate in a KCTCS 403(b) retirement plan and who meet the eligibility requirements for a phased retirement may request an alternate pre-arrangement in lieu of opting for a phased retirement. These
employees may request an immediate rehire by KCTCS in a regular status half-time arrangement subject to approval by the college president/CEO or System Office Vice President. The terms and conditions of the Phased Retirement Program shall otherwise apply to employees who are in this alternate arrangement, including a 50% salary reduction based on their salary immediately prior to retirement. For employees hired on or after July 1, 2009, a return health option would not be available to 403(b) retirement plan participants (as provided in KCTCS Board Policy 3.7).

3.5.3.2.4 Phased Retirement General Provisions
This policy shall not preclude eligible employees from electing regular retirement at any point in time prior to the end of the period of the phased retirement agreement (even though such employees may have an agreement requiring retirement at some point in the future). Nothing in this policy shall preclude post-retirement employment of an individual who has elected phased retirement under this program.

Each phased retirement agreement under this program shall include a waiver of rights and claims by the employee. The waiver shall fully comply with the requirements for knowing and voluntary waivers. The agreement shall provide no less than forty five (45) days for consideration and the employee is advised to consult with an attorney prior to executing the agreement. In addition, phased retirement agreements shall not become effective and enforceable for a period of ten (10) calendar days following execution of the agreement; during such period the employee may revoke the agreement. In the event the employee elects to revoke the agreement within the ten (10) day period, the employee shall immediately be restored to the full-time employment status that existed prior to execution of the agreement.

Employees on phased retirement appointments will have the same responsibilities and academic freedoms as other staff or faculty members, including all grievance and appeal procedures.

3.5.3.3 Voluntary Tax Deferral Program (Community College Employees Hired Prior to January 14, 1998)
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 American 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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
3.5.4.1 Activity Tickets (Community College Employees Hired Prior to January 14, 1998)
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/ceo) or in the name of the college;
3. If a community college president/ceo 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 (Community College Employees Hired Prior to January 14, 1998)
Child care provisions vary by community college. Please check with the community college Human Resources Office for specifics.

3.5.4.3 Parking Fees (Community College Employees Hired Prior to January 14, 1998)
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 (Community College Employees Hired Prior to January 14, 1998)
The College System maintains a program in cooperation with community, businesses, offering discounts or other incentives to College System employees. To use the program the employee must show identification, a valid Community College picture ID or valid Community College Faculty/Staff Card, and a valid driver’s license or other picture ID. Employees are eligible for any discount offered throughout the Commonwealth.
The College System does not warrant any goods or services provided by any business participating in
the Employee Discount Program.
This is the employees’ program and the Employee Benefits Committee is acting on the employees’
behalf in voluntary cooperation with all participating merchants.

3.5.4.5 Elder Care (Community College Employees Hired Prior to January 14, 1998)
Elder Care is a consultation, information, guidance, and referral program regarding services for the
elderly. For support and counseling for family members with aging relatives call 323-4600 in
Lexington, or 1-800-873-8532, toll free, outside of Lexington. A trained specialist is available
Monday through Friday from 8:00 a.m. to 5:00 p.m. Eastern Time, except holidays. The service is
free for College System faculty, staff, and retirees.

3.5.4.6 Wellness Program (Community College Employees Hired Prior to January 14, 1998)
The University’s Wellness Program provides a comprehensive health promotion program coordinated
through one organizational Unit. The goal of the program is to promote all aspects of health which
deal with disease prevention and care, physical fitness, and human resource development. The
Wellness Program is dedicated to assisting employees in achieving a higher quality of life. Self-
responsibility is emphasized and will determine the success of the program for each individual.
Courses are offered in the areas of health education, safety, and fitness. Employees, retirees, and
spouses of eligible Community College employees are eligible for many of the courses offered by the
Wellness Program. Contact the Wellness Program office at 257-WELL for more information on how
to participate.

3.5.4.7 Identification Cards (Community College Employees Hired Prior to January 14, 1998)
Identification cards are available to regular faculty members. The cards will be issued by the
Employee Benefits Office of the applicable community college.
CHAPTER FIVE
RULES AND BYLAWS OF THE COLLEGE ASSEMBLY

RULES OF THE COLLEGE ASSEMBLY

Article I: Name and Role
The name of the organization shall be the College Assembly of Owensboro Community and Technical College. The College Assembly is a forum for free and open debate, and deliberation regarding issues affecting the College. In compliance with policies of the Kentucky Community and Technical College System, specific educational issues remain within the purview of the Faculty only; therefore Articles II and III apply solely to the faculty.

Article II: Authority of the Faculty
The Faculty has authority and responsibility for the educational policies of the 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 System Senate, with input from pertinent advisory groups and/or individuals, 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 College Assembly.

Article III: Functions of the Faculty
The Faculty shall take official action to make recommendations to the President of the college, the Senate of the Community and Technical College System, the Chancellor(s), the President and/or Board of Regents of the Kentucky Community and Technical Colleges as appropriate.
1. The Faculty shall make recommendations on the following matters:
   o Academic policies and curricula for KCTCS
   o Courses and other academic offerings of KCTCS
   o Policies and regulations governing admission classifications, probation and dismissal of KCTCS students
   o An academic calendar
   o All candidates for degrees, diplomas and certificates from the College
   o Criteria for faculty appointment, reappointment, promotion, evaluation and tenure
   o Changes in the Rules of the KCTCS (system) Senate
   o Issues related to the welfare of its members
2. The Faculty shall have no management or administrative functions either in itself or through the instrumentality of its committees.
3. The Faculty shall perform such other duties and fulfill such other functions as are appropriate to achieve the mission and goals of the College as long as they are not in conflict with the policies of the Board of Regents of the Kentucky Community and Technical College System, or the Rules of the system Senate.

Article IV: Bylaws
The College Assembly shall have the power to adopt Bylaws for its operations, which shall include officers, membership, meetings, and committees as necessary, so long as they are not in conflict with the policies of the Board of Regents and/or the Senate of the Kentucky Community and Technical College System.

Article V: Amendments
An amendment to these Rules may be made by approval of two-thirds (2/3) of the membership at a regular meeting of the College Assembly called for that purpose.

I, the duly elected and acting Secretary of the College Assembly of the Owensboro Community and Technical College, hereby certify that the foregoing Rules constitute the Rules of the Owensboro Community and Technical College as adopted at a meeting of the College Assembly on __________________.

IN WITNESS WHEREOF, I have subscribed my name on the ____day of _____________, 2004.

_________________________________
Secretary

Approved: 4-22-04
BYLAWS OF THE COLLEGE ASSEMBLY
ARTICLE I: NAME
The name of the organization shall be the College Assembly of Owensboro Community and Technical College.

ARTICLE II: MEMBERSHIP
Membership shall consist of all full-time employees. Visiting and part-time faculty, as non-members of the Assembly, are invited to attend meetings of the Assembly and may request the privilege of the floor to participate in discussions.

ARTICLE III: OFFICERS
1. President of the College
   The President of Owensboro Community and Technical College is Co-Chair of the Assembly and is an ex-officio member of all College Assembly committees, except for those dealing with personnel promotion, retention, and tenure. The President may call special meetings of any Assembly committee, appoint ad hoc committees, or call special meetings.

2. Chair of the College Assembly
   The Chair of the Assembly is elected by the members of the Assembly and shall be a full-time faculty member. The Chair shall preside at all regularly scheduled and special meetings of the College Assembly.

3. Vice Chair of the College Assembly
   The Vice Chair is elected by the members of the Assembly and shall be a full-time faculty member. He/she shall preside in the absence of the Chair.

4. Secretary of the College Assembly
   The Secretary of the Assembly is elected by the members of the Assembly. The Secretary shall be responsible for the publication and distribution of the agenda, the minutes, and other materials as designated by the Chair.

5. Parliamentarian
   The Parliamentarian is elected by the members of the Assembly and shall advise on procedure and assist in ruling on parliamentary questions.

ARTICLE IV: MEETINGS
1. Chairing of Meetings: The elected Chair of the Assembly shall chair the meetings.

2. Regular Meetings: The Chair and Vice Chair, in consultation with the President, shall set the date and time of each regular Assembly Meeting. Meetings shall be held during the months of September, October, November, February, March, and April.

3. Special Meetings: The Assembly may be called into special session by the Chair of the Assembly, the President, the Chancellor(s), the President of KCTCS, or in response to a petition signed by one-third (1/3) of the membership. A special meeting requested by petition must be held no later than two calendar weeks after the President or Chair of the Assembly receives such a petition.

4. Notice of Meetings and Agenda: The Chair prepares the agenda. Items should be submitted in writing to the Chair not less than forty-eight (48) hours prior to the meeting. The completed agenda is submitted by the Chair to the Secretary for distribution along with the minutes of the previous meeting. Notice of the time and place of all meetings shall be prepared by the Secretary and shall be distributed either by written memo or electronically no less than twenty-four (24) hours prior to the meeting. Notice of special meetings shall state the purpose for which the meeting is called. A file of minutes of all meetings, regular and special, shall be kept in the Academic Dean’s office and in all OCTC libraries.

5. Conduct of Meetings: Robert’s Rules of Order Newly Revised, in the current edition, 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 Faculty Rules, the Rules of the Senate, and the Policies of the Board of Regents of KCTCS.

6. Quorum: A simple majority, defined as 50% + 1, of the voting membership of the Assembly, exclusive of members on leave or on sabbatical, shall constitute a quorum when voting on issues pertaining to the College as a whole. A simple majority of the faculty, as defined by KCTCS (see section 7, Voting), exclusive of members on leave or on sabbatical, shall constitute a quorum when voting on issues affecting the educational mission of the College.

7. Voting: All members shall be entitled to vote at the regular and special meetings of the Assembly when issues pertain to the College as a whole. In addition, all members of the College Assembly shall vote for officers as listed in Article III. Only faculty, as defined below, shall vote on issues affecting the educational mission of the College. (See Article III, Section 1, of the Rules of the College Assembly.) Faculty, as defined by KCTCS, are full-time ranked faculty who teach, full-time ranked professional librarians, full-time ranked professional counselors, and other full-time personnel who
have faculty rank, tenure, or faculty contract status in the College. Only faculty shall vote for representatives for the Kentucky Community and Technical College Faculty Senate, Senate committees, and their local extensions. Representatives from the professional staff to the standing committees of the College Assembly shall be elected by the staff members of the College Assembly. Only faculty shall vote for the faculty representative to the college Board of Directors, and only staff shall vote for the staff representative to the college Board of Directors. The President of the College and the chief academic officer shall be ex-officio members of the faculty and of the Assembly. Each member shall be entitled to one vote on any question, within the guidelines set forth above, which is brought before the Assembly or faculty. The vote of a simple majority of the quorum shall decide any question brought before the meeting, except where a greater majority is required by law or by these Bylaws.

8. **Proxy Voting**: There shall be no voting by proxy. Use of electronic voting will be limited to issues affected by time constraints. The decision to allow an electronic vote shall be made jointly by the Chair, Vice-Chair, and the President of the College. The entire vote must be cast electronically.

9. **Open Meetings**: All meetings of the Assembly shall be held in accordance with applicable open meetings laws of the Commonwealth of Kentucky.

**ARTICLE V: STANDING COMMITTEES**

The Standing Committees of the Assembly shall be the Curriculum Revision Committee and the Rules Committee. Each Standing Committee shall be composed of one faculty representative from each of the divisions and one representative from the professional staff. The elected representative to the corresponding system committee shall serve as chair for the local standing committee. Ex-officio members of the Curriculum Revision Committee shall be the Academic Dean, the Registrar, the Director of Library Services, and the Director of the Center for Community and Economic Development, or their designee. Ex-officio members of the Rules Committee shall be the Dean of Enrollment, Academic Dean, and Dean of Student Affairs, or their designee.

**Curriculum Review Committee**

The Curriculum Revision Committee shall perform the following functions:

a. Make recommendations to the faculty concerning new courses, course changes, and the deactivation of courses;

b. Make recommendations to the faculty concerning new curricula, curricula changes, and the deactivation of curricula;

c. Make recommendations to the faculty, upon request or upon its own initiative, concerning the needs of the instructional program of the College;

d. Perform other duties as delegated to it by the faculty.

**Rules Committee**

The Rules Committee shall perform the following functions:

a. Codify the Rules of the College Assembly;

b. Make recommendations to the faculty for changes in its Rules;

c. Prepare an Academic Calendar two years in advance to facilitate planning. The proposed calendar must be consistent with the System calendar requirements and will be subject to approval of the Administrative Council of the Owensboro Community and Technical College prior to submission to the College Assembly for faculty vote;

d. Periodically evaluate the Rules of the College Assembly;

e. Consider all proposals for change in the Rules of the Senate and make recommendations to the faculty for action by that body;

f. Perform other duties delegated to it by the Assembly.

**Ad hoc Committees**

With the advice of the Assembly, the Chair of the Assembly or the President may appoint ad hoc committees.

**ARTICLE VI: ELECTIONS, APPOINTMENTS, AND TERMS OF OFFICE**

1. Elections will be held at the April meeting for the following offices: Chair, Vice Chair, Secretary, Parliamentarian, faculty and staff representatives to the College Board of Directors, faculty representative to the system Senate Council, faculty representative to the system Rules and Curriculum Review Committees, and staff representatives to the college Rules and Curriculum Review Committees. One additional senator will be elected from the faculty for each 25 members or major fraction thereof (13), beyond the first 25. At least one of the elected Senate representatives shall be in the occupational-technical program area and one in the general education area. Those additionally elected shall attend system Senate meetings as required and will be available to substitute for Council or Standing Committee members who are unable to attend meetings from time to time.
2. Nominations will be taken from the floor for all vacant positions. The order of elections will be determined when the agenda is set.

3. The term of office for the officers of the College Assembly shall be one year. Representatives to the System Senate, Rules and Curriculum Revision Committees will be elected for two-year terms. The College faculty and staff representatives to the Owensboro Community and Technical College Board of Directors will have a term of three years. No elected officer may serve more than two (2) consecutive terms in the same office.

4. The term of office for all elected officers and representatives of the Faculty, Staff, or Assembly shall be from August 1st through July 31st, or until their successors are elected.

5. Faculty representatives to the standing committees will be elected from faculty within each division prior to the completion of the current academic year.

6. College Advisory Committee on Promotion:
   - This committee shall be comprised of a representative from each of the divisions and one representative from the non-teaching faculty (librarian/counselor.) Members of the committee shall be at the Associate Professor rank or above. The College President/CEO shall, after consultation with Division Chairs, appoint the committee. Committee representatives who have direct responsibility for required faculty performance evaluations shall not participate in the consideration of said faculty member’s files. In addition to the appointed committee members, the College President/CEO shall appoint the CACP Chair for a two-year term. The CACP Chair may be reappointed for one additional two-year term. Appointed members shall serve a one-year term. Appointed members may be reappointed on an annual basis to serve up to three consecutive years. (In accordance with KCTCS policy)

7. System Advisory Committee on Promotion and the System Advisory Committee on Appeals:
   - Members shall be chosen for this committee in accordance with KCTCS policies.

8. Vacancies: Vacancies 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.

ARTICLE VII: NEW BYLAWS AND MODIFICATION OF BYLAWS:
These Bylaws, upon their adoption, shall be the principal governance document of the College Assembly of Owensboro Community and Technical College.
Amendments or additions to this document may be made by a vote of two-thirds (2/3) of all voting members of the College Assembly.
Notification of the intention of such modification must be given in the call for the College Assembly Meeting at which the action is to be taken.
Any amendments to these Bylaws shall be submitted to the President of the college and the Chancellor for review before becoming operational.

ARTICLE VIII: ADDITIONAL ASSEMBLIES:
The following additional assemblies may organize as necessary:
1. Faculty Assembly
   - The Faculty Assembly membership shall consist of individuals with Faculty rank as defined by KCTCS. The role of the Faculty Assembly shall include discussion of faculty issues related to instruction, student support, and faculty welfare.

   The Chair of the College Assembly shall convene the first meeting of the Owensboro Community & Technical College Faculty Assembly for the purpose of organization. The Faculty Assembly will then develop a structure and bylaws to carry out its function. The Bylaws of the Faculty Assembly shall not be in conflict with these Bylaws of the College Assembly.

2. Staff Assembly
   - The Staff Assembly membership will be comprised of all full-time classified and administrative staff as identified by KCTCS. The role of the Staff Assembly shall be to provide an avenue of communication and involvement for staff in fulfilling the mission and goals of the college and for the purpose of promoting unity, cooperation and open discussion of issues related to staff welfare.

   The staff representative to the Owensboro Community and Technical College Board of Directors shall convene the first meeting of the Owensboro Community & Technical College Staff Assembly for the purpose of organization. The Staff Assembly will then develop a structure and bylaws to carry out its function. The Bylaws of the Staff Assembly shall not be in conflict with these Bylaws of the College Assembly.

Originally approved 4-22-04
Amended 4-18-05
President
James S. Klauber, Ph.D.

INSTITUTIONAL ADVANCEMENT
Vice President
OCTC Foundation
Executive Director
Larry Miller

Advancement
Administrative Assistant
Pamela Pickle

Director of Development
Linda Taylor

Financial Manager
Advancement & Grants
Rhonda Logsdon

Director of Grants & Contracts
Chriett Midkiff

OWENSBORO COMMUNITY & TECHNICAL COLLEGE
Institutional Advancement
(For use in the Fiscal Year 2014-2015 performance period)

Kentucky Community & Technical College System

FACULTY

PERFORMANCE PLANNING AND EVALUATION (PPE) FORM

Full Name: ___________________________  College: ___________________________
Position Title: ________________________  Division/Dept.: _______________________
Employment Date: _________________  Current Job Date: _______________________
Evaluation Period: From _______________  To: ___________________________
Evaluator: ___________________________  Employee ID (required): _______________ 
Reviewer: ___________________________  Position #: _________________________

(Place an “X” by the correct timeframe below.)

Initial 6-month Employment Period: _____  Annual Evaluation: _____

All individual performance goals are in support of KCTCS and college strategic plans. The successful completion and attainment of each employee’s individual goals should contribute to the organizational goals included in KCTCS and college strategic plans. The KCTCS Vision, Mission, and Values are as follows:

KCTCS VISION
At KCTCS, our vision is to be the nation’s premier community and technical college system.

KCTCS MISSION
In everything we do, our mission is to improve the quality of life and employability of the citizens of the Commonwealth by serving as the primary provider of:
• College and Workforce Readiness
• Transfer Education
• Workforce Education and Training

KCTCS VALUES
• Responsiveness to students, employers, and communities
• Access with innovative and flexible delivery
• Trust, respect, and open communication
• Continuous improvement
• Inclusion, multiculturalism, and engagement
Alignment of PPE with KCTCS Strategic Plan

All individual performance goals are in support of KCTCS and college strategic plans. The successful completion and attainment of each employee's individual goals should contribute to the organizational goals included in KCTCS and college strategic plans.

The KCTCS Strategic Plan 2010-16 consists of five goals along with measures. Each college has adapted the KCTCS Strategic Plan 2010-16 to support its mission.

All KCTCS employees are encouraged to include within their Performance Planning section (Section I) of the PPE, one or more action strategies that relate directly to the strategic goals and their performance measure. Some employees may be able to design an action strategy for each goal while others may develop one or more strategies from the five goals. The decision as to the strategies and number of goals addressed should be made between the employee and his/her supervisor.

The KCTCS Strategic Goals 2010-16 and performance measures are as follows:

<table>
<thead>
<tr>
<th>KCTCS Strategic Goals 2010-16</th>
<th>Performance Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advance excellence and innovation in teaching, learning and service</td>
<td>Engagement</td>
</tr>
<tr>
<td></td>
<td>Licensure/Certification Pass Rate</td>
</tr>
<tr>
<td>Cultivate diversity, multiculturalism and inclusion</td>
<td>Student Diversity</td>
</tr>
<tr>
<td></td>
<td>Employee Diversity</td>
</tr>
<tr>
<td>Increase student access, transfer and success</td>
<td>Developmental Education</td>
</tr>
<tr>
<td></td>
<td>Participation rate for KCTCS fall credit enrollment, as a percentage of adult population</td>
</tr>
<tr>
<td></td>
<td>Credentials</td>
</tr>
<tr>
<td></td>
<td>Persistence Rate</td>
</tr>
<tr>
<td></td>
<td>Transfer</td>
</tr>
<tr>
<td>Enhance the economic and workforce development of the Commonwealth</td>
<td>Workforce Matriculation</td>
</tr>
<tr>
<td></td>
<td>Wage Index</td>
</tr>
<tr>
<td></td>
<td>High Wage/High Demand Completion</td>
</tr>
<tr>
<td>Promote the recognition and value of KCTCS</td>
<td>Media Focus</td>
</tr>
<tr>
<td></td>
<td>Financial Contributions</td>
</tr>
</tbody>
</table>

SECTION I
PERFORMANCE PLANNING PROCESS

During the Planning Process, complete the areas in Section I that apply to the employee being evaluated. At least one or more of the areas will be applicable. All five (5) areas may not apply to all employees. Where possible, create action strategies that relate to one or more of the KCTCS Strategic Goals.
APPENDIX B

POSITION RESPONSIBILITIES
(See PPE Instructions for examples.)

INTERNAL SERVICE
(See PPE Instructions for examples.)

EXTERNAL SERVICE
(See PPE Instructions for examples.)

GOALS/RESULTS EXPECTED
(Including one or more of the KCTCS/College Strategic Goals.)

%
**APPENDIX B**

**PROFESSIONAL DEVELOPMENT**
(See PPE Instructions for examples.)

<table>
<thead>
<tr>
<th>Category</th>
<th>% of Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Service</td>
<td></td>
</tr>
<tr>
<td>External Service</td>
<td></td>
</tr>
<tr>
<td>Professional Development</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL (Must equal 100%)</strong></td>
<td></td>
</tr>
</tbody>
</table>

**GOALS/RESULTS EXPECTED**
(Including one or more of the KCTCS/College Strategic Goals.)

**LEADERSHIP**
(See PPE Instructions for examples.)

<table>
<thead>
<tr>
<th>Category</th>
<th>% of Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Service</td>
<td></td>
</tr>
<tr>
<td>External Service</td>
<td></td>
</tr>
<tr>
<td>Professional Development</td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL (Must equal 100%)</strong></td>
<td></td>
</tr>
</tbody>
</table>

**GOALS/RESULTS EXPECTED**
(Including one or more of the KCTCS/College Strategic Goals.)

**PLANNING PROCESS DISTRIBUTION OF EFFORT AND SIGNATURE LINES**

I have reviewed with my supervisor my Responsibilities, Goals/Results Expected, and Percent of Effort to be spent on each area. I understand that these criteria will be used for my evaluation.

**APPENDIX B**

**Employee Signature:** ________________________________ **Date:** ________________

**Evaluator Signature:** ________________________________ **Date:** ________________
SECTION II
MIDYEAR PROGRESS REVIEW

We have reviewed outcomes relative to goals/results expected and have determined that progress to this date has been satisfactory. If not satisfactory, attach a summary of performance issues and a corrective action plan.

Employee Signature: ___________________________ Date: __________________

Evaluator Signature: ___________________________ Date: __________________

SECTION III
PERFORMANCE EVALUATION PROCESS

A. OUTCOMES

This section is to be completed as the evaluation. List Outcomes for each of the individual activities and accompanying “Goals/Results Expected” items listed in Section I.

POSITION RESPONSIBILITIES

<table>
<thead>
<tr>
<th>OUTCOMES</th>
<th>%</th>
</tr>
</thead>
</table>

APPENDIX B

INTERNAL SERVICE

<p>| OUTCOMES | % |</p>
<table>
<thead>
<tr>
<th>OUTCOMES</th>
<th>%</th>
</tr>
</thead>
</table>

### EXTERNAL SERVICE

### PROFESSIONAL DEVELOPMENT

<table>
<thead>
<tr>
<th>OUTCOMES</th>
<th>%</th>
</tr>
</thead>
</table>

### APPENDIX B

<table>
<thead>
<tr>
<th>OUTCOMES</th>
<th>%</th>
</tr>
</thead>
</table>

### LEADERSHIP

<table>
<thead>
<tr>
<th>OUTCOMES</th>
<th>%</th>
</tr>
</thead>
</table>
OVERALL EVALUATION SUMMARY

1) Identify the employee’s a) performance strengths; and b) areas in which improvement was made during the evaluation period being reviewed.

2) Identify what actions are recommended for the employee and/or the college to undertake in order to achieve improvement in the employee’s performance.

3) Other comments: (If applicable.)

4) OVERALL PERFORMANCE RATING (Place an “X” by the appropriate rating below.)

   Consistently Exceeded Expectations of Job Requirements (EE) - Job performance was continuously performed in an exceptional manner. Contributions significantly and consistently exceeded expectations and requirements based on established success criteria, with exceptional quality, quantity and timeliness of work. Consistently achieved outstanding results well beyond those expected of the position, and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.

   Met and Frequently Exceeded Job Requirements (ME) - Job performance consistently met and frequently exceeded the expectations and requirements for the position based on established success criteria. Contributions consistently met and frequently exceeded expected criteria for quality, quantity and timeliness of work. Frequently achieved results beyond those expected for the position and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.

   Fully Met Job Requirements (M) - Job performance consistently met the expectations and requirements for the position based on established success criteria. Contributions occasionally exceeded expected criteria for quality, quantity and timeliness of work and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.
Some Improvement Needed to Meet Job Requirements (NI) - Certain job duties were performed capably; however, improvement in quality, quantity and/or timeliness of work is required in order to fully meet expectations and requirements for the position based on established success criteria. A Performance Improvement Plan be developed by the supervisor to facilitate improvement by the employee. Performance shall be evaluated again in six months. Significant and immediate improvement in quality, quantity, and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action procedures.

Did Not Meet Job Requirements (F) - Performance throughout the rating period did not meet the job requirements and expectations for the position based upon established success criteria. A Performance Improvement Plan will be immediately developed by the supervisor to facilitate improvement by the employee. Performance shall be re-evaluated based on the Performance Improvement Plan and the evaluation goals in at least three months, in six months and again thereafter if determined necessary. Significant and immediate improvement in quality, quantity and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action.

SIGNATURE AFTER EVALUATION

Employee: _______________________________ Date: _______________________________
I acknowledge this evaluation was discussed with me.

Evaluator: _______________________________ Date: _______________________________

Reviewer: _______________________________ Date: _______________________________

(Place an “X” by the appropriate response below.)

I agree with this evaluation.
I disagree with this evaluation.
I disagree with the evaluation and am hereby appealing the assigned rating through the KCTCS faculty PPE appeals process.

Employee’s Comments (Optional):
Introduction

This user guide, *Performance Planning and Evaluation (PPE) PeopleSoft User Guide*, provides helpful information about how to use PeopleSoft to support KCTCS Performance Planning & Evaluation (PPE) documents. It has been written for staff employees – not faculty employees – with the focus of how to get into the PPE documents in PeopleSoft, how to understand the order of workflow, what to do when you use PeopleSoft, and how to finish the documentation. It accompanies a document written specifically for supervisors called *Performance Planning and Evaluation (PPE) – Supervisor Guide*.

Why Evaluate Performance?

The purpose of the PPE process is to:

- Ensure the employee fully understands their position responsibilities and performance expectations
- Identify relative performance levels
- Provide performance feedback to employees for recognition and performance improvement
- Provide the performance documentation necessary to support promotion and other administrative personnel decisions

Some employees may report to project managers or supervisors. To simplify things, we use the term "supervisor" throughout this guide to refer to the immediate supervisor of the employee who is being evaluated. The “supervisor” is the person conducting the performance evaluation.

The goal of the performance evaluation process is to provide specific performance feedback on competencies outlined in the PPE documents.

Competencies can be described as the “skills, knowledge, experience, attributes, and behaviors that an individual needs to perform a job effectively.” A simpler definition might be “abilities to perform a job to the required level.” “Competence” and “competency” are key to managing performance. People can only perform well if they have the required knowledge and skills. Equally, people need the capability and personal characteristics to develop new skills and to progress to higher quality or to more complex work.

The competencies and associated behavioral characteristics included in the PPE will enable supervisors to assess employees against a common set of criteria. They will give employees an unambiguous guide to their own personal development targets. The competencies will make it easier to define where there are “gaps” and, therefore, how the “gaps” can be more easily resolved.

What are the Components of the PPE Process?

The KCTCS Performance Planning & Evaluation (PPE) process is composed of three (3) separate yet interlocking parts and PPE documents, each of which will be acknowledged and signed.

- **Part I** is the initial **Planning Process** (PPE Planning document)
- **Part II** is the **Mid-Year Progress Review** (PPE Mid-Year Review document) (optional); and
- **Part III** is the **Performance Evaluation** Process (PPE Final Evaluation document).
Part I – Planning Process

This initial stage of planning by the supervisor and the employee establishes the criteria on which the performance evaluation is based. This criteria is completed by the supervisor with input from employee. It includes (1) Job description responsibilities (i.e. JAQ, Position Description), (2) Goals that include specific actions needed to accomplish each along with applicable measurements, resources, and due dates, and (3) Competencies that are given percentage weights indicating the importance of each competency relative to the established job duties and responsibilities.

Part II – Mid-Year Progress Review Process

The mid-year review is strongly encouraged for the supervisor and employee. In your respective college, a Mid-Year Progress Review may be required. (Supervisors may check with their Human Resources Director for the college’s policy). If the mid-year review is conducted, the supervisor establishes a meeting date and time (with input from the employee). This review provides an excellent opportunity for the supervisor to focus on recognizing good or exceptional performance, but also allows for feedback to be corrective in cases in which performance falls below acceptable levels. In these cases where performance is below standard, the supervisor can provide the employee with guidance on how the performance can be improved.

Part III – Performance Evaluation Process

The final phase of the PPE process is conducted at the end of the review period. It is the process of discussing and recording the employee’s performance for the past year and for discussing performance improvement and/or goals for the upcoming year.

During the performance evaluation process, the supervisor evaluates the employee’s performance based on criteria that was set during the planning process including: (1) Review of job description responsibilities. (2) Documenting progress toward meeting each goal that was set. (3) Rating the employee’s behaviors included under the respective competencies that were given weightings. The supervisor will also complete justification for ratings given for any rating other than a “3-Met.” Supervisor and employee review and discuss ratings as well as agree on ratings.

Disposition

Once the Performance Planning and Evaluation (PPE) electronic documents have been electronically signed by both employee and supervisor the completed signed electronic forms can be printed by logging into PeopleSoft Performance Management, viewing them, and printing from a browser. It is not necessary to keep a printed copy for your files as the form will be kept within the PeopleSoft HRMS system unless you choose to do so. It is also not necessary to forward a copy of the form to Human Resources as it can be viewed within PeopleSoft.
How to Access PeopleSoft PPE Documents

The KCTCS PPE documents for staff are located in the PeopleSoft Human Resources Management System (PeopleSoft for short). You may log into PeopleSoft using this link and your KCTCS User ID/Password.

https://kctcshr.mycmsc.com/kctthrprd/signon.html

Hyperlinks and Menus

Links and menu paths to documents in PeopleSoft Performance Management are shown here. (Note that no documents are included here unless they were completed for staff during the 2014-2015 review cycle or afterwards.)

<table>
<thead>
<tr>
<th>Role</th>
<th>Link to PeopleSoft</th>
<th>Menu</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor</td>
<td>Current PPE Electronic Documents for Supervisors</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents</td>
</tr>
<tr>
<td></td>
<td>Completed PPE Electronic Documents (Historical Documents) for Supervisors</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents</td>
</tr>
<tr>
<td></td>
<td>Performance Notes for Supervisors</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Maintain Performance Notes</td>
</tr>
<tr>
<td></td>
<td>Reopen Current PPE Electronic Documents (Cannot Be in Completed Status)</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; Administrative Tasks &gt; Reopen Document</td>
</tr>
<tr>
<td></td>
<td>View Reviewer's Approval Status</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; View Approval Status</td>
</tr>
<tr>
<td>Employee</td>
<td>Current PPE Electronic Documents for Myself</td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Current Documents</td>
</tr>
<tr>
<td></td>
<td>Completed PPE Electronic Documents (Historical Documents) for Myself</td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Historical Documents</td>
</tr>
<tr>
<td></td>
<td>Performance Notes for Myself</td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Performance Notes</td>
</tr>
<tr>
<td>Reviewer</td>
<td>Approve PPE Documents (for Reviewers)</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Approve Documents</td>
</tr>
<tr>
<td>Management</td>
<td>View PPE Documents for Line-of-Sight Employees (for Management Organization)</td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; View-Only Documents</td>
</tr>
</tbody>
</table>
PeopleSoft Pagelets

There are a couple of ways to get into the PPE documents from within PeopleSoft. You may see a pagelet with the major links in it that you will need called “Performance Documents”. You may also see a pagelet called “Employee Performance” that summarizes the status of your employee’s PPE documents. This pagelet is only for supervisors.

If you do not see these pagelets, you can make them show up (or hide them) by going to the upper right corner of your PeopleSoft window and clicking a link that says “Content”.

When you access the Content page, you can personalize the PeopleSoft Home page by checking the pagelets you want to see (or unchecking the ones you want to hide).

You can also click “Layout” (aka “Personalize Layout”) and show the pagelets in one of the three available columns.

Note that you can click the Home link in the upper right to get back to main home page from within PeopleSoft.
Performance Documents Pagelet

The Performance Documents pagelet is designed to give employees and supervisors the main links they will need to access and manage PPE documents. It does not show all menu links, just the major ones.

Employee Performance Pagelet

The Employee Performance Pagelet provide supervisors with a quick way to check the status of the most recent PPE document for each of their employees. Clicking the name of the employee in this pagelet will take the supervisor to that employee’s most recent PPE document. Icons will change based on whether a PPE document is on time or not. These icons will also show status of the most recent PPE document.

PeopleSoft Menus for Employees

Current PPE documents for employees are located by going to this menu:

Main Menu > Self Service > Performance Management > My Performance Documents > Current Documents

The 2014-15 evaluation year for staff is the first year for PPE documents in PeopleSoft. Faculty PPE documents are not tracked in PeopleSoft. If performance evaluations were documents in PeopleSoft those PPE documents for employees are located by going to this menu:

Main Menu > Self Service > Performance Management > My Performance Documents > Historical Documents
PeopleSoft Menus for Supervisors

Current PPE documents for supervisors are located by going to this menu:

Main Menu > Manager Self Service > Performance Management > Performance Documents > Current Documents

The 2014-15 evaluation year for staff is the first year for PPE documents in PeopleSoft. Faculty PPE documents are not tracked in PeopleSoft. If performance evaluations were documents in PeopleSoft those PPE documents for a supervisor’s employees are located by going to this menu:

Main Menu > Manager Self Service > Performance Management > Performance Documents > Historical Documents

Audit History (Electronic Signatures)

Each time either the employee or the supervisor saves the document it is stamped on the “Audit History” section. For the setting of Criteria, this history simply shows the HRMS Administrator who created it and either the supervisor or the employee who last updated and saved the PPE document.
PPE Planning Document

Overview

An initial stage of planning by the supervisor and the employee establishes the criteria on which the performance evaluation will be based. The supervisor completes the criteria, but initially it may be edited by both supervisor and employee during collaborative establishment of performance criteria. Once that initial criteria is established and completed, the PeopleSoft PPE Planning document will be ready for review and signatures.

Statuses through the process of establishing performance criteria include:

<table>
<thead>
<tr>
<th>Criteria Status</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>Document created by HR and ready for supervisor or employee to begin entry of job responsibilities, annual goals and weighting of competencies.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Criteria started and being edited by supervisor and employee.</td>
</tr>
<tr>
<td>Completed</td>
<td>Criteria completed by supervisor.</td>
</tr>
</tbody>
</table>

After an HRMS Administrator runs the process to create PPE documents, the supervisor and the employee can see the PPE documents ready for use in documenting criteria.

While the supervisor completes the criteria, both employee and supervisor may collaborate in establishing the criteria in the PeopleSoft PPE Planning document. The criteria is established as follows:

- Review the employee’s job description, paying particular attention to job responsibilities and expectations for the current performance evaluation period.
  - If the accuracy of the job description comes into question at this point in the planning process, the supervisor and employee agree what changes should be incorporated.
  - These job responsibilities are entered into the Job Description section of the PeopleSoft PPE Planning document.
  - Note that job description responsibilities are planned to be moved forward to future performance documents.

- Determine what goals should be set. The employee participates with the supervisor in the development of annual goals. Once established, document these goals by utilizing the Goals section of the PeopleSoft PPE Planning document.
  - Note that entry of goals are planned to be moved forward to Part III – Performance Evaluation Process document.

- Enter weighting percentages for each competency.

- The supervisor completes this criteria. Initially however, it may be started and edited by both employee and supervisor during collaborative establishment of performance criteria.
Supervisor Link

This is the supervisor link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Supervisors

Employee Link

This is the employee link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Myself

Current Performance, Planning and Evaluation (PPE) Document

Listed below are the current KCTCS Performance Planning & Evaluation (PPE) and Performance Improvement Plan (PIP) documents for which you are the supervisor.

Annual performance evaluations are a key component of employee development and are intended to be a fair and balanced assessment of an employee's performance.

Performance improvement plans clarify work areas to be improved and activities outlined are intended to help the employee attain a desired level of performance.

Current Performance, Planning and Evaluation (PPE) Document

Listed below are your current KCTCS Performance Planning & Evaluation (PPE) and Performance Improvement Plan (PIP) documents.

Annual performance evaluations are a key component of employee development and are intended to be a fair and balanced assessment of an employee's performance.

Performance improvement plans clarify work areas to be improved and activities outlined are intended to help the employee attain a desired level of performance.

Performance Documents

<table>
<thead>
<tr>
<th>Employee ID</th>
<th>Employee</th>
<th>Document Type</th>
<th>Begin Date</th>
<th>End Date</th>
<th>Job Title</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEST00014</td>
<td>Gavin Tester</td>
<td>PPE Planning</td>
<td>2014</td>
<td></td>
<td>Professor</td>
<td>In Progress</td>
</tr>
<tr>
<td>TEST00026</td>
<td>Grayson Tester</td>
<td>PPE Planning</td>
<td>2014</td>
<td></td>
<td>Information Tech Specialist</td>
<td>In Progress</td>
</tr>
</tbody>
</table>

Click link for performance document details.

Performance Documents

<table>
<thead>
<tr>
<th>Employee ID</th>
<th>Document Type</th>
<th>Begin Date</th>
<th>End Date</th>
<th>Job Title</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEST00022</td>
<td>Performance Improvement Plan</td>
<td>01/01/2014</td>
<td>09/30/2014</td>
<td>Information Tech Coord</td>
<td>In Progress</td>
</tr>
<tr>
<td>TEST00022</td>
<td>PPE Final Evaluation</td>
<td>01/01/2014</td>
<td>09/30/2014</td>
<td>Information Tech Coord</td>
<td>In Progress</td>
</tr>
<tr>
<td>TEST00022</td>
<td>PPE Mid-Year Review</td>
<td>01/01/2014</td>
<td>09/30/2014</td>
<td>Information Tech Coord</td>
<td>In Progress</td>
</tr>
</tbody>
</table>

Click link for performance document details.
Establishing Criteria

Criteria for the performance evaluation are documented in three sections of the planning document: Job Description, Goals, and Competencies. Either supervisor or employee may start the entry, and either may edit criteria while in-progress until the criteria has been completed.

Job description responsibilities (i.e. JAQ, Position Description) are added to the planning document. Note that these responsibilities will be automatically pulled into the Part III – Performance Evaluation Process document once they have been entered.
Goals are documented in the planning document. These goals include specific actions needed to accomplish each along with applicable measurements, resources, and due dates. These goals will be automatically pulled into the Part III – Performance Evaluation Process document in order to record date achieved and results.

Competencies are given percentage weights. These percentages indicate the importance of each competency relative to the established job duties and responsibilities. To assign percentage weights, the supervisor allocates 100 percentage points between the listed competencies to reflect their relative importance or impact on the organization. Not all competencies must be weighted (some can be 0%), but the sum of all must equal 100%. These weights will be multiplied against ratings to calculate weighted ratings in Part III – Performance Evaluation Process.

**Completion of Criteria**

The supervisor is required to complete the criteria. Both employee and supervisor can make changes to the criteria until it is put in “Complete” status.
Once supervisor and employee have finished entry of criteria, the supervisor completes it by clicking the “Complete” button.

When the “Complete” button is clicked, another page confirms the completion.

The document details page shows that criteria has been completed.

Next, the supervisor clicks the “Start” link on the Review Document row to double-check all criteria and make sure it is ready for supervisor and employee signatures, after which this planning document is ready to be reviewed and signed by both employee and supervisor.

NOTE: Supervisor can change any criteria during the Review Document step, but employee cannot.
Review and Signatures

Once criteria has been completed, the planning document is ready to be reviewed and signed by both employee and supervisor. The supervisor clicks the “Start” link on the Review Document row to double-check all criteria and make sure it is ready for supervisor and employee signatures, after which this planning document is ready to be reviewed and signed by both employee and supervisor.

NOTE: Supervisor can change any criteria during the Review Document step, but employee cannot.

Statues through the process of reviewing and signing the planning document include:

<table>
<thead>
<tr>
<th>Review Status</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>After criteria has been completed, the planning document is ready for supervisor to prepare for employee review.</td>
</tr>
<tr>
<td>In Progress</td>
<td>After supervisor has started to prepare the planning document for the employee to review and sign, it can be edited by supervisor while “in-progress”, but the document cannot be seen by the employee until made available for review.</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with supervisor.</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face between employee and supervisor has been completed. Employee can now acknowledge and sign document.</td>
</tr>
<tr>
<td>Acknowledged</td>
<td>Employee has acknowledged and signed document.</td>
</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>

Employee Review of PPE Document

Supervisor clicks the “Available for Review” button to allow employee to review document ready for face-to-face discussion and signature. Note that the detail on the document is collapsed. It can be expanded anytime.

When supervisor clicks “Available for Review” they have a confirmation that this is what they want to do. They click “OK” to finish this step.
Employee receives an email notifying them that the PPE document is ready for them to view.

Your manager has completed your PPE Planning document and it is ready for your review.

This automatic notification is to alert you that your manager has completed your PPE Planning document and it is now ready for your review and comments. Your manager will be contacting you to schedule a review meeting.

You may select this link to go directly to your prepared PPE Planning:
https://kcthrdev.myemec.com/psp/kcthrdev/EMPLOYEE/HRMS/HRS/PP/ROLES_EMPLOYEE.EF_NOTIFY.OREL?
PF_APPRAISAL_ID=1454&FF_REVIEWER_ID=TEST00022&EE_ROLE=MAIN&EE_USER_ROLE=E&TRANSACTION_NAME=ROOT-REVIEW

(please do not respond to this automatic notification.)

Employee Signature

Following the Face-To-Face discussion with the employee, the supervisor marks “Review Held” and allows the employee to sign.

Status changes to “Review Held” and employee receives an email that the document is ready for their signature.
Employee receives and email that tells them the PPE document is ready for their signature.

Employee clicks “Sign Document” to acknowledge the PPE document.

Once Employee Signs document there is an “Acknowledged By” row added to the Audit History.

Document is now in “Acknowledged” status (as the employee has signed it).
Once the employee as “acknowledged” the PPE document with their electronic signature, the supervisor receives an email saying that the employee has signed document.

Oliver Tester has acknowledged the PPE Planning form.

This automatic notification is to alert you that Oliver Tester (TEST00022) has formally acknowledged their recent review of the PPE Planning document. Please forward the completed document to the HR Department by 2014-06-30.

You may select this link to go directly to this PPE Planning:
https://kothr9dev.mynms.com/pep/kothr9dev/EMPLOYEE/HRMS/c/ROLE_EMPLOYEE_PKG_NOTIFY.GBL

(Please do not respond to this automatic notification.)

Supervisor Signs and Completes Document

Once the employee has signed, the supervisor signs and completes the PPE Planning document. Supervisor clicks the “Sign and Complete” link and the “Sign Document” button.

Audit History Status shows “Completed By” showing the supervisor signature.

Email is sent once supervisor completes document.

Manager Document completed

At the conclusion of this Part I – Planning Process both the employee and the supervisor electronically have signed the planning document. Document is automatically dated by system when signed.

A copy may be printed by supervisor or employee anytime during or after the review process from the PeopleSoft Performance Management electronic document.
Supervisor Can “Reopen” if Needed

If a supervisor reopens a document before it is completed, it goes back to “In Progress”, and the document goes through all of the status’s again including – In Progress – Review Held – Acknowledged.

Note Audit History – it shows a row now for “Reopened”. No step is hidden due to this complete audit trail.

Supervisor Can “Override” Employee Signature if Necessary

Sometimes employees will not sign or cannot sign. The system allows an override of that signature as shown. Supervisor clicks “Employee Signature” link and then the “Override Signature” button.

Supervisor can pick which reason the employee signature has to be overridden.
Audit history shows this (Signature by Supervisor and not employee) in the Acknowledged By row.

Document Can Be Emailed Anytime

Although a document can be emailed to anybody, it can only be opened by that person if they have security to it. Thus, the performance documents are only seen by those allowed to see them.
Printing (Optional from PeopleSoft)

A copy may be printed by supervisor or employee anytime during or after the review process from the PeopleSoft Performance Management electronic document by clicking the print icon.

This is the link within PeopleSoft Performance Management for historical documents for supervisors – after July 1, 2014 for staff – in case a past document or signature date is needed:

Completed PPE Electronic Documents (Historical Documents) for Supervisors

This is the link within PeopleSoft Performance Management for an individual employee’s historical documents – after July 1, 2014 for staff:

Completed PPE Electronic Documents (Historical Documents) for Myself
Part II – Mid-Year Progress Review Process

Overview

The Mid-Year Progress Review Process provides an excellent opportunity for the supervisor to focus on recognizing good or exceptional performance, but also allows for feedback to be corrective in cases where performance falls below acceptable levels. In cases where performance is below standard, the supervisor can provide the employee with guidance on how their performance can be improved.

This is the supervisor link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Supervisors

This is the employee link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Myself

Statuses through the documentation, review and signing of the mid-year review document include:

<table>
<thead>
<tr>
<th>Review Status</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>Document created by HR and ready for supervisor to begin entry of mid-year progress review. Employee cannot see document while in this status.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Supervisor has started and is editing the document. Employee cannot see document while it is “in-progress” status.</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with supervisor.</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face discussion between employee and supervisor has been completed. Employee can now acknowledge and sign document.</td>
</tr>
<tr>
<td>Acknowledged</td>
<td>Employee has acknowledged and signed document.</td>
</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>

Current Performance, Planning and Evaluation (PPE) Document

PPE Mid-Year Review Document Details

Oliver Tester, Information Tech Coord
PPE Mid-Year Review: 01/01/2014 - 03/30/2014

Steps in Review Document Status are:
(1) Not Started
(2) In Progress
(3) Available for Review
(4) Review Held
(5) Acknowledged
(6) Completed

Document Progress

<table>
<thead>
<tr>
<th>Step</th>
<th>Status</th>
<th>Due Date</th>
<th>Action</th>
<th>Next Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review Document</td>
<td>In Progress</td>
<td>06/30/2014</td>
<td>Edit</td>
<td>Mark Available for Review</td>
</tr>
</tbody>
</table>
**Determination of Progress**

If the supervisor determines that progress to date has been **satisfactory**, the progress is outlined in the comments field located in the mid-year review document.

If the progress to date has **not been satisfactory**, the supervisor outlines the issues in the comments field located in the mid-year review document **AND** complete a separate Performance Improvement Plan (PIP) **AFTER** consultation with Human Resources. New PIP documents will be created as needed when the supervisor communicates with Human Resources.

---

**Review and Signatures**

At the conclusion of the Part II – Mid-Year Progress Review Process (if conducted) both the employee and the supervisor will electronically **sign** the mid-year review document. Document is automatically dated by system when signed.

**Printing (Optional from PeopleSoft)**

A copy may be printed by supervisor or employee anytime during or after the review process from the PeopleSoft Performance Management electronic document by clicking the print icon.

---

This is the link within PeopleSoft Performance Management for historical documents for supervisors – after July 1, 2014 for staff – in case a past document or signature date is needed:

[Completed PPE Electronic Documents (Historical Documents) for Supervisors](#)

This is the link within PeopleSoft Performance Management for an individual employee’s historical documents – after July 1, 2014 for staff:

[Completed PPE Electronic Documents (Historical Documents) for Myself](#)
Part III – Performance Evaluation Process

The final phase of the PPE process is conducted at the end of the review period. It is the process of discussing and recording the employee’s performance for the past year and for discussing performance improvement and/or goals for the upcoming year.

During the performance evaluation process, the supervisor evaluates the employee’s performance based on criteria that was set during the planning process including: (1) Review of job description responsibilities. (2) Documenting progress toward meeting each goal that was set. (3) Rating the employee’s behaviors included under the respective competencies that were given weightings. The supervisor will also complete justification for ratings given if rating is other than a “3-Met.”

Overview

The following is a brief overview of the Part III – Performance Evaluation Process written for the supervisor.

- Supervisor collects and reviews performance information available on employees.
- Supervisor completes the competency ratings for each supporting behavior with supporting information on ratings if they are above or below ‘Fully Met Job Requirements’ (M).
- Supervisor consults with the “reviewer” (next level supervisor) throughout each step of the performance evaluation process unless directed differently by the respective Human Resources Director for the supervisor’s college.
- Supervisor and employee review and discuss ratings as well as agree on ratings. If supervisor and employee cannot agree on overall rating for the performance period, the supervisor rating is recorded, but the employee includes information in the signed document which supports their disagreement with the rating.

Statuses through the documentation, review and signing of the performance evaluation document include:

<table>
<thead>
<tr>
<th>Review Status</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>Document created by HR and ready for supervisor to begin entry of performance evaluation. Employee cannot see document while in this status.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Supervisor has started and is editing the document. Once supervisor has started this document, the job description responsibilities, goals, and competency weightings are pulled into it from the Part I – Planning Process document. &lt;br&gt;While Reviewer is reviewing and signing document, it will stay “In-Progress”. &lt;br&gt;Employee cannot see document while it is “in-progress” status.</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with supervisor.</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face discussion between employee and supervisor has been completed. Employee can now acknowledge and sign document.</td>
</tr>
<tr>
<td>Acknowledged</td>
<td>Employee has acknowledged and signed document.</td>
</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>
This is the supervisor link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Supervisors

This is the employee link to current documents within PeopleSoft Performance Management:

Current PPE Electronic Documents for Myself

Current Performance, Planning and Evaluation (PPE) Document
Listed below are the current KCTCS Performance Planning & Evaluation (PPE) and Performance Improvement Plan (PIP) documents for which you are the supervisor.
Annual performance evaluations are a key component of employee development and are intended to be a fair and balanced assessment of an employee’s performance.
Performance improvement plans clarify work areas to be improved and activities outlined are intended to help the employee attain a desired level of performance.

Editing the Performance Evaluation Document
Review the job description responsibilities for use in rating competencies. These cannot be changed here as they were established during the Part I – Planning Process.
Document the employee’s progress toward meeting their goals by documenting the “Date Achieved” and the “Results” for each goal in the performance evaluation.

Evaluate the employee’s competencies by rating the behaviors included under the respective competency that was given a weighting during the planning process.

The **rating scale is 1 to 5** – 5 being the highest rating and 1 being the lowest rating. The electronic form is designed with radio buttons below the description of each behavior with numerical choices of 1 to 5. Once a rating has been selected for each behavior and the document is saved it will be averaged with the other behaviors for a competency rating score.

There are three numbers listed for each competency. The first two are the “Rating” score for that competency shown in words and as an “Average Weighted Rating” number. (e.g. “4–Met and Freq. Exceeded” and 3.60). The third number is the “Weighting Percentage” (previously established in Part I – Planning Process) (e.g. “10%”). The calculation is built into the formula and will appear automatically once the behavior ratings have been selected and saved. It is important to note that it will be possible to save the evaluation without entering all ratings. However, it cannot be submitted to the Reviewer until all that have weightings have been entered.
A “total” and “average rating” will be displayed in the Overall Summary section once the document has been saved or the “calculate rating” button pressed. When the evaluation is saved this rating will automatically appear in this section calculated from the weighting percentages multiplied by the supervisor’s ratings of competencies.

<table>
<thead>
<tr>
<th>Rating #5 (EE)</th>
<th>4.50 – 5.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rating #4 (ME)</td>
<td>3.50 – 4.49</td>
</tr>
<tr>
<td>Rating #3 (M)</td>
<td>2.50 – 3.49</td>
</tr>
<tr>
<td>Rating #2 (NI)</td>
<td>1.50 – 2.49</td>
</tr>
<tr>
<td>Rating #1 (F)</td>
<td>0 – 1.49</td>
</tr>
</tbody>
</table>

**Justification for Rating**

Complete the “Justification for Rating” space allocated under each competency for justification of the rating. Supervisors must elaborate on key elements of why an employee has been rated a particular number. This is required if the rating is high (a ‘4’ or ‘5’) or low (a ‘1’ or ‘2’).

**Note:** If an employee’s overall rating is between ‘0 – 2.49’ which is a #1 rating (F) or #2 rating (NI), then a Performance Improvement Plan (PIP) must be established for the employee. The supervisor MUST consult with Human Resources regarding the PIP, after which a new PIP document will be created as needed.
Performance Rating Guide

<table>
<thead>
<tr>
<th>Rating</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consistently Exceeded Expectations of Job Requirements (EE)</td>
<td>Job performance was continuously performed in an exceptional manner. Contributions significantly and consistently exceeded expectations and requirements based on established success criteria, with exceptional quality, quantity, and timeliness of work. Consistently achieved outstanding results well beyond those expected of the position and helped accomplish the KCTCS Strategic Plan by aligning action plans with the strategic goals.</td>
</tr>
<tr>
<td>Met and Frequently Exceeded Job Requirements (ME)</td>
<td>Job performance consistently met and frequently exceeded the expectations and requirements for the position based on established success criteria. Contributions consistently met and frequently exceeded expected criteria for quality, quantity, and timeliness of work. Frequently achieved results beyond those expected for the position and helped accomplish the KCTCS Strategic Plan by aligning action plans with the strategic goals.</td>
</tr>
<tr>
<td>Fully Met Job Requirements (M)</td>
<td>Job performance consistently met the expectations and requirements for the position based on established success criteria. Contributions occasionally exceeded expected criteria for quality, quantity, and timeliness of work and helped accomplish the KCTCS Strategic Plan by aligning action plans with the strategic goals.</td>
</tr>
<tr>
<td>Some Improvement Needed to Meet Job Requirements (NI)</td>
<td>Certain job duties were performed capably; however, improvement in quality, quantity, and/or timeliness of work is required in order to fully meet job expectations and requirements for the position based on established success criteria. A Performance Improvement Plan will be developed by the supervisor to facilitate improvement by the employee. Performance shall be evaluated again in six (6) months. Immediate, significant, and sustained improvement in quality, quantity, and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action procedures.</td>
</tr>
<tr>
<td>Did Not Meet Job Requirements (F)</td>
<td>Performance throughout the rating period did not meet job requirements and expectations for the position based upon established success criteria. A Performance Improvement Plan will be immediately developed by the supervisor to facilitate improvement by the employee. Performance shall be re-evaluated based on the Performance Improvement Plan and the evaluation goals in at least three (3) months, in six (6) months, and again thereafter if determined by the supervisor to be necessary. Immediate, significant, and sustained improvement in quality, quantity, and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action.</td>
</tr>
</tbody>
</table>
Reviewer Approval and Signature

Any supervisor can review any documents within their line-of-sight. This is the link to those documents within PeopleSoft Performance Management:

View PPE Documents for Line-of-Sight Employees (for Management Organization)

Once a supervisor is ready to obtain the final signatures for the document, it may be submitted for reviewer’s signature. A supervisor does this by clicking the “Submit” button from the PPE Final Evaluation document. This will email the reviewer, who may log into PeopleSoft and approve it.

This is the link within PeopleSoft Performance Management for a supervisor to view the status of reviewer approval of performance evaluation documents:

View Reviewer's Approval Status

This is the link within PeopleSoft Performance Management for reviewer approval of performance evaluation documents:

Approve PPE Documents (for Reviewers)

Upon submission, an email reminder is automatically generated to the reviewer with a link to promote logging into PeopleSoft Performance Management. Reviewer reviews the evaluation within PeopleSoft Performance Management and chooses “Approve” or “Deny” to either move the document forward for employee review or send document back to supervisor for editing. Document is automatically dated by system when signed.

Select Transaction to Approve

The hyperlinks below indicate employees who require your participation in an approval process. Select on a hyperlink to see details about what needs to be approved for each employee.

<table>
<thead>
<tr>
<th>Performance Document</th>
<th>Document Status</th>
<th>Approval Status</th>
<th>Submitted By</th>
<th>Document Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oliver Tester</td>
<td>01/01/2014</td>
<td>06/30/2014</td>
<td>In Progress</td>
<td>Submitted</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Liam Tester</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>PPE Final Evaluation</td>
</tr>
</tbody>
</table>
Employee Review of Document

Once the reviewer approves the performance evaluation, the supervisor makes the document available for employee review. This allows the employee to (1) Review the document, (2) Respond to document with one of three responses provided (see below), and (3) Comment as desired.

In order for an employee to review the document and discuss, the supervisor clicks the “Available for Review” button within PeopleSoft Performance Management. Making this change will change the status of the document to “Available for Review” and the employee can see it. This may only be done after the reviewer as approved the document.

This is the link within PeopleSoft Performance Management for employee review and signature of performance evaluation documents:

Current PPE Electronic Documents for Myself
**Supervisor and Employee Evaluation Discussion Meeting**

After discussion with the Reviewer regarding the employee evaluation, the supervisor meets with the employee to review and discuss their evaluation.

Once that supervisor and employee evaluation discussion meeting has concluded, the PPE document is ready for the employee to acknowledge and sign it. The supervisor clicks the “Review Held” button to change the document status to “Review Held.” The employee can now sign and acknowledge the document. Once they have signed the document the status will change to “Acknowledged.”

**Employee Agreement and Comments**

The employee chooses the radio button that he/she feels is applicable. The choice of responses is as follows (employee chooses only one):

- ___ I agree with this evaluation
- ___ I disagree, but accept this evaluation
- ___ I disagree with this evaluation and am hereby appealing the assigned rating through the KCTCS Complaint Resolution Procedure (2.16.2.2)

There is additional space provided below the choice of responses for employee to make “Comments”, which are optional and entirely at the employee’s discretion.

This is the link within PeopleSoft Performance Management for employee review and signature of performance evaluation documents:

[Current PPE Electronic Documents for Myself](#)

This is the link within PeopleSoft Performance Management for historical documents – after July 1, 2014 for staff – in case a past document or signature date is needed:

[Completed PPE Electronic Documents (Historical Documents) for Supervisors](#)
Employee and Supervisor Signatures

At the conclusion of the Part III – Performance Evaluation Process both the employee and the supervisor will use electronically sign the performance evaluation document. Document is automatically dated by system when signed.

Once the supervisor clicks the “Review Held” button to change the document status to “Review Held”, the employee can now sign and acknowledge the document. Once they have signed the document the status will change to “Acknowledged.”

Note: The employee’s acknowledgment does not mean the employee necessarily agrees with everything in the evaluation. This signature is an acknowledgment that the content of the evaluation has been discussed and understood by the employee.

In the document the Audit History will show status changes and employee and supervisor signatures.

<table>
<thead>
<tr>
<th>Date</th>
<th>User</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/10/2014</td>
<td>Thomas Tester</td>
</tr>
<tr>
<td>04/21/2014</td>
<td>Liam Tester</td>
</tr>
<tr>
<td>04/21/2014</td>
<td>Oliver Tester</td>
</tr>
<tr>
<td>04/21/2014</td>
<td>Liam Tester</td>
</tr>
</tbody>
</table>

Once the document is in “Acknowledged” status, the supervisor can sign and complete it. They do so by clicking the “Sign Document” button followed by the “Complete” button. This will place the document in “Completed” status. It now becomes a Historical Document.

Printing (Optional from PeopleSoft)

A copy may be printed by supervisor or employee anytime during or after the review process from the PeopleSoft Performance Management electronic document by clicking the print icon.

This is the link within PeopleSoft Performance Management for historical documents for supervisors – after July 1, 2014 for staff – in case a past document or signature date is needed:

Completed PPE Electronic Documents (Historical Documents) for Supervisors

This is the link within PeopleSoft Performance Management for an individual employee’s historical documents – after July 1, 2014 for staff:

Completed PPE Electronic Documents (Historical Documents) for Myself
## Quick Reference Guide to PPE – PeopleSoft Documents and Workflow

<table>
<thead>
<tr>
<th>Role</th>
<th>Link to PeopleSoft</th>
<th>Menu</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor</td>
<td><strong>Current PPE Electronic Documents for Supervisors</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; Current Documents</td>
</tr>
<tr>
<td></td>
<td><strong>Completed PPE Electronic Documents (Historical Documents) for Supervisors</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; Historical Documents</td>
</tr>
<tr>
<td></td>
<td><strong>Performance Notes for Supervisors</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Maintain Performance Notes</td>
</tr>
<tr>
<td></td>
<td><strong>Reopen Current PPE Electronic Documents (Cannot Be in Completed Status)</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; Administrative Tasks &gt; Reopen Document</td>
</tr>
<tr>
<td></td>
<td><strong>View Reviewer’s Approval Status</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; View Approval Status</td>
</tr>
<tr>
<td>Employee</td>
<td><strong>Current PPE Electronic Documents for Myself</strong></td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Current Documents</td>
</tr>
<tr>
<td></td>
<td><strong>Completed PPE Electronic Documents (Historical Documents) for Myself</strong></td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Historical Documents</td>
</tr>
<tr>
<td></td>
<td><strong>Performance Notes for Myself</strong></td>
<td>Main Menu &gt; Self Service &gt; Performance Management &gt; My Performance Documents &gt; Performance Notes</td>
</tr>
<tr>
<td>Reviewer</td>
<td><strong>Approve PPE Documents (for Reviewers)</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Approve Documents</td>
</tr>
<tr>
<td>Management</td>
<td><strong>View PPE Documents for Line-of-Sight Employees (for Management Organization)</strong></td>
<td>Main Menu &gt; Manager Self Service &gt; Performance Management &gt; Performance Documents &gt; View-Only Documents</td>
</tr>
</tbody>
</table>

**Employee Performance Pagelet Shows Summary of Status**

![Employee Performance Pagelet](image)

**Audit History Shown on All Documents**

![Audit History Shown on All Documents](image)
<table>
<thead>
<tr>
<th>Audit History</th>
<th>Created By:</th>
<th>Thomas Tester</th>
<th>04/10/2014 12:58:57PM</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Last Modified By:</td>
<td>Liam Tester</td>
<td>04/21/2014 3:21:03PM</td>
</tr>
<tr>
<td></td>
<td>Acknowledged By:</td>
<td>Oliver Tester</td>
<td>04/21/2014 3:18:51PM</td>
</tr>
<tr>
<td></td>
<td>Completed By:</td>
<td>Liam Tester</td>
<td>04/21/2014 3:21:03PM</td>
</tr>
</tbody>
</table>

Employee signed (acknowledged) this document at 3:19pm on 4/21/2014.
### PPE Planning Criteria

<table>
<thead>
<tr>
<th>Steps</th>
<th>Explanation of Each Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started begin entry of job</td>
<td>Document created by HR and ready for supervisor or employee to</td>
</tr>
<tr>
<td>In Progress</td>
<td>Criteria started and being edited by supervisor and employee.</td>
</tr>
<tr>
<td>Completed</td>
<td>Criteria completed by supervisor.</td>
</tr>
</tbody>
</table>

### PPE Planning Review

<table>
<thead>
<tr>
<th>Steps</th>
<th>Explanation of Each Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>After criteria has been completed, the planning document is ready for supervisor to</td>
</tr>
<tr>
<td>In Progress</td>
<td>After supervisor has started to prepare the planning document for the employee to review and sign, it can be edited by supervisor while “in-progress”, but</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with supervisor.</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face between employee and supervisor has been completed.</td>
</tr>
<tr>
<td>Acknowledged</td>
<td>Employee has acknowledged and signed document.</td>
</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>

### Mid-Year Review

<table>
<thead>
<tr>
<th>Steps</th>
<th>Explanation of Each Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>Document created by HR and ready for supervisor to begin entry of mid-year progress review. Employee cannot see document while in this status.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Supervisor has started and is editing the document. Employee cannot see document</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face discussion between employee and supervisor has been completed.</td>
</tr>
<tr>
<td>Acknowledged</td>
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</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>

### Performance Evaluation Steps

<table>
<thead>
<tr>
<th>Steps</th>
<th>Explanation of Each Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not Started</td>
<td>Document created by HR and ready for supervisor to begin entry of performance</td>
</tr>
<tr>
<td>In Progress</td>
<td>Supervisor has started and is editing the document. Once supervisor has started this document, the job description responsibilities, goals, and competency weightings are pulled into it from the Part I – Planning Process document.</td>
</tr>
<tr>
<td>Available for Review</td>
<td>Document can be viewed by employee in preparation for face-to-face discussion with</td>
</tr>
<tr>
<td>Review Held</td>
<td>Face-to-face discussion between employee and supervisor has been completed.</td>
</tr>
<tr>
<td>Acknowledged</td>
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</tr>
<tr>
<td>Completed</td>
<td>Supervisor has signed document.</td>
</tr>
</tbody>
</table>
Quick Reference Guide to PPE – PeopleSoft Documents and Workflow

Current Performance, Planning and Evaluation (PPE) Document

**PPE Planning Document Details**

Oliver Tester, Information Tech Coord
PPE Planning: 01/01/2014 - 06/30/2014

**Performance Document Details**

<table>
<thead>
<tr>
<th>Employee:</th>
<th>Oliver Tester</th>
<th>Job Title:</th>
<th>Information Tech Coord</th>
</tr>
</thead>
<tbody>
<tr>
<td>Period:</td>
<td></td>
<td></td>
<td>01/01/2014 - 06/30/2014</td>
</tr>
<tr>
<td>Document ID:</td>
<td></td>
<td></td>
<td>1454</td>
</tr>
<tr>
<td>Status:</td>
<td></td>
<td></td>
<td>In Progress</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step</th>
<th>Status</th>
<th>Due Date</th>
<th>Action</th>
<th>Next Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish Performance Criteria</td>
<td>✔ Completed</td>
<td>06/30/2014</td>
<td>View</td>
<td>Mark Available for Review</td>
</tr>
<tr>
<td>Review Document</td>
<td>✔ In Progress</td>
<td>06/30/2014</td>
<td>Edit</td>
<td></td>
</tr>
</tbody>
</table>

Steps in Criteria Status are:
1. Not Started
2. In Progress
3. Complete

The Action column shows you what you can currently do. Wording will change here based on your role. Examples include "View" and Supervisor may see the word "Edit."

The Next Action column shows you what you will need to do next to move the document through the process. Wording will change here based on your role.

Wording will change in this order:
1. Start
2. Complete Establishing Criteria
3. Mark Available for Review
4. Mark Review Hold
5. Employee Signature
6. Sign and Complete

---

Save will hold the document as edited for later completion. (During the "Establish Performance Criteria" stage, document is saved and edited by both employee and supervisor.)

Complete can only be clicked by a supervisor and will finish the document. During PPE Planning there are two stages to complete:
1. Establish Performance Criteria
2. Review Document

Supervisor clicks buttons to move document forward through the process. Button wording changes based on where document is in the process. Steps in Review Document Status are:
1. Not Started
2. In Progress
3. Available for Review
4. Review Held
5. Acknowledged
6. Completed

Click link to show document in web page in format that prints well.
Click link to email link to somebody that has security to see document.
Click link to go to page that summarizes document details.

---

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Quick Reference Guide to PPE – PeopleSoft Documents and Workflow

Part I – The initial Planning Process Only (PPE Planning document)

Part II – The Mid-Year Progress Review Only (PPE Mid-Year Review document):
Quick Reference Guide to PPE – PeopleSoft Documents and Workflow


---

**Thoroughness**

- **Description**: Demonstrates accuracy and thoroughness
  - 1. Did Not Meet
  - 2. Some Improve, Needed
  - 3. Fully Met
  - 4. Met and Freq. Exceeded
  - 5. Consistently Exceeded

**Rating**: 3. Fully Met

- **Rating**: 3.00

---

**Quality of Work (Job Specific Competency) Summary**


**Summary Weight**: 10%

**Justification for Rating**

- **Writing Tools**
  - Test
  - Test
  - Test
  - Test
  - Test

- **Average Weighted Rating** for the particular competency
- **View descriptions of proficiency ratings by clicking this button.**

---

**Overall Rating**

- **Rating**: 3. Fully Met

**Justification for Rating**

- **Writing Tools**
  - Test
  - Test
  - Test
  - Test
  - Test
  - Test

- **“Overall Weighted Rating” calculated from all competencies that are given weighting percentages.**

---

**Employee Agree/Disagree & Comments**

- **Employee Agree/Disagree & Comments Summary**

  - **Agree with Evaluation**
  - **Disagree & Accept Evaluation**
  - **Disagree & Appeal Evaluation**

- **Rating**: Agree with Evaluation

- **Comments**: This is a section that the employee can edit until the supervisor completes and signs the document.

---

Employee may pick one of the radio button choices as part of their response to the evaluation.

---

Employee may make comments in this space until the supervisor completes and signs the document.

---

Employee may click button to see detail behind their choice.
Approving the document applies to Part III, the Performance Evaluation Process (PPE Final Evaluation document) only. Supervisors can view reviewer's approval status at:

**Main Menu > Manager Self Service > Performance Management > View Approval Status**

Reviewers approve a PPE Final Evaluation document at:

**Main Menu > Manager Self Service > Performance Management > Approve Documents**

*Approve Document*

Approve or deny the proposed information for the employee listed below. You may also enter optional comments about each approval choice. When you are finished, select the Approve or Deny button at the bottom of the page.

**Other Tester**

*Empl ID: TEST00022*

**Performance Document**

- **Doc Type:** PPE Final Evaluation
- **Author:** Liam Tester
- **Period Begin Date:** 01/01/2014
- **Period End Date:** 06/30/2014
- **Rating:** 3-Fully Met

**Performance Document Details**

<table>
<thead>
<tr>
<th>Name</th>
<th>Role Name</th>
<th>Process Action</th>
<th>Process Action Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liam Tester</td>
<td>Originator</td>
<td>Submit</td>
<td>04/14/2014</td>
</tr>
<tr>
<td>Robert Tester</td>
<td>Manager</td>
<td>Deny</td>
<td>04/14/2014</td>
</tr>
<tr>
<td>Liam Tester</td>
<td>Originator</td>
<td>Submit</td>
<td>04/14/2014</td>
</tr>
<tr>
<td>Robert Tester</td>
<td>Manager</td>
<td>Approve</td>
<td>04/14/2014</td>
</tr>
<tr>
<td>Liam Tester</td>
<td>Originator</td>
<td>Submit</td>
<td>04/21/2014</td>
</tr>
</tbody>
</table>

**Stage 1**

Reviewer name and PeopleSoft User ID will appear. If more than one person exists in the organizational structure "above" the supervisor, both names will appear behind the link.

**Comment History**

Reviewer may make comments that may be read by supervisor or by Human Resources.

Reviewer may "Approve" or "Deny" the performance evaluation to move forward for employee review.
## OCTC Student Evaluation of Online Instruction

1. Print name of instructor being evaluated and course number.
2. Write any comments in the "Write-In Area" on the back of this form.

<table>
<thead>
<tr>
<th>INSTRUCTOR __________________________</th>
<th>COURSE __________________________</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Item</th>
<th>Agreement Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. This instructor clearly defines course expectations and my responsibilities.</td>
<td>A</td>
</tr>
<tr>
<td>2. This instructor is prepared and organized.</td>
<td>A</td>
</tr>
<tr>
<td>3. This instructor is responsive if I need individual help.</td>
<td>A</td>
</tr>
<tr>
<td>4. This instructor treats students with respect.</td>
<td>A</td>
</tr>
<tr>
<td>5. Active engagement in this course is encouraged.</td>
<td>A</td>
</tr>
<tr>
<td>6. Given the nature of this course, information is presented at an appropriate rate.</td>
<td>A</td>
</tr>
<tr>
<td>7. Exams are consistent with course material.</td>
<td>A</td>
</tr>
<tr>
<td>8. I receive timely, constructive comments about my exams, papers, and/or projects.</td>
<td>A</td>
</tr>
<tr>
<td>9. My work is graded fairly.</td>
<td>A</td>
</tr>
<tr>
<td>10. I would recommend this instructor to other students.</td>
<td>A</td>
</tr>
<tr>
<td>11. Based on my experience in this course, I would take another online course.</td>
<td>A</td>
</tr>
<tr>
<td>12. I prefer to take online courses: A -as a primary method of taking courses; B-as a supplement to on-campus courses; C-only if I cannot take on-campus courses</td>
<td>A</td>
</tr>
<tr>
<td>13. Compared to a traditional course, the work required for this course is:</td>
<td>A</td>
</tr>
<tr>
<td>A -about the same; B -more than expected; C -considerably more than expected; D-less than expected; E -considerably less than expected</td>
<td>A</td>
</tr>
</tbody>
</table>

Legend:
- A: Strongly Agree
- B: Agree
- C: Disagree
- D: Strongly Disagree
- E: Not Applicable
### General Purpose Data Sheet II

**Form No. 70921**

**OWENSBORO COMMUNITY & TECHNICAL COLLEGE**

**STUDENT EVALUATION OF INSTRUCTION**

**INSTRUCTOR**

**COURSE**

---

#### Scale:

- **NOT APPLICABLE**
- **STRONGLY DISAGREE**
- **DISAGREE**
- **AGREE**
- **STRONGLY AGREE**

---

1. This instructor clearly defines course expectations and my responsibilities.

2. This instructor is prepared and organized.

3. This instructor is responsive if I need individual help.

4. This instructor treats students with respect.

5. Active engagement in this course is encouraged.

6. Given the nature of this course, information is presented at an appropriate rate.

7. Exams are consistent with course material.

8. I receive timely, constructive comments about my exams, papers, and/or projects.

9. My work is graded fairly.

10. I would recommend this instructor to other students.

**THIS QUESTION IS FOR WEB-ENHANCED COURSES ONLY:**

11. This instructor uses web technology effectively in this course.

---

**PLEASE WRITE COMMENTS ON BACK OF FORM**

---

**www.octc.kctcs.edu**