About the Administrative Personnel Handbook

This handbook is intended to outline the University’s policies, procedures, employment and pay practices and employee benefits. Full copies of policies can be found in the offices noted. Where benefits are controlled by insurance contracts, those contracts will rule if there are conflicts between contract provisions and the descriptions in this handbook.

Nothing in this handbook should be interpreted as a contract for employment with or for benefits from University of Pikeville. The University reserves the right to alter, amend or terminate any of the policies and benefits described in this handbook, in keeping with appropriate University guidelines and procedures. This handbook will be reviewed annually and necessary revisions will be addressed.
About the University of Pikeville

Pikeville College was established in 1889 as an outreach of the Presbyterian Church, after an extensive survey of the religious and educational needs of eastern Kentucky. An 1887 scouting party, which included Dr. W.C. Condit, Rev. Samuel B. Alderson, and Rev. James P. Hendrick, set forth (in Condit’s words) to “select the location for an institution of higher learning for the youth of the mountains.”

September 16, 1889, was the first day of class at Pikeville College Institute, a four-room, brick building situated on three acres of land in Pikeville, Kentucky. It functioned as both school and church. The institute was not originally intended to confer degrees, but to give “good practical education to those persons who pursue its courses.” At that time, the institute offered schoolwork in primary, preparatory, and “college” departments.

In 1909, the structure of the school changed. After obtaining permission from the Synod, the articles of incorporation were amended to make Pikeville College a chartered college, empowered by the state of Kentucky to offer four years of college work and confer baccalaureate degrees. Although the college immediately began planning the additional curriculum and faculty needed for this endeavor, the school maintained its commitment to primary and secondary education in the region by sustaining the Pikeville College Academy for grades 1-12. Pikeville College admitted its first college freshman class in 1916. The final two years of college were not added until 1955, and the first baccalaureate graduation was held in 1957, a year that also marked the closing of the Pikeville College Academy.

Pikeville has continued to evolve throughout the years, changing its curricula to meet the changing needs of Appalachia. Students may earn either associate or baccalaureate degrees in a variety of majors in conjunction with a quality liberal arts and science curriculum. As further evidence of its commitment to the health and well being of the Appalachian region, in the fall of 1997 Pikeville College admitted its first students into the newly established Pikeville College School of Osteopathic Medicine.

On July 1, 2011, the college officially became the University of Pikeville, a bold and strategic move that will build upon the institution’s tradition of excellence. The University was reorganized into two schools – the College of Arts and Sciences and the Kentucky College of Osteopathic Medicine. As part of the plan for growth, a program leading to a Master of Business Administration began in fall 2011.

The motto of the University is “Prospiciam ad Montes” or “Look to the Mountains.” When people in the valley below do so, they see a thriving institution dedicated to the education of its people. What began as only a dream has endured more than a century of strife and prosperity, emerging as the “Leading University of Central Appalachia.”

The board of trustees has the ultimate responsibility for the operation of University of Pikeville. The President of the University is the chief executive officer with the responsibility for the day-to-day administrative operations. An organizational chart showing the governing structure and the reporting relationships is shown on the next page.
University of Pikeville Administrative Organizational Chart

Fall 2012

Board of Trustees

President
Paul E. Patton

Special Assistant to the President

Public Relations

Intercollegiate Athletics

Human Resources

Institutional Research & Effectiveness

Vice President for Academic Affairs
Tom Hess, Ph.D.

College of Arts & Sciences
Allara Library
Registrar
Academic Assistance Program
Writing Center

Vice President for Health Affairs
Boyd Buser, D.O.

KY College of Osteopathic Medicine
Elizabeth Akers Elliott Nursing Program
Medical Student Affairs
Medical Library
TeleMedicine Center
KYCOM Community Clinic
Institutional Planning

Vice President for Business Affairs and Finance
Doug Lange

Business Office
Budget
Information & Technology Services
Facilities & Property Management
Campus Police
Legal Counsel
Contracts & Purchasing
Risk Management
Campus Post Office
Food Service
Bookstore

Vice President for Student Services
Dean of Students
Ron Damron

Residence Life
Student Activities
Freshmen Transition Programs
Career Center
Campus Ministries
Intramurals
Health Services
Testing/ADA/Veterans Services
Student Government Association
ACE Program
Upward Bound
Community Education

Vice President for Enrollment Management
James Hurley

Undergraduate Admissions
Graduate Admissions
International Education
Scholarships and Financial Aid
Student Success Programs
Recognition Programs
Booth Scholars Program
P-16 Services

Vice President for Development
Eric Becher, Ph.D.

Development
Grants Development
Alumni Relations
Alumni Association
University of Pikeville Statement of Mission

COMMITMENT TO CHRISTIAN TRADITION
The University of Pikeville, an independent institution with a self-perpetuating board of trustees, was founded by Presbyterians in 1889. The University stands as an opportunity for quality higher education in the heart of Appalachia. Maintaining its commitment to Christian principles, the University recognizes the infinite worth of each person, respecting and accepting a variety of religious expressions.

COMMITMENT TO STUDENTS
While the University remains primarily committed to serving students from Appalachia, it encourages and welcomes students from all regions and cultural backgrounds. University of Pikeville provides an opportunity for students to receive a quality education that focuses on the development of the whole person, including the intellectual, spiritual, social, and physical dimensions.

COMMITMENT TO EDUCATION
The University of Pikeville offers associate, baccalaureate and graduate degree programs that prepare students for a variety of professions or careers. The undergraduate curriculum rests on a broad liberal arts foundation, emphasizing communicative and quantitative skills; independent thinking; tolerance of diverse points of view; cultural, historical and ethical awareness; and preparation for leadership, civic responsibility and lifelong learning. The Kentucky College of Osteopathic Medicine provides graduate students with an osteopathic medical education that emphasizes primary care, encourages research, promotes lifelong scholarly activity and produces graduates who are committed to serving the health care needs of communities in eastern Kentucky and other Appalachian regions.

COMMITMENT TO COMMUNITY AND REGION
University of Pikeville is committed to enhancing the educational, cultural, and economic opportunities for Appalachia through quality academic and continuing education programs as well as involvement in community service and humanitarian efforts.
University of Pikeville Institutional Goals

The University has set the following 10 general goals for carrying out its mission:

I. To maintain a sense of community that stresses ethical and moral values, fosters an appreciation for diversity, and provides an atmosphere that accepts and respects a variety of backgrounds and modes of religious expression within a Christian context.

II. To offer each undergraduate student the opportunity to receive a liberal arts education, emphasizing the value of intellectual development through the promotion of independent and creative thinking as well as the development of basic communication and problem-solving skills.

III. To assist each student in acquiring competence in a chosen professional or career-oriented field based on a broad liberal arts foundation, which encourages lifelong learning.

IV. To enhance each student’s sense of self-worth, self-discipline, and personal integrity while developing social responsibility and leadership potential through a comprehensive co-curricular program.

V. To provide each medical student the personal and professional skills necessary to improve health care services in the Appalachian region.

VI. To maintain a community of high-quality faculty, staff, administrators, and trustees who are dedicated to meeting the individual needs of students and who promote a caring and supportive environment conducive to learning.

VII. To provide necessary resources for a quality education through instructional materials, information technology, library and physical facilities.

VIII. To promote the growth and development of the community at large by encouraging faculty, staff, students, and alumni to serve the community and by encouraging members of the community to serve the University.

IX. To maintain efficient and effective administrative services for institutional and educational support programs.

X. To secure support from private, state, and federal sources to strengthen the University’s viability through sound fiscal policy.
EMPLOYMENT AT WILL POLICY
The University of Pikeville adheres to the employment at will policy established by Kentucky law. This essentially means that you — as well as the University — have the right to terminate the employment relationship at any time and for any reason. The employment at will policy is a widely recognized employment standard, and will govern your employment with the University and our relationship with you as long as you are an employee.

EQUAL EMPLOYMENT OPPORTUNITY STATEMENT
The University of Pikeville is committed to providing equal employment opportunities for all qualified persons. We will not discriminate in any area on the basis of race, religion, gender, age, marital status, veteran status, national origin, sexual orientation or qualified disability. This policy applies to all areas such as hiring, promoting, transferring, training and development, as well as compensation and benefits.

The administration of this University is dedicated to carrying out this policy, and will continue to inform any recruiting sources used now or in the future, including the various state employment services, of our nondiscrimination policy and our commitment to equal opportunity.

The University of Pikeville will make reasonable accommodations for qualified individuals with known disabilities unless doing so would result in an undue hardship.

If you believe you are being discriminated against because of any of the classifications above, you should bring the matter to the attention of your supervisor or area Vice President. In the alternative, you should report your concern to the President of the University or the Human Resources Office.

Employees can raise concerns and make reports without concern of retaliation. All complaints will be kept confidential, except to the extent that disclosure is necessary to investigate and resolve the allegations of discrimination or unfair treatment. Any person who has been found by the University of Pikeville, after investigation, to have violated the University of Pikeville’s policies on equal employment, will be subject to appropriate sanctions and discipline up to and including termination of employment, depending on the circumstances. (See also harassment policy for additional information.)

In keeping with federal immigration laws, new employees will be asked to show proof they are either U.S. citizens or authorized to be employed in the United States.
DISABILITY ACCOMMODATION
The University of Pikeville is committed to complying fully with the Americans with Disabilities Act (ADA) and ensuring equal opportunity in employment for qualified persons with disabilities. All employment practices and activities are conducted on a non-discriminatory basis.

Reasonable accommodation is available to all disabled employees, where their disability affects the performance of job functions. All employment decisions are based on the merits of the situation in accordance with defined criteria, not the disability of the individual. If an applicant for employment or an employee believes they are eligible for such an accommodation, the individual must notify the Human Resources Office and provide adequate information about the disability and requested accommodation, including such medical documentation as may be required for the University to respond to the request.

Qualified individuals with disabilities are entitled to equal pay and other forms of compensation (or changes in compensation) as well as in job assignments, classifications, organizational structures, job descriptions, and opportunities for promotion. The University of Pikeville is also committed to not discriminating against any qualified employees or applicants because they are related to or associated with a person with a disability.

This policy is neither exhaustive nor exclusive. The University of Pikeville is committed to taking all other actions necessary to ensure equal employment opportunity for persons with disabilities in accordance with the ADA and all other applicable federal, state, and local laws.

BACKGROUND CHECK POLICY
All new hire employees and volunteers are required to participate in a comprehensive background check performed by Human Resources. Employees who have moved to a different position may be background checked if they have not already completed the background check within the prior year.

HARASSMENT POLICY
The University of Pikeville is committed to maintaining a humane atmosphere in which individuals do not abuse their personal authority or power in interpersonal relationships. More specifically, faculty, staff, and students will not condone actions or words that a reasonable person would regard as discrimination or harassment.

Harassment in any form — verbal, physical or visual — is strictly against University of Pikeville policy and will result in corrective action. Defining sexual harassment precisely is not easy, but it certainly includes slurs, threats, derogatory comments, unwelcome jokes, exposure to sexually oriented literature or pictures, unwelcome teasing or sexual advances, and other similar verbal or physical conduct.
Some forms of harassment, including physical contact of a blatant sexual nature or behavior that constitutes clear and wanton intimidation, are grounds for immediate dismissal. For information about filing a complaint, see “Complaint Dispute Procedure.”

All employees are required to participate in periodic sexual harassment/harassment training through Human Resources.

COMPLAINT DISPUTE PROCEDURE

The University of Pikeville provides a structured method for staff members to seek timely and objective resolution of complaints/disputes arising in the workplace. The process seeks to determine the appropriateness of decisions or actions affecting an employee’s work environment, and to establish what modifications, if any, might be warranted.

Non-retaliation policy. Employees may initiate the process without fear of retaliation from supervisors or others against whom a complaint may be lodged. Retaliation against any member of the community for participating in the review process is a violation of University of Pikeville policy. Retaliation will not be tolerated and will be subject to University of Pikeville disciplinary procedures. Any violation of this policy should be reported to Human Resources (606) 218-5346, or an appropriate University of Pikeville leadership person immediately.

Confidentiality. It is important to recognize that understanding the nature of the complaint and facilitating resolution typically requires speaking with others. The person conducting the review will take this step only when necessary to resolve the complaint and only with those persons relevant to the resolution of the dispute. It is presumed that all participants of a grievance i.e., complainant, respondent, interviewees, witnesses, supervisors, and institutional leadership, will maintain the confidentiality of the proceedings to ensure an unencumbered resolution process.

Complaint process defined. The complaint process is designed to help both staff members and supervisors constructively understand and address work-related issues regarding job performance, disciplinary warnings, and suspensions for unsatisfactory performance or misconduct. The process is also a vehicle to address valid concerns about specific work assignments or other working conditions, changes in positions, reporting relationships, performance evaluations, work unit or position restructuring, and interpersonal conflicts among individuals.

Concerns regarding such administrative issues as job titles, or individual rates of pay, are subject to review utilizing this process. Human Resources, in conjunction with appropriate departmental personnel, should be consulted during this administrative review. Your immediate supervisor should be your first point contact if your concern is in one of these areas.
**Complaint/dispute process.** A three (3) level procedure is established to resolve valid employee complaints or disputes.

1. The employee should first review the issue(s) with the immediate supervisor. Where feasible, the supervisor should make every reasonable effort to resolve the matter as expeditiously as possible.

   The employee will be permitted both time and opportunity to express himself or herself to ensure that all relevant facts are known during the resolution process.

   If appropriate, the supervisor may seek advice from superiors or Human Resources personnel to resolve the issue at this level.

   If the question or concern is such that it cannot reasonably be taken first to the immediate supervisor, or if the employee is dissatisfied with the decision made at this level, he or she may proceed to the next level under this procedure.

2. Complaints/disputes taken to Level 2 of this procedure must be summarized in writing utilizing the Complaint/Dispute Resolution form.

   The request to move the complaint forward should be sent to the Department Director or Department VP, whichever is appropriate, and should include the following in the written summary;

   a. a brief statement of the complaint or dispute

   b. reasons for the employee disagreement(s) and

   c. the remedy requested

   The department Director may address the issue personally, and may seek consultation with Human Resources before formulating methods to satisfactorily resolve the matter.

3. If the complaint is initiated at the Director level, or the complaint is not satisfied with the resolution efforts rendered by the Department unit involved, (i.e., Finance, Admissions, Student Life, etc.) the employee may proceed to Level 3 of the procedure and forward the written summary, along with all original documents, and/or additional documentation that was generated and reviewed at Level 2, to the appropriate Department VP.

   The Department VP will review the complaint/dispute, and may consult with other institutional leadership members as appropriate, to render a final decision to resolve the issue.

**TOBACCO-FREE CAMPUS POLICY**

The University of Pikeville has a responsibility to its employees and students to provide a safe and healthful environment. Research findings show that tobacco use in general, including smoking and breathing secondhand smoke, constitutes a significant health hazard. In addition to causing direct health hazards, smoking
and other uses of tobacco products (smokeless) contributes to institutional costs in other ways, including fire damage, cleaning and maintenance costs, and costs associated with employee absenteeism, health care, and medical insurance.

Effective August 1, 2010, the University of Pikeville campus became completely tobacco-free. Specifically, smoking or use of other tobacco products will not be permitted on any University campus property or in University-owned vehicles.

The University of Pikeville will provide to all employees, faculty and students, access to free tobacco cessation classes and will publicize its availability.

Should you have any questions concerning the Tobacco-Free Campus Policy, please contact the Human Resources Department.

**DRUG/ALCOHOL POLICY**

The University of Pikeville, in accord with the Drug-Free Schools and Communities Act of 1988, does not permit the use of drugs or alcohol on campus. Under this act:

- it is unlawful to manufacture, distribute, dispense, process or use any controlled substance (including alcohol) in the workplace;
- the University will take disciplinary action (up to and including termination of employment) when this policy is violated by employees;
- any employee who is convicted of violating any criminal drug law must notify the University no later than five days after the conviction.

As part of the disciplinary process, the University will recommend special counseling and/or a rehabilitation program if you have asked for help or if you are identified as needing help.

If you are disciplined because of drug or alcohol dependency you may formally appeal the action. For more information about this policy, contact Human Resources.

**SAFETY POLICY**

The University will take all reasonable precautions to safeguard the health and safety of its employees during regular work hours and to maintain recognized standards of safety and sanitation. All employees are required to cooperate in every way possible in health and safety matters. Employees who ignore safety practices and standards will be subject to disciplinary action.

**Reporting accidents and injuries.** Employees are required to immediately report any accident, injury, or job-related illness — no matter how minor it may appear — to your supervisor. First aid will be provided for minor injuries. If the injury is more serious, you will be taken to the doctor or hospital for treatment.
A full report of the accident must be made to the University of Pikeville Police Department as soon as possible after an accident or injury. The Human Resources Office will receive a report from the University of Pikeville Police Department. If you cannot work because of an injury that occurred at work, you will be covered by Worker’s Compensation. This insurance pays all medical expenses and compensation under the laws of Kentucky.

**FIRE EMERGENCY PROCEDURE**

Familiarize yourself with the location of extinguishers, evacuation routes and notification procedures so you will be prepared in case of fire. Your safety — and the safety of others — is our most important concern. If a fire occurs, here’s what to do:

1. Remove yourself from immediate danger.
2. Assist others in leaving the danger as long as it is safe to do so.
3. Confine the fire or smoke by closing doors and windows as you leave.
4. Activate the nearest fire alarm to alert building occupants.
5. Call 911 first, then the University of University of Pikeville Police Department at Ext. 5940 (if you are using an off campus or cellular phone dial 218-5940).
   a. Give the following information
      i. Building name
      ii. Floor and room number
      iii. Size or type of fire
      iv. Your location
      v. Your name
6. Never attempt to use a portable fire extinguisher unless:
   a. You have been properly trained.
   b. The fire is small (wastebasket size).
   c. You are not alone.
   d. A safe escape route is present.
   e. If any of these conditions are not present, simply close the door and evacuate.
7. If you choose to use a portable extinguisher, follow the PASS procedure:
   a. **P** - PULL the pin on the extinguisher.
   b. **A** - AIM at the base of the fire.
   c. **S** - SQUEEZE the handle before you approach the fire from about 10 feet away.
d. **S** – **S**WEEP and **S**PRAY, covering the entire fire surface as you approach.

e. If this doesn’t extinguish the fire quickly; evacuate.

8. Evacuate through the nearest safe exit or exit stairwell and go to your pre-determined evacuation assembly point.

9. Call the University of Pikeville Police Department to ensure the fire was reported.

10. Once assembled, help to account for personnel and report to the emergency staff if any occupants are unaccounted for and may still be in the building.

Please always remember that it is important to avoid using wedges or otherwise blocking hallway and exit doors open. Open doors can allow smoke to enter stairwells and exit hallways, severely jeopardizing safe evacuation and hampering efforts of fire department personnel.

**IF YOU HEAR OR SEE A FIRE ALARM**

1. NEVER assume the fire alarm is a false alarm.

2. Move to the safest exit or exit stairwell.

3. Close doors as you leave the area.

4. Exit the building.

5. Proceed to the appropriate rallying point.

6. Wait for further instructions from the University of Pikeville Police Department or the Fire Department.

**IF TRAPPED INSIDE YOUR OFFICE OR AREA**

1. Wedge cloth material along the bottom of a door to keep the smoke out.

2. Close as many doors as possible between you and the fire.

3. Telephone the University of Pikeville Police Department at Ext. 5940 and notify them of your situation.


5. If necessary, signal through the window to let safety personnel know your location, otherwise stay close to the floor.

*Additional procedures to follow in an emergency are:*

1. When the building has been evacuated, do not allow anyone to re-enter until directed by the responding emergency personnel. The only agencies authorized to allow re-entry is the Senior Fire Officer or a University of Pikeville Police Officer.

2. Plans should be developed and modified as necessary to include the shut down or securing of any critical equipment, experiments, cash drawers, high
value items, etc. The plan shall state that this may be done ONLY in cases where time and safety permits. Such procedures include, but are not limited to, securing all cash drawers, either by locking them or taking the drawer with you and having at least one other individual with you during the evacuation. Notify the first University of Pikeville Police Officer to arrive on the scene that you have high value items. This does not include personal items such as purses, jewelry, etc.

3. Do not spend time collecting papers or personal items or wait for others who are doing so.

4. Do not go back into the building once you have evacuated.

5. Do not try to evacuate through smoke or fire. Use a second exit or an area of refuge until assistance can arrive.

SECURITY POLICY

Each employee is responsible for the security of his or her own belongings and for the security of University property or information they use. Security policies include:

**Personal belongings.** The University is not responsible for the loss or theft of personal belongings. Do not carry large sums of cash or other valuable items when you come to work. Do not leave purses unattended on desks or other open areas.

**Keys.** Facilities Management issues keys to University facilities with the approval of the appropriate member of the executive staff. **If keys are lost you will be liable for replacement of keys and/or core lock changes.** In some areas, University ID cards are used as “electronic keys.” This type of access still requires approval of the appropriate member of the executive staff and access is applied to the ID card by the University of Pikeville Police Department Officer.

**PCNET.** All University of Pikeville faculty, staff and currently enrolled students are eligible for network accounts through the University of Pikeville Information and Technology Services. Retired University of Pikeville faculty and staff may request that their e-mail and personal Web page services remain active upon retirement. Each account is assigned for the use of a single user. Sharing of accounts is prohibited. The user for whom the account was created is responsible for the security of the account and all actions associated with the use of the account.

University computer facilities and accounts are owned by the University of Pikeville and are to be used for academic research and instruction, electronic mail, Internet access and for activities related to the mission of the University of Pikeville.
E-Mail. Electronic mail is covered under the Electronic Communication Privacy Act of 1986. This act provides for the prosecution of individuals found surreptitiously capturing, reading or altering another’s e-mail without permission. A user should not e-mail any message that he/she would not be willing to sign and put in the mail. It is strictly prohibited to send or forward e-mails containing libelous, defamatory, offensive, racist or obscene remarks. If you receive an e-mail of this nature, you must promptly notify your supervisor.

Confidentiality. Official University files (student and personnel) are kept on computers and are considered confidential. Only authorized persons are allowed to access them. Federal regulations govern the use and distribution of information concerning students. You are not to discuss or release confidential information unless you are authorized to do so. You could be subject to disciplinary action if you violate this policy.

Unauthorized Use. The University of Pikeville expects all departments to be aware of how intellectual property laws, regulations, and policies apply to the electronic environment and to respect the property of others.

Unauthorized use of facilities, equipment and services includes, but is not limited to the following illustrative examples: illegal or criminal activities, including copying or distribution of copyrighted material without permission; sending fraudulent electronic mail; the unauthorized use, deletion or alteration of accounts or files belonging to other users; use, attempted use, or possession in one's account of programs intended to crash the system, fraudulently imitate system responses, or gain unauthorized access to privileges, accounts, data, software, computers, or networks; harassing or intimidating others; interfering with the reasonable and normal use of the facilities and services by others; sending unsolicited e-mail to large groups or forwarding “chain letters;” copying licensed, proprietary software; or deliberately altering or damaging facilities, hardware, software, system files, or operating system software in any way that would prevent or interfere with the intended use of the computer system by others. Accounts may be revoked if the account is found to have been used for activities that violate any portion of this policy, or the owner of the account is no longer enrolled or employed by the University of Pikeville.

More information on the University of Pikeville’s IT policies can be found at: http://www.upike.edu/businessaffairs/tech/policies.aspx

GIFTS TO THE UNIVERSITY
The Vice President for Development is responsible for the development program at the University of Pikeville, including soliciting gifts from donors. Any effort to obtain funds from prospective donors must be cleared in advance by the Vice President for Development so that we:

- avoid over-soliciting people who are already supporting the University, and
• ensure that any solicitation does not coincide or conflict with the overall goals of the development program efforts to obtain general operating support for the University.

Gifts made to the University of Pikeville are preferred to be in the form of a check payable to the University of Pikeville, or in the form of stock that has been legally transferred to the University. Donors who want to direct how the gift is to be used should put those instructions in writing. The University does have the means for receiving gifts via credit card.

The University discourages gifts in the form of cash, because it places liability on the person accepting the gift. If you receive a cash gift, take it immediately to the Development Office.

All gifts must be submitted to the Development Office for processing. The Vice President for Finance and Business Affairs, Controller and Finance Director are the only persons authorized to endorse checks to the University and the only persons authorized to determine if or when a gift of stock should be converted to cash.

PUBLIC RELATIONS
Public Affairs coordinates the communications, marketing, public events and visual identity programs for the University of Pikeville.

Your part in public relations: Although there is a formal public relations program, each employee also represents the University of Pikeville. Both on and off the job, your behavior is a reflection on the institution.

Contact the Public Affairs office to learn more about the services we provide, including the Web site, distribution of press releases, advertising, publications, photography, graphic design and print services and the University’s visual identity guidelines.

USE OF UNIVERSITY FACILITIES
For community events: Both nonprofit and for-profit organizations may use campus facilities if they meet the guidelines established by the University and obtain the proper authorization. Outside organizations also must sign written agreements for using our facilities, and the University of Pikeville Police Department must be notified in advance that outside organizations are using University facilities. Requests to use University facilities should be referred to the following persons:

• Classrooms: Academic Affairs.
• Chrisman Auditorium: KYCOM Basic Sciences Secretary.
• Community Technology Center: Information Technology.
• Dining Hall & Java City: Director of Food Services.
• **Hall of Fame Room**: Vice President for Student Services.

• **Booth Auditorium and Gymnasium** (for use other than classes): Coordinator of Events.

• **All other facilities**: register with President’s administrative assistant.

All on-campus and off-campus groups hosting events on the University of Pikeville campus will be required to use the University of Pikeville food service. For more information on food service, dial Ext. 5032.

**For fund-raising programs**: University-sponsored groups may use University facilities to conduct fund-raising projects and activities (such as tournaments, summer camps, special events) to benefit the students or the University. You must have the approval of the appropriate member of the executive staff and the Vice President for Finance and Business Affairs, and you must develop and submit a budget for the event. All income from these events must be deposited in the Business Office. Funds will be used to underwrite the costs of the program as outlined in the budget. If there is a surplus, the money will be used:

- to generate income for a special fund (if already approved by the Vice President for Finance and Business Affairs and established, such as the Alumni Scholarship Fund); or
- for the general fund (for unrestricted use by the University).

**In disasters/emergencies**: The University of Pikeville has a responsibility for helping the community in emergencies or times of disaster. We will make University facilities available when all public facilities are in use or are inoperative. The use of University facilities must be approved by the University President (or other members of the executive staff if the President is not available), and according to guidelines established by the University for such occasions.

The university assumes that staff and students who are not directly affected by the disaster/emergency will help others who have been affected.

**USE OF UNIVERSITY EQUIPMENT**

Any use of University equipment off-site or off-premises must be approved by policies and procedures within the employee’s specific work area. If there is no specific written policy and/or procedure for the work area then the approval must be in writing (hard copy or electronic form) by the supervisor and/or appropriate vice president ultimately responsible for that work area on campus. Under no circumstance is University equipment to be removed from campus without following this policy.
TRAVELING EXPENSE GUIDELINES

Employee travel expense incurred, as a representative of the University of Pikeville, will be reimbursed in accordance with the following guidelines.

- **Air travel.** The most feasible air travel arrangements must be sought. Only coach rates are acceptable. If accompanied by a spouse, you must use your own credit card and you will be reimbursed for your portion only. All air travel will be arranged through the executive office to which you report.

- **Automobile travel.** The reimbursable rate for automobile travel will be published annually.

- **Hotel reservations.** Hotel reservations are limited to a moderately priced room at the hotel where the conference is being held. If this is not possible, use a comparable facility located nearby. Reimbursement for the hotel will be for single-room rate only. Personal expenses, such as movie rental fees or health spa charges, are not reimbursable.

- **Incidentals.** Incidentals will be subject to approval of your vice president.

- **Meals.** Meals are limited up to a maximum of $50 per day. Each meal must be accompanied by a receipt for reimbursement. Extraordinary circumstances, which may cause this expense to exceed $50 per day, must be documented by a receipt and approval by the corresponding vice president. (There is no longer a per-diem allowance).

- **Local taxi or shuttle service.** Local taxi or shuttle service is authorized only when travel is to and from airport/train stations or to and from conference sites. Receipts for such services must be obtained whenever possible.

- **Documentation.** You must submit documentation to support all expenses for which you are requesting reimbursement, including conference registration and activity charges, hotel, restaurants and other facilities. If your meals are included in your hotel bill, list the meals and hotel charges separately on the expenditure form.

OTHER NOTES:

- **Entertaining guests.** If you entertain guests of the University or interview prospective employees, you will be reimbursed for expenses if you have the approval of the appropriate cost center and you submit a travel voucher with the necessary receipts. You are required to list their names and the purpose of the entertainment on your travel voucher.

- **Reimbursement request.** Reimbursement requests must be filed with the Business Affairs Office, with supervisor approval within five working days after completing the trip and incurring the expenses.

- **Travel advances.** Rather than be reimbursed for expenses, you may instead apply for a travel advance. Requests for travel advances must be approved
by the head of your cost center before being submitted to the Business Office. At the end of your trip, you must turn in an accounting of all business expenses to the Business Office within 48 hours. If actual expenses are less than the advance, you must reimburse the University. Any cash advance not repaid to the university will be withheld from employee’s wages.

- **Credit card.** If you use a University credit card to pay for travel expenses, you must attach receipts for all business expenses to the travel voucher.

- **University vehicles.** University-owned vehicles are available for business-related travel for those who have completed training and are on the approved driver list. **Seat belts must be worn by all occupants of a University-owned vehicle.** The vehicles are assigned on a first-come, first-serve basis, with the exception of Development and Admissions Offices whose needs take priority. Please contact Facilities Management for further information. Mileage will be charged to your cost center. Use of these vehicles will be charged to your cost center.

**CONFLICT OF INTEREST POLICY**

**Outside interest.** In order to safeguard the activities and assets of the University of Pikeville, employees of the University should not have interests in outside businesses which conflict or appear to conflict with their ability to act and make independent decisions in the best interest of the University of Pikeville.

An employee is considered to have an interest in an outside business if the employee or any member of his/her immediate family holds any ownership in the business or its property; furnishes goods or services to the business; is a creditor, employee, agent, officer, director, or consultant of the business. Outside businesses include any person, firm, corporation, or government agency that sells or provides a service to, purchases from, or competes with the University of Pikeville.

At the time of hire, and periodically thereafter as requested, all employees will be required to complete an Agreement concerning ethical standards of conduct and conflict of interest. Periodic checks will be conducted by the Human Resources Department to determine changes that have occurred; however, all employees are expected to exercise good judgment and discretion in evaluating a particular activity so as to avoid any actual, or apparent, conflict of interest. If there is a doubt, the employee should discuss it with his/her supervisor and/or the Assistant VP for Human Resources.

Excluded are investments in the securities of a bank, public utilities, and transportation companies subject to regulations by government authority or a mutual fund or investment company registered under the Investment Company Act. Securities are also listed on a national securities exchange or customarily bought and sold at least once a week in the over-the-counter market or in which
the employee and/or his or her family have less than $10,000 invested, at cost or market value, or hold less than one percent of such outstanding securities.

**Ethical standards.** The University of Pikeville expects its employees to observe the highest standards of business ethics.

No employee should take any action on behalf of the University that they know, or reasonably should know, violates any applicable law or regulation. This obviously includes such activities as bribery, kickbacks, falsehoods, and misrepresentation.

The University of Pikeville prohibits all employees from accepting gifts, gratuities, or entertainment from individuals and firms with whom the University of Pikeville does business. It is also a violation to give gifts to individuals or firms with whom the University of Pikeville does business. Excluded from this prohibition is the exchange of normal business courtesies such as luncheons or dinners, when they are proper and consistent with regular business practice. Also excluded are advertising or promotional materials and holiday or other gifts, which are of nominal value (less than $25).

Failure to comply with the aforementioned provisions may result in corrective action, up to and including termination of employment.

**INTELLECTUAL PROPERTY RIGHTS POLICY**

**Introduction.** The University of Pikeville is committed to providing an environment that supports the learning, teaching, scholarship, and creative activity of all of its faculty, students, and staff. Within this context, this Intellectual Property Rights Policy (the “Policy”) is intended:

• to encourage excellence and innovation in teaching, scholarship, and creative activities by identifying and protecting the intellectual property rights of faculty, staff, students and the University

• to encourage the notion that creative and scholarly works produced at the University of Pikeville should advance the state of knowledge and contribute to the public good

• to clarify the interests of the University and to acknowledge and protect the traditional property rights of scholars with respect to products of their intellectual endeavors (e.g., faculty-authored books, articles, manuscripts, plays, writings, musical scores, and works of art)

• to guide policy and process for commercial uses of employee-created intellectual property other than the traditional products of scholarly work.

This Policy covers all types of intellectual property, including in particular, works protected by copyright, patent and trade secret laws. Although the following list is not exhaustive, it provides typical examples of the kinds of work the policy addresses: inventions, discoveries, trade secrets, trade and
service marks, writings, art works, musical compositions and performances, software, literary works, and architecture.

Policy
The University of Pikeville owns the rights to all works, inventions, developments and discoveries (herein referred to as “work” or “works”) created by employees within the scope of their employment or whose creation involves the substantial use of University equipment, services, or resources. This includes, but is not limited to, any patentable invention, computer-related software, and databases. This Policy will not be applied to such traditional scholarly works as faculty-authored books, articles, manuscripts, plays, writings, musical scores, and works of art (hereinafter referred to as “scholarly works”), nor to Regular Instructional Works (including, but not limited to, online courses, course materials, lecture notes and laboratory manuals, unless directed or commissioned by the University) developed without substantial University support and used solely for the purpose of assisting or enhancing the faculty member’s instructional assignment. In determining whether University support is substantial, factors such as the following shall be considered: (i) whether the creation of the Work involved the use of special services, equipment, facilities or technological information that go beyond what is traditionally provided to faculty members generally in the preparation of course materials; and (ii) whether the work in question was created as a specific requirement of employment or as an assigned instructional duty. If the creator needs clarification as to whether a work is considered a Regular Instructional Work he/she should consult with the appropriate Division Chair and the Vice President for Academic Affairs and Dean of the College of Arts and Sciences. In the case of the Kentucky College of Osteopathic Medicine, the appropriate Associate Dean and the Vice President for Health Affairs and Dean of the College of the Kentucky College of Osteopathic Medicine should be consulted. This Policy applies to all students, faculty, and staff of the University, including the College of Osteopathic Medicine. Subsequent references to the terms “employee” or “employees” shall include any of the foregoing.

The “work-for-hire” rule in the Copyright Act grants the University ownership of the copyright to all copyrightable works produced by its employees within the scope of their employment. (Please see Heading I below concerning the ownership of intellectual property and Heading II concerning an employee’s scope of employment.) However, in the case of scholarly works, such as faculty authored books, articles, manuscripts, plays, writings, musical scores and works of art, the University cedes copyright ownership to the author/creator(s). It is not the intent of this Policy to change the relationship between author/creator and the University that has existed through the years in relation to copyright ownership of scholarly works, or regular instructional works referred to above.

The use of University equipment, services or resources is “substantial” when it entails a kind or level of use not ordinarily available to all, or virtually all,
faculty and/or staff. (Please see Heading III below for the definition of “substantial use.”) Where questions arise as to whether a particular work involves “substantial use” or falls within the “scope of employment,” the matter shall be referred to the Intellectual Property Committee (IPC) who will be responsible for policy decisions regarding intellectual property and making recommendations to the President of the University for final approval. The IPC membership will include the Vice President for Academic Affairs and Dean of the College of Arts and Sciences, the Vice President for Health Affairs and Dean of the College of the Kentucky College of Osteopathic Medicine, the Chief Financial Officer, the Division Chair/Associate Dean of the faculty member involved, the Chair of the Executive Committee of the undergraduate faculty and the Chair of KYCOM Faculty Congress (or their surrogates if necessary).

When employee-created intellectual property results from third-party grants, contracts, or awards made to the University of Pikeville, the intellectual property is owned by the University unless written agreement involving the University, the employee, and the sponsor establishes an alternative ownership arrangement. No such agreement shall be entered into without the review and approval of the Vice President for Academic Affairs and Dean of the College of Arts and Sciences (undergraduate) or the Vice President for Health Affairs and Dean of the College of the Kentucky College of Osteopathic Medicine (medical school).

A compilation is a work formed by the collection and assembly of University-owned and employee-owned intellectual property in such a way that the resulting work as a whole constitutes an original work of authorship. If a work is a compilation, each contributing employee shall retain all ownership interests in his/her intellectual property; but by allowing the work to become part of the compilation, he/she thereby grants a non-exclusive, royalty-free license to the University for use of his/her contribution. While the University of Pikeville shall own rights to the compilation, it shall own no rights to the underlying work beyond said license and will share any net proceeds from the compilation as described below.

If an employee creates intellectual property other than a scholarly work or Regular Instructional Works and which may lead to commercial development, then he/she is expected to immediately notify his/her immediate supervisor and the Vice President for Academic Affairs and Dean of the College of Arts and Sciences (and the Vice President for Health Affairs and Dean of the College of the Kentucky College of Osteopathic Medicine for medical school employees) in order to provide them with sufficient information to permit the University to evaluate the work, both its ownership and its commercial potential, and, if appropriate, to take steps to protect the intellectual property rights. If ownership rests with the University, but the University elects not to exercise its ownership rights, then ownership rights and responsibilities related to patenting, copyrighting and licensing shall rest with the author(s). In such a case, the
University retains a non-exclusive, royalty-free right to use the work for non-commercial purposes.

In the case of employee-owned intellectual property, the author/creator may petition the University to accept assignment of ownership rights and the attendant control of and responsibility for development. The University, however, is under no obligation to accept this assignment and would do so only when independent evaluation indicates that accepting the assignment would further the mission and work of the University.

**Revenue Sharing**
The University wishes to encourage excellence and innovation in teaching, scholarship and creative activities and to support the notion that works produced at the University of Pikeville should be used for the greatest possible public benefit. In the context of these aims, the University endorses the legitimate expectation of employee author/creators to share in any net revenues produced by licensing or other development of intellectual property. Accordingly, for any work in which the University asserts ownership interest under this Policy, the University and the author/creator(s) will share any annual net revenue (revenues less recovery of all legal and other costs involved in protecting the intellectual property rights of the work, licensing costs, and other directly related administrative costs) in the following percentages, unless different contractual agreements have been reached in relation to particular works:

<table>
<thead>
<tr>
<th>Net Revenue</th>
<th>Author/Creator(s)</th>
<th>University of Pikeville</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt; $10,000</td>
<td>100%</td>
<td>0%</td>
</tr>
<tr>
<td>$10,000-$50,000</td>
<td>75%</td>
<td>25%</td>
</tr>
<tr>
<td>$50,000-$100,000</td>
<td>60%</td>
<td>40%</td>
</tr>
<tr>
<td>&gt;$100,000</td>
<td>50%</td>
<td>50%</td>
</tr>
</tbody>
</table>

If a work involves more than one employee as authors/creator, the author/creators will divide their share equally unless they provide the University with an alternative revenue distribution agreed upon by them. Net revenues received by the University under this Policy should be directed toward support of scholarly, research, or creative activity on the part of faculty and staff where feasible.

Recognizing that this area is complex and rapidly evolving, the University of Pikeville remains open to the possibility of arriving at special agreements as the need may arise in relation to particular projects. This policy shall be reviewed periodically by the Intellectual Property Committee and revised as necessary.

**I. Who owns intellectual property?**
*When does the University own employee-created intellectual property?*
Any one of these circumstances will result in University ownership:
1. If intellectual property is created by an employee within the scope of employment; or
2. If intellectual property is created on University time with substantial use of University equipment, services or resources; or
3. If intellectual property is commissioned by the University
   - pursuant to a signed contract; or
   - if it fits within one of the nine categories of works considered works for hire under copyright law.
4. If intellectual property results from research supported by federal funds or third party sponsorship and no written agreement involving the University, the researcher and the sponsor have established an alternative ownership arrangement.

When does an employee own intellectual property?
1. If it is unrelated to the employee’s job or class responsibilities and the employee has not made substantial use of University equipment, services or resources; or
2. If it is a work that has been released to the author/creator in accordance with this Policy; or
3. If the intellectual property is embodied in such traditional scholarly works as faculty authored books, articles, manuscripts, plays, writings, musical scores, and works of art even though such a work may be within the scope of employment and even if significant University resources were used unless the work is:
   - created by someone who was specifically hired or required to create it or
   - commissioned by the University

In either of these cases, the University, not the creator, will own the intellectual property.

II. What is meant by “within the scope of employment”?
Works related to an employee’s job responsibilities, even if he or she is not specifically requested to create them, will belong to the University as works-for-hire. A copyright work is related to your job responsibilities if it is the kind of work you are employed to do and you do it, at least in part, for your use at work, or for use by fellow employees, your employer or your employer’s clients. The work should be performed substantially at work using work facilities, but your use of personal time or other facilities to create the work will not change its basic nature if it is related to your job as described above. Works that have nothing to do with job duties will remain the property of the employee, so long as he or she makes no more than incidental use of University facilities.

For example, if your job is “Safety Engineer,” a software program that you create on your own initiative to run on each employee’s computer to show a graphic of their nearest fire exits is related to your job duties and will belong to
the University, even if no one asked you to create it and you did some of the programming at home on your own computer. A program that you create that does not relate to your job, that neither you nor others use at work, and that you create on your own time would belong to you.

**III. What is meant by “substantial use”?**
The Intellectual Property Rights Policy uses the phrase “substantial use of University equipment, services, or resources” in determining when the University claims ownership of employee-created intellectual property, not including work identified in the Policy as traditional “scholarly works” or “Regular Instructional Works.” The purpose of this section is to amplify the intended meaning of “substantial use.”

For purpose of this Policy, “substantial use” is the use of resources other than those “ordinarily available” to most or all faculty and/or staff. At this date, such ordinarily available resources include office space and personal office equipment, office computer work stations, library and other general use information resources, and the means of network access to such resources. Involvement of students receiving funding through the external grants or federal programs is also excluded from the definition of “substantial use.” By contrast, utilization of University laboratories or special instrumentation, dedicated assistance by University employees, special financial assistance, or extensive use of shared facilities would constitute substantial use.

The understanding of “substantial use” may be revised from time to time to reflect changes in technological paradigms.

**IV. Disclosure Procedures**
Procedures for disclosure of intellectual property should be discussed with the Vice President for Academic Affairs and Dean of the College of Arts and Sciences in the undergraduate program and with the Vice President for Health Affairs and Dean of the College of the Kentucky College of Osteopathic Medicine.

**Acknowledgement**: This policy borrows from intellectual property policies at the University of Texas System, Berea College, Centre College, and Transylvania University.

**UNIVERSITY OF PIKEVILLE COPYRIGHT POLICY**
The Copyright Act of 1976 provides copyright protection for original works of authorship that are fixed in a tangible format. This policy governs the use of copyrighted works at the University of Pikeville.

It is the intent of the University of Pikeville and the University of Pikeville - Kentucky College of Osteopathic Medicine (UPIKE-KYCOM) to support and abide by the provisions of the United States Copyright Law (Title 17, United States Code, Sect. 101, et seq.) The following policies are intended to be used as
guidelines for all University employees who wish to use copyrighted material in the course of their duties at the University. This includes, but is not limited to, reproducing, altering, or performing works that are protected by copyright.

Two other laws that also address the use of copyrighted works are the 1998 Digital Millennium Copyright Act (DMCA) and the 2002 Technology, Education, and Copyright Harmonization (TEACH) Act. The DMCA restricts the use of copyrighted works in electronic formats. The TEACH Act permits additional distribution rights for online education. The University of Pikeville and UPIKE-KYCOM both support and abide by the restrictions of both the DMCA and the TEACH Act.

U.S. copyright law contains many gray areas, and the goal of this policy is to provide administrators, faculty, librarians, students, employees, and others with a standard approach for addressing complex copyright issues. This policy covers classroom issues such as photocopying, online and distance education, and coursepacks. It also covers library uses such as print and electronic Reserves, ILL, and document delivery. Other copyright and intellectual property policies may complement this policy by providing guidance on copyright issues beyond text-based materials used in the classroom and library.

The following policy provides practical guidelines and procedures to follow on copyright-related matters; however, it is not a substitute for legal advice, and proper legal assistance should be obtained when necessary. The University Copyright Officer will be able to assist you.

Copyright Officer Karen Evans  
Director of Library Services  
(606) 218-5606  
KarenEvans@upike.edu

Members of the University community who willfully disregard the copyright policy do so at their own risk and assume all liability.

Approved Undergraduate Faculty (October 28, 2010)  
Approved UPIKE-KYCOM Faculty (November 2010)  
Approved UPIKE Board of Trustees (February 5, 2011)

Guidelines and Procedures

What is the purpose of Copyright Law?
The rights granted by the Copyright Act are intended to benefit creators of original works including literary, dramatic, musical, architectural, cartographic, choreographic, pantomimic, pictorial, graphic, sculptural and audiovisual creations. This means that virtually any creative work—including books, magazines, journals, newsletters, maps, charts, photographs, graphic materials, and other printed materials; unpublished materials such as analysts’ and consultants’ reports; and non-print materials, including electronic content, computer programs and other software, sound recordings, motion pictures, video
files, sculptures, and other artistic works—is almost certainly protected by copyright. Exclusive rights are granted to the creator of original work which includes the rights to reproduce, distribute, publicly perform, and publicly display their works.

These rights provide copyright holders control over the use of their creations and an ability to benefit, monetarily and otherwise, from the use of their works.

In the U.S., the general rule of copyright duration for a work created on or after January 1, 1978, is the author’s life plus 70 years after the author’s death. This is often referred to as “life-plus-70.” Works created by companies or other types of organizations generally have a copyright term of 95 years.

Copyright law does not protect ideas, data, or facts.

What are the rights of copyright owners?
Copyright is designed to provide legal protection for the authors of original works, including literary, dramatic, musical, artistic, or any other intellectual product. Publication is not essential to claim copyright protection; however, in order to take legal action, the copyright must be registered with the U.S. Copyright Office. Section 106 of the Copyright Act gives the owner exclusive rights to control who can do the following:
1. Publicly display the work.  
2. Reproduce copies of the work.  
3. Prepare derivative works based on the work.  
4. Distribute copies of the work by sale, rental, lease, or lending.  
5. Publicly perform the work.

The rights above are subject to “Fair Use” limitations which apply to all media with medium specific limitations.

What is Fair Use?
Fair Use, covered in Section 107 of the Copyright Act of 1976, allows scholars and students limited use for educational purposes. Fair Use is expressed in guidelines and consists of four factors that must be considered. The Copyright Clearance Center (http://www.copyright.com/Services/copyrightoncampus/content/index.html) has an excellent explanation of how to determine Fair Use for academic purposes.

The following must be considered:
1. The purpose and character of the use.  
2. The nature of the copyrighted work with special consideration given to the difference between a creative work and an informational work.  
3. How substantive the portion or amount of the work to be used versus the work as a whole.  
4. Effect of the use on the potential market for the work.
Permission for copying in excess of Fair Use can be obtained through the Copyright Clearance Center (http://www.copyright.com) and the cost will be charged to the Academic Department. Permission of the Department Chair is required before you make the request.

**Copyright Law and Printed Materials**

*Works that may be used freely*
Some publications, primarily scholarly, will include a notice stating that the work can be used freely for educational purposes.

Other works may be in the public domain, so their use is not protected by copyright.
1. Publications dated 1922 or earlier.
2. Works published before January 1, 1978, that do not contain a copyright notice.

**Photocopying**
Copies made for classroom use must meet the Fair Use Guidelines and include a notice that it is a copyright work. See “Library Reserves” below for more guidelines.

**Photocopying Sheet Music**
The following guidelines pertain to the copying of sheet music.
1. Emergency copying for a performance is allowed, as long as a replacement copy is subsequently purchased.
2. An entire performable section is allowed if it is out of print or only available in a larger work.
3. Excerpts to be used in class, but not performed, should not exceed 10% of the entire work and should not equal a performable unit.

**Signage**
Effective signage regarding photocopies and copyright must be posted at every photocopy machine on campus.

**Copyright Law and Library Reserves**

**General Information**
Section 107 of the Copyright Act requires that all items placed on library Reserve meet the Fair Use Guidelines as to the purpose of use, brevity of selection, spontaneity and cumulative effect. Each copy must also include a notice that the item is copyrighted material.

For the Fair Use Test, visit the Copyright Clearance Center at: http://www.copyright.com/Services/copyrightoncampus/basics/fairuse_rules.html
Reserve materials should be a reasonable portion of the reading and required material for the course. Reserve material is not intended to substitute for textbooks.

**Books**
Books owned by the library that are part of the circulating collection, personal copies of the faculty member, or copies owned by the department may be placed on Reserve without copyright permissions. The selection assigned must meet Fair Use Guidelines. The amount used in the class usually cannot exceed one chapter or one selection from an edited collection of readings or essays. Required workbooks or textbooks cannot be placed on Reserve.

**Journals**
Only one article from an issue of a journal or newspaper may be placed on Reserve without obtaining copyright permission.

**Media**
Media items owned by the Library, personal copies of the faculty member, or copies owned by the department may be placed on Reserve. Please note that some Library Videocassettes/DVDs have public performance rights, but most do not. However, copyright allows their use in face-to-face teaching situations.

Recordings that have been illegally copied or recorded will not be placed on Reserve.

**Photocopies**
The guidelines below apply to both print and electronic Reserves.

All photocopies placed on Reserve are considered to be the property of the faculty member. The copies will either be returned or destroyed at the end of the semester.

The following items can be placed on Reserve without acquiring copyright permission.

- Exams created by the faculty member
- Lecture notes
- Government documents
- Works that are in the public domain
- Works that do not include a copyright notice and were first published before January 1, 1978.

If the following items meet the Fair Use Guidelines, they can be placed on Reserve. A reasonable number of photocopies (one copy for every 10-20 students) are allowed.

- One copy of an article from a single journal issue
- One short story, essay, or poem
- One chapter of a book
• One chart, drawing, diagram, cartoon, illustration, or graph

In order to comply with the copyright guidelines, the library staff will require the following items, as applicable.
• Faculty must sign a form that they are complying with copyright guidelines when placing items on Reserve.
• All items must contain a notice of copyright. The library staff will have a standard form that can be filled out, copied, and placed with the material.
• Student work placed on Reserve will require a signed permission form from the student.

Items that cannot be placed on Reserve:
• Photocopied pages of a workbook
• Anthologies created by using photocopies from different works
• Items that were on Reserve the previous semester for which copyright permission has not been obtained by the faculty member.

Items will be returned if the library staff determines that there is an infringement of copyright law. You may obtain the needed permissions and re-submit the material. In order to obtain permission, please visit the Copyright Clearance Center at http://www.copyright.com. The cost will be covered by the department but departmental procedures must be followed.

Copyright Law and Interlibrary Loan

General Information
Interlibrary Loan (ILL) is a service that allows University of Pikeville and UP-KYCOM students, faculty, and staff to borrow copyrighted materials, including books, journals, and other materials, from other libraries. Interlibrary loan activities are primarily governed by section 108 of the Copyright Law of 1976, and are further restricted by the Commission on New Technological Uses of Copyrighted Works (CONTU) guidelines, which limit aggregate quantities for photocopying. Section 107 (Fair Use Guidelines) may also apply to certain interlibrary loan transactions.

Books and other materials:
• Most books and other materials may be borrowed without violation of copyright as long as they adhere to the Fair Use Guidelines.
• Textbooks may NOT be requested if they are required for a course taught at the University of Pikeville. Interlibrary loan services are not intended as an alternative to purchasing a required text for a course, and requesting them would be a violation of the Fair Use Guidelines.
• Circulation of collections is at the discretion of the lending library. Many libraries choose not to lend certain collections, such as Reference, Audio-Visual, or Genealogy materials.
Periodicals and Photocopying

- Section 108 of the Copyright Act specifies that a library may copy “no more than one article or other contribution to a copyrighted collection or periodical issue, or … a small part of any other copyrighted work.” The copy must become the property of the requestor, and its use is limited to “private study, scholarship, or research.”
- The University of Pikeville Libraries adhere to the CONTU Guidelines, which offer guidance as to what a “small part” of a work may be.
- The CONTU Guidelines state that FIVE is the maximum number of photocopied articles that can be requested from the most recent five years of a periodical to which the libraries do not subscribe. Individuals requesting copies in excess of the CONTU allowance may be asked to pay a royalty or the fee necessary to obtain such copies commercially.
- The following may be copied and distributed through Interlibrary Loan:
  - Entire works or sections of works that are in the public domain
  - Entire works or sections of works by the U.S. government
  - Entire works or sections of works used with permission from the copyright holder
  - Entire works or sections of works used under the provision of Section 108 (reproduction by libraries and archives)
  - Portions of books, journal issues, and other print resources that meet a reasonable determination of fair use
  - Works used under the provisions of a contract or license agreement (These agreements may differ from, and often take precedence over, what is allowed under copyright law.)
  - Copyrighted works owned by the University of Pikeville Libraries, or another library, if after a reasonable investigation, the copyrighted work cannot be obtained at a fair price.
- The Interlibrary Loan office is legally obligated to display prominently the following notice and to include the same text on all request forms:

**NOTICE:**

**WARNING CONCERNING COPYRIGHT RESTRICTIONS**

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be “used for any purpose other than private study, scholarship, or research.” If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of “fair use,” that user may be liable for copyright infringement. This institution Reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.
Digital Resources
No clear-cut guidelines have been developed yet pertaining specifically to digital resources. Electronic resources and subscriptions usually require license agreements which detail who, how, and where the resources may be accessed. These license agreements vary widely and must be regarded individually in terms of copyright issues. It is the responsibility of the Lending Library to ascertain whether fulfilling an Interlibrary Loan request is in violation of their license agreement. The University of Pikeville Libraries do not “lend” electronic access or copies of materials obtained electronically to people or libraries under any circumstance that may violate their license agreements.

Copyright Law and Multimedia
Multimedia materials include, but are not limited, to still and moving images, sounds, data, digital texts, and World Wide Web services. The use of these materials in the classroom is protected under copyright law unless there is specific reason to believe that they are in the public domain. Students may read, watch, and copy multimedia materials presented in the classroom for private use but may not copy and distribute these materials. If students use parts of these multimedia texts in research and written work, they must credit these sources appropriately. Students must obtain permission from the copyright holders to share the material beyond the classroom.

Use of these materials is permitted in an educational institution as long as certain conditions are met. Section 110 (1) of the Copyright Act of 1976 specifies that the following is permitted:

“performance or display of a work by instructors or pupils in the course of face-to-face teaching activities of a nonprofit educational institution, in a classroom or similar place devoted to instruction, unless, in the case of a motion picture or other audiovisual work, the performance, or the display of individual images, is given by means of a copy that was not lawfully made under this title, and that the person responsible for the performance knew or had reason to believe was not lawfully made.”

Additional text of the Copyright Act and portions of the House Report (94-1476) combine to provide the following, more detailed list of conditions [from Virginia M. Helms, supra]:

- They must be shown as part of the instructional program.
- They must be shown by students, instructors, or guest lecturers.
- They must be shown either in a classroom or other school location devoted to instruction such as a studio, workshop, library, gymnasium, or auditorium if it is used for instruction.
- They must be shown either in a face-to-face setting or where students and teacher(s) are in the same building or general area.
- They must be shown only to students and educators.
- They must be shown using a legitimate (that is, not illegally reproduced) copy with the copyright notice included.
• Multimedia texts may not be used in a classroom setting for entertainment or recreation, whatever the work’s intellectual content.

Making and Using PowerPoint slides from copyrighted works
Faculty members are responsible for obtaining copyright permissions for classroom materials. Copyright ownership of slides and photographs encompasses control over display as well as reproduction. However, Section 110 of the Copyright Act of 1976 addresses the display of copyrighted slides and photographs in educational settings by allowing “display of a work by instructors or pupils in the course of face-to-face teaching activities of a non-profit educational institution, in a classroom or similar place devoted to instruction” so long as the copy of the artwork was lawfully made. Furthermore, the purpose of the display must be integral to the course.

Faculty members have access to the ARTStor database which does allow use of most of the material in the classroom.

Copyright and Distance Learning
A Brief Guide to the Technology, Education, and Copyright Harmonization (TEACH) Act
Copyright law does not distinguish between copyrighted materials by format. Print and digital materials are handled in the same manner. However, distance education and online course management systems created new issues due to the need to digitize, display and copy material. Students at distant locations were at a disadvantage due to copyright restrictions that limited use to face-to-face teaching situations. The TEACH Act amends sections of 110(2) and 112(f) of the U.S. Copyright Act to permit greater latitude in the use and display of copyrighted materials for distance education.

If an institution meets the requirements of the TEACH Act:
• Instructors have the right to use a wide range of material in distance learning.
• Students may participate in class from any location.
• Storing, digitizing and copying of documents is permissible.

A partial listing of requirements that must be met under the TEACH Act:
• The institution must be an accredited, non-profit educational institution.
• Students must be informed that the material is covered by copyright and a notice of copyright must be displayed on the materials.
• Technological measures to prevent unauthorized users and/or excessive printing, copying, (other than assigning a password), must be in place.
• Access must be terminated at the end of the class.
• Use must be limited to students in a class.
• Use cannot include transmission of textbooks or materials that would normally be purchased, such as workbooks.
• Fair Use Guidelines do apply.
• For a full list of requirements: www.copyright.gov/legislation/archive/
If it is necessary to conduct an online class without live interactive feedback, apply the following rules to confirm the educational use exemption applies. Check US code Title 17 Chapter 1 section 110 to determine if in fact you need to worry about transmitting copyright works in the first place. If you feel that copyright still applies to the works you want to use in your class then please follow these rules of thumb in their use:

1. Incorporate copyrighted works in limited amounts and then only if a faculty member or the institution possesses a legal copy of the work.
2. Address any copyright issues by properly citing the source.
   Include in your citation:
   • any copyright notice on the original item
   • appropriate citations and attributions to the source
   • A “do not copy under penalty of law…” statement is necessary.
   Please use the official University of Pikeville notice available from the copyright officer.

If your use does not fit easily into the above rules of thumb, you will need to apply Title 17 Chapter 1 section 107, the Fair Use Guidelines. Please contact the director of copyright policy for the University of Pikeville to determine if your use passes the “fair use exceptions.”

Course Management Systems
The guidelines that apply to classroom use also apply to use of copyrighted material on a Course Management System (CMS).

Some things to remember:
• Fair use applies to all material just as it does in print.
• A CMS does not substitute for purchasing textbooks or workbooks.
• Providing links to online database content subscribed to by the Library is allowed and is the preferable method for providing access.
• Remember that the rights included with the purchases of textbooks vary by publisher. Some will allow scanning and posting but some do not.
• Copyright notices must be included with copyrighted material.
• Be certain that copyrighted materials are removed at the end of the semester.

Copyright and Software
Personal Use
All software is copyrighted and may not be duplicated without the permission of the author. Major applications such as Microsoft Word and PowerPoint as well as utilities such as Norton Anti Virus, clip art, and the operating system (Windows), are samples of copyrighted software. When software is purchased, the buyer has the right to use it but does not own the software. The buyer can legally install and use one copy on one machine unless a multiple user license has been purchased.
Shareware is user supported software that is distributed by the author, but it is not free. Usually, shareware is accompanied by a request for evaluation of the software for a set period of time after which the user is expected to either pay for the software or delete it.

Freeware is software that has been placed in the public domain by the author and can be copied and distributed without cost.

**Fair Use and Software**
Fair Use Laws do not apply to software. Universities and colleges are subject to the same software copyright laws as corporations and individuals. Software cannot be duplicated without authority from the publisher. The following activities will violate copyright restrictions pertaining to software:

- Using one set of disks to install software on several computers without purchasing a site license.
- Borrowing or loaning software.
- Installing University-owned software on a home computer, unless a copy is purchased by the University for that purpose.

Unauthorized duplication of software, also known as software piracy, is a federal crime carrying significant penalties for universities and corporations. To protect creativity and intellectual endeavors, software piracy will not be tolerated by the University.

The Music Library Association (MLA) offers guidelines pertaining to copyright and use of digital audio files. [http://copyright.musiclibraryassoc.org/Resources/PublishedGuidelines](http://copyright.musiclibraryassoc.org/Resources/PublishedGuidelines)

**Digital Millennium Copyright Act (DMCA)**
On October 28, 1998, the Digital Millennium Copyright Act (DMCA) was signed into law. Title II of this Act gives protection from liability for copyright infringement to online service providers (OSP), such as colleges and universities, who comply with the provisions of the Act. Users providing copyrighted information on a Web site hosted by the University of Pikeville are reminded that repeated copyright infringement may result in loss of network access.

To report suspected copyright infringement on a Website hosted by the University of Pikeville, users should contact the University of Pikeville Assistant Vice President for Information Technology:

*Corrine Bolt*
Assistant Vice President for Information Technology
(606) 218-5327 • CorrineBolt@upike.edu
ESTABLISHING NEW/REVISING OLD POLICIES

Any employee may request that a new policy be established or an old policy be revised. To start the process, the proposed new policy or changes must be sent to the Business Affairs office. The request will be researched to determine best practices and a first draft will be created with input from the proponent office. Once changes have been completed, it will be sent to the executive staff for review and comments. The revisions will be sent back to the Business Office and proponent office for changes. Once all changes have been made, the executive staff will review the policy for a final time and vote to either recommend to the President for adoption or strike down the proposed policy.
Working at the University of Pikeville

WHEN YOU START WORK
When you join the University of Pikeville, you will:

- Receive this handbook, which you should read to familiarize yourself with the University’s operations. You will need to complete and turn in a form stating that you have received and read the handbook;
- Receive a benefits packet to review and enroll in the various benefit plans offered by the University;
- Complete the required federal and state tax forms so that the appropriate deductions can be made from your pay;
- Receive a general briefing on the operations of the University of Pikeville;
- Receive a University of Pikeville identification card;
- Receive a University of Pikeville computer account (including e-mail address and WebAdvisor access);
- Receive University of Pikeville sexual harassment/harassment information;
- Participate in a comprehensive background check (if not previously completed during the applicant phase of the hiring process);
- Receive from your supervisor detailed instructions about the duties of your job.

YOUR JOB
There are two categories of salaried and hourly Administrative personnel:

- **Full-time employees:** You are considered a full-time employee if you are regularly scheduled to work 37 ½ or 40 hours a week. Full-time employees are eligible for all benefits provided by the University of Pikeville.
- **Part-time employees:** You are considered a part-time employee if you are regularly scheduled to work less than 37 ½ hours a week. Part-time employees are eligible for some, but not all benefits provided by the University. (See “Your Pay and Benefits” in this handbook for more information.)

YOUR JOB DESCRIPTION
Jobs are classified according to the function performed. When you were hired, you should have been given a written job description outlining the responsibilities for that position. Your job description will be used in evaluating your work performance.
PERFORMANCE APPRAISAL
When you are hired or accept a new position, you will have a 90-day probationary period. At the end of this period, your performance will be evaluated to determine whether your work is satisfactory for continued employment.

Quality performance reviews are conducted annually for all staff classified positions. The supervisor and/or vice president will facilitate this process with you and the final review will be filed with Human Resources. (Faculty must refer to the appropriate faculty handbook for their respective review process.)

WORK HOURS
Normal office hours are 8 a.m. to 5 p.m. The normal work week is a 40-hour calendar week. It begins at 12:01 a.m. Sunday and runs until midnight Friday. Staff personnel typically work 7.5 to 8 hour shifts, your supervisor will review your work schedule with you.

OVERTIME
All employees may be required to work overtime at some time or other, either in the form of additional hours per day or additional days per week. Overtime is not allowed unless authorized by your supervisor or department head. Whenever possible, you will be told in advance when you are to work overtime. You are required to work the extra time unless you have a reason satisfactory to the University. If you refuse to work overtime without a valid reason, your employment could be terminated.

PROPER ATTIRE
The appropriate professional dress attire is required for all areas. Please review these expectations with your direct supervisor and/or vice president.

BREAKS
- Lunch break: There is a one-hour unpaid lunch break for all employees.
- Rest periods: An employee working a 7.5 or 8-hour shift shall be granted two 10-minute breaks per day with pay.

PAYDAY
Pay is issued direct deposit on the 15th and the last day of each month. When a payday falls on a weekend, direct deposit is issued on the preceding Friday. When a payday falls on a federal holiday, direct deposit is issued on the preceding banking business day.

EMERGENCY CLOSING
Authority to close the institution or a particular facility or area rests with the President or his or her designee. In the absence of the President, the Vice President for Academic Affairs, in consultation with the Vice President for
KYCOM and the Dean of Student Affairs, will make the decision. In those cases where an emergency may be of such magnitude that it requires a timely decision and the President and Vice Presidents are not available, those administrators or staff immediately involved with the problem shall take the action necessary to preserve life and property under the direction or head of campus the University of Pikeville Police Department until such time as an officer of the institution can be contacted.

**Inclement weather policy:** In the event of inclement weather, classes will not be delayed. However, the University of Pikeville may be closed on rare occasions. In the event of such closure, local radio and television stations will be contacted between 6-6:30 a.m. so the public can be notified. Even when classes are canceled, offices will remain open and the staff is to use discretion when coming to work. Personal days or vacation days may be used if necessary.

**PERSONNEL RECORDS**

You should promptly notify Human Resources when there are changes in your life. Among the changes to report include a new address or phone number, change in name or marital status, addition or removal of dependents, change in income tax deductions, or a change of beneficiary for insurance programs. This type of information is necessary so we can notify your family in case of emergency and keep your benefits current.

Requests for information about your salary from outside sources will not be released without your written consent. However, the University will confirm (without your consent) information about your dates of employment and positions held.

You have the right to review information in your personnel file. Contact Human Resources if you wish to make an appointment to do so. All reports, documents and materials in the files are the property of the University of Pikeville and may not be removed.

**EMPLOYEE DISCIPLINE PROCEDURE**

The University of Pikeville has a strong commitment to excellence in all we do, and we depend on the members of the University community to uphold the highest professional standards. We strive for an environment of trust, unquestioned integrity, and a genuine concern for the welfare of the organization and of others in our community.

Issues of poor performance or misconduct, however, compromise both the individual and the organization. For this reason, the University of Pikeville expects performance and professional conduct to meet high standards at all times. Performance or conduct issues that arise will be addressed through a process of performance improvement counseling and disciplinary action.
Certain infractions may warrant – at the University of Pikeville’s discretion – immediate disciplinary action, including discharge.

Performance improvement counseling is an extension of performance evaluation and professional development. It is a process intended to help supervisors and staff members overcome work-related shortcomings, strengthen job performance, and maintain a successful employment relationship.

Disciplinary action generally occurs when performance improvement counseling has not had the desired effect or when misconduct warrants it. The University of Pikeville reserves the right to place an employee on administrative leave when it is thought to be in the best interest of the employee and/or the University for the employee to be away from campus. Examples may be (but are not limited to): time to collect information about a reported incident or behavior, in the best interest of safety for the employee or others, or a catastrophe has occurred. While on administrative leave the employee will still collect his/her regular pay and benefits. The decision to place an employee on administrative leave is at the discretion of the appropriate Vice President in consultation with Human Resources.

Human Resources, Ext. 5346, is available for consultation at any step of the performance improvement counseling process and should always be consulted before disciplinary action or termination of employment.

Performance Improvement Counseling

During the Probationary Period. The 90 day probationary period for new staff members is particularly important. The department uses this time to establish guidelines and expectations, and the staff member uses the time to demonstrate competence regarding job duties. If job performance during probation is unsatisfactory, supervisors will give the staff member written notice of the deficiency and explain how the performance needs to improve in order to continue employment. Supervisors may also elect to extend the probationary period, to provide additional training or time to evaluate whether the individual will be able to meet expectations.

A staff member may be terminated without further notice during the probationary period if he or she fails to meet performance expectations.

Progressive Discipline Process

Oral Reprimand. Problems in performance or conduct that arise after the probationary period can occur at any point in an employee’s career. Sometimes they are due to new tasks or changes in work routine or are the result of personal problems an employee may be experiencing. Raising issues and exploring solutions is the responsibility of both supervisors and employees. The progressive discipline process, if properly managed, should serve as a vehicle to identify, correct, and prevent recurrence of a performance problem or incident of misconduct and to prepare the employee for satisfactory service in the future.
When a supervisor notices a performance issue, it is expected that they will bring the issue to the attention of the employee in a respectful and timely manner. The oral discussion with the staff member should always be the first step. The Supervisor shall produce written documentation of the reprimand in detail, utilizing the University of Pikeville’s Constructive Counseling form. After the oral discussion of the problem and agreed upon solution, the employee is to acknowledge by signature, and be given a copy. One signed copy of the Constructive Counseling form should be kept in the immediate Supervisor’s file, and one in the employee’s official personnel file housed in the Human Resources Department.

**Written Notice for Performance or Misconduct Problems.** If performance concerns persist, a written warning from his/her Supervisor is warranted to officially inform an employee of concerns arising out of continued and/or unsatisfactory conduct or performance of a more serious nature. The Supervisor should give the staff member an opportunity to tell “their side of the story” before formal action is taken, especially in cases where the decision to take action will be based on reports from others rather than on first-hand observation by the supervisor. This reprimand is to be written utilizing the Counseling and Discipline form and acknowledged by the employee’s signature. If the staff member refuses to sign the written notice, the supervisor may indicate on the form that the employee refused to sign, and the disciplinary action will proceed. The employee, after being counseled, is to receive a copy of the written document. One signed copy of the Constructive Counseling form should be kept in the immediate Supervisor’s file, and one in the employee’s official personnel file housed in the Human Resources department.

If performance or conduct improves to an acceptable level and does not recur for one year and no other disciplinary actions are required during that time, the written notice should be considered resolved. However, the written notice remains on file as part of the individual’s historical record and a pattern of performance problems, regardless of improvement, will be considered grounds for disciplinary action, up to and including dismissal.

**Final Written (Suspension or Termination) Notice for Continued Serious Performance or Misconduct Problems.** If performance or conduct does not improve to an acceptable level within the time frames established in the written notice or if additional performance or conduct concerns arise, a final written notice will be issued. At this level of the process, “suspension without pay” or termination may be warranted.

Documentation of the performance problems should state how the staff member’s unacceptable behavior or performance continues to fall short of expectations, and what must be accomplished in order to meet expectations, and the time frames for achieving expectations. Most importantly, it should clearly document the fact that failing to reach the necessary level of performance within
the established time frames will end the employment relationship. As in the previous step, supervisors should consult with Human Resources at Ext. 5346 before issuing a final written notice.

The staff member should receive a copy of the final written notice and should sign the departmental copy as acknowledgment of receipt. As before, if the staff member refuses to sign the written notice, they may indicate on the form that the employee refused to sign, and the disciplinary action will proceed. The employee, after being counseled, is to receive a copy of the written document. One signed copy of the Constructive Counseling form should be kept in the immediate Supervisor’s file, and one in the employee’s official personnel file housed in the Human Resources Department.

If the performance or conduct improves to an acceptable level and does not recur for one year, and if no other disciplinary actions are taken during that time, the matter should be considered resolved. However, the written notice remains on file as part of the individual’s historical record and a pattern of performance problems, regardless of improvement, will be considered grounds for disciplinary action, up to and including dismissal.

**Terminations and Misconduct That Warrant Immediate Discharge.** Termination is the final step in the Progressive Discipline Process should the employee’s performance or conduct status not improve to a satisfactory level.

Actions that involve dishonesty, violation of the law, material risks to the University of Pikeville operations or to the safety or wellbeing of oneself or others, or other serious misconduct are grounds for immediate dismissal.

Supervisors should consult with Human Resources at Ext. 5346, before discharging an employee.

**PARKING REGULATIONS**
Campus parking at the University of Pikeville is a privilege that entails certain responsibilities. It is the vehicle operator’s responsibility to know and abide by the University’s parking regulations as well as state and local laws. The following regulations have been established to ensure the proper maintenance, control and use of all University parking facilities.

**General Guidelines**
*(Note: These guidelines are in effect 24 hours a day, 365 days a year, including all holidays.)*

**Vehicle Registration**
The University of Pikeville requires that all vehicles parked on campus be registered with the University of Pikeville Police Department. To register your vehicle you must complete a vehicle registration form located in the police department office.
All vehicles must have a valid parking permit visible in the window at all times while parking on campus.

Parking on Campus
The lots on campus are reserved 24 hours a day for VALID PERMIT HOLDERS ONLY.
Within these lots are a few specific reserved spaces including residence hall directors and disabled parking. The individual spaces are clearly marked with “RESERVED” signs. Violators will be ticketed or towed. All disabled parking on campus is reserved 24 hours a day for vehicles with a valid state-issued handicap parking placard. The placard must be displayed in the window and the owner of the placard must be present. The lot located behind Allara Library is reserved for fleet vehicles, vendor parking and reserved parking for staff. The lot located behind Derriana Hall is designated for visitors and reserved parking. One-hour visitor spaces are NOT to be used by students during business hours (Mon.-Fri. 7 a.m. to 5 p.m.) These parking spaces are reserved for visitors who need short-term (one hour or less) parking.

Permit Guidelines
1. Permits are issued on a graded basis. Grades are as follows:
   a. Original permit is included in comprehensive fee
   b. Subsequent permits or replacement permit are $1
2. All University of Pikeville resident student permits are valid for one year beginning July 1 and expire on June 30 of the following year.
3. Permits are issued under the following designations:
   a. Orange - Resident student parking (one-year expiration)
   b. Silver - College Square Apartments parking lot (included in lease terms, no expiration)
   c. Red - Fleet vehicle or specialty lots (no expiration)

Penalties
General Policies
Vehicles without permits will be wheel-locked and towed at the owner’s expense.
Illegally parking – even for a moment – may result in a ticket from the University of Pikeville Police Department.
If a vehicle is disabled, it is the responsibility of the operator to contact campus police prior to receipt of any citation.
All violations are the responsibility of the person registering the vehicle. Excessive violations will result in the loss of parking privileges.
List of Fines

1. Disabled Parking $100
2. Fire Lane $100
3. Visitor Only $50
4. Reserved Parking $50
5. Overtime Parking $20

Fines

Fines are added to the account of the person registering the vehicle.
Parking fines must be paid with cash, check or credit card. They may not be deducted from scholarship or grant money.
All fines are to be paid in the Business Office located in the Administration Building.

Towing/Immobilization

Vehicles not authorized to park on University of Pikeville property (no permit) will be subject to immediate towing 24 hours a day, seven days a week. Once a tow truck has been called towing fees will apply.

Appeals

Parking appeals may be made in the University of Pikeville Police Department or online on the campus police web page before the next Parking Appeals Committee meeting, no exceptions.
The University of Pikeville Parking Appeals Committee meets twice a semester, once near mid-terms and again the week before finals.
There are five members on the committee.
1. The chief of police or designee (Chair)
2. The director of facilities or designee
3. The dean of students or designee
4. A faculty member appointed by the vice president of Academic Affairs
5. The Student Government Association president or designee

Appeals are not to be considered granted or denied until written notification is received from the committee.
No person sitting on the committee can appeal his/her own citation and may elect to designate someone to sit on the committee while his/her appeal is heard.
The committee’s decision is final and cannot be appealed again.
Time Away From Work

There are times when you must be away from work for specific reasons. When you know you will not be at work, you must notify your supervisor as soon as possible. You are responsible for keeping backup documentation of any preapproved planned time away. If you need additional information about any of the following items, please contact the Human Resources Office.

MEDICAL AND DENTAL APPOINTMENTS
If you have a doctor’s or dentist’s appointment, please notify your supervisor as far in advance as possible. You may use accrued sick, annual, or personal leave for this purpose.

SICK LEAVE
Full-time staff and KYCOM faculty employees accrue sick leave at the rate of 6 ¼ hours each month, or 10 days each year that you are employed by the University. For absences that last longer than three days, you will be required to provide a written doctor’s excuse. (Athletic coaching staff and faculty employees do not accrue sick leave.)

Sick leave is to be used only for the following purposes:

• routine medical and dental exams and treatments;
• your own illness, injury or hospitalization;
• pregnancy-related circumstances, including childbirth, miscarriage and abortion, and recovery from these events;
• immediate family care is permissible for all situations in the above list. (Please see “Bereavement Leave” for the definition of immediate family.)

If you use all of your accrued sick leave before you are recovered, or before you are eligible for long-term disability benefits, you can use accrued personal leave or vacation days so you can continue to receive full pay. After that, you must request a leave of absence without pay. Please see Human Resources for questions related to short-term and long-term disability benefits.

PERSONAL LEAVE
Full-time staff and KYCOM faculty employees are eligible for three days of paid personal leave each fiscal year (July 1 – June 30). You can take personal leave in whole days or partial days, but you need to notify your supervisor in advance (if at all possible) that you are taking personal leave time. Personal leave is not additional vacation or holiday time, and it is not accrued or paid when you leave the University. (Athletic coaching staff and faculty employees do not accrue personal leave.)
ANNUAL LEAVE

The University of Pikeville provides paid vacation days, which you accrue each year. Vacation days accrue as follows:

Staff Personnel/KYCOM Faculty & Days Accrued Each Year

- Hourly: 10
- Administrative/Professional: 15
- Executive/KYCOM faculty: 20

After 10 years of continuous service, hourly, administrative and professional staff will receive an additional five days of vacation.

About your vacation days:

- You must have your supervisor’s approval to take vacation time. Give your supervisor a written request (e-mail records are acceptable) for vacation time at least 10 days in advance, longer if possible. You are responsible for keeping backup documentation of any preapproved planned time away.
- You must have already earned the vacation time before you can use it.
- Vacation days accrue from July 1st through June 30th. Employees may carry over up to half of their accrual allowance into the new fiscal year.
- The University of Pikeville reserves the right to direct use of annual leave under adverse situations.
- You may use accrued vacation days as sick leave if you used all of your accrued sick leave.

Eligibility: Full-time staff and KYCOM faculty employees are eligible for annual leave. (Athletic coaching staff and faculty employees do not accrue annual leave.)

For more information: Contact Human Resources for more information about annual leave.

HOLIDAYS

The University of Pikeville observes the following paid holidays each year:

- Christmas Eve day through New Year’s Day
- Martin Luther King Jr. Day
- Thursday and Friday of Spring Break Week
- Good Friday
- Memorial Day
- Independence Day
- Labor Day
- Wednesday through Friday of Thanksgiving Week
When the date for observing a holiday is set by federal or state law, the University will follow the law. If a holiday (other than Christmas Eve or New Year’s Day) falls on a weekend, it will be observed on the following Monday or preceding Friday. To view the current schedule, please visit http://www.upike.edu/Human-Resources/Holidays.

Eligibility: Regular full-time employees are eligible for paid holidays.

Holiday pay: Full-time hourly employees who work on a holiday will be paid for the holiday at their overtime rates.

VOTING
If at all possible, you are encouraged to vote before or after your normal work hours. However, if the polls are not open when you can get to them, you will be given the necessary time off with pay to vote.

JURY DUTY
If you receive a notice to serve on a jury, you should tell your supervisor as soon as possible after the notice is received. When you are on jury duty, you will be paid your regular daily rate of pay but are expected to report your time to Human Resources for accurate recording of hours. You are expected to come to work when you do not have to appear in court. If you report to court, but are not required to serve on the jury, you must come back to work for the remainder of the day if you are released before the end of the work day.

MILITARY SERVICE
Each year, you are eligible for up to 14 calendar days of military leave with pay for active duty or field training if you:

• are a member of the Kentucky National Guard or an organized reserve unit of a U.S. military service, and
• give a copy of your military orders or other authorizing documents to your supervisor in advance.

EMERGENCY RESPONDER SERVICE
Each year, you are eligible for up to seven calendar days of emergency responder leave with pay for field training if you:

• are a member of an organized emergency responder service (ex. volunteer fire dept., emergency medical, etc.), and
• give a copy of your credentials and training information to your supervisor in advance.
BEREAVEMENT LEAVE
All full-time employees will be allowed up to three days of bereavement leave with pay upon the death of an immediate family member. Employees who wish to take this time off should notify their supervisor immediately. This time is not chargeable against earned sick, personal, or vacation time. Immediate family is defined as spouse, child, stepchild, parent, stepparent, parent-in-law, sibling (including step and half), grandparent, grandchild, sister-in-law, brother-in-law or other person whose relationship is similar. If the employee has a family member living in their home for whom they are responsible for the primary care giving, or if the employee was raised by a person who is not considered immediate family, the employee’s immediate supervisor may approve funeral leave for that purpose.

Additional time off may be authorized by the immediate supervisor, but will be charged against available personal or vacation time.

Attendance at the funeral of other relatives or friends can also be arranged with the immediate supervisor. However, this leave must be deducted from the employee’s personal or vacation time. The immediate supervisor may approve leave without pay for the purpose of attendance at funerals for persons other than an employee’s immediate family members, giving consideration to the workforce needs of the department.

Bereavement leave is to be reported on the “request for leave” form under “excused” identifying “bereavement leave” and the description of relationship within the “explanation” section.

FAMILY MEDICAL LEAVE ACT
Policy. The University of Pikeville intends to provide and grant up to 12 weeks of family and medical leave during any 12-month period to eligible employees, in compliance with the requirements of the Family and Medical Leave Act of 1993 (the “FMLA”) and up to 26 weeks of leave in any 12-month period in accordance with the expansion of FMLA under The Support for Injured Service Members Act of 2007. This policy incorporates general information on FMLA rights and responsibilities and sets forth how such benefits are to be applied. Additional information may be obtained from the Human Resources office.

Eligibility. In order to qualify under this policy, the employee must meet ALL of the following conditions:

1. The employee must have worked for the University of Pikeville for 12 months or 52 weeks. The 12 months or 52 weeks need not have been consecutive.

2. The employee must have worked at least 1250 hours during the previous twelve months. Time spent on paid or unpaid leave does not count as hours worked.
Policy Details

Leave Entitlement. The University will grant up to twelve (12) weeks of unpaid family or medical leave during a 12-month period for one or more of the following reasons:

1. The birth of a child of the employee, or to care for a newborn child or a child placed with the employee for adoption or foster care (within twelve months of the birth or placement)

2. To care for a spouse, child or parent who has a serious health condition

3. The eligible employee's own serious health condition that renders the employee unable to perform the functions of his or her position. A serious health condition is defined as a condition that requires inpatient care at a hospital, hospice or residential medical care facility, including any period of incapacity or any subsequent treatment in connection with such inpatient care or a condition that requires continuing care by a licensed health care provider. The policy covers illnesses of a serious and long-term nature, resulting in recurring or lengthy absences. Generally, chronic or long-term health condition, which, if left untreated, would result in a period of incapacity of more than three days, would be considered a serious health condition. The University will require certification from the health care provider concerning the serious health condition (including certification that the employee is needed to care for a family member and an estimate of the time needed) or certification that the employee is unable to perform the functions of his or her job.

4. A covered family member’s active duty or call to active duty in the Armed Forces. An employee whose spouse, son, daughter or parent either has been notified of an impending call or order to active military duty or who is already on active duty may take up to 12 weeks of leave for reasons related to or affected by the family member’s call-up or service. Reasons related to the call-up or service include helping the family member prepare for the departure or caring for children of the service member. The leave may commence as soon as the individual receives the call-up notice. (Son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave, except that the person does not have to be a minor.) This type of leave would be counted toward the employee’s 12-week maximum of FMLA leave in a 12-month period. Employees requesting this type of FMLA leave must provide proof of the qualifying family member’s call-up or active military service before leave is granted.

5. To care for an injured or ill service member. This leave may extend to up to 26 weeks in a 12-month period for an employee whose spouse, son, daughter, parent or next-of-kin is injured or recovering from injury suffered while on active military duty and who is unable to perform the duties of the service member’s office, grade, rank or rating. Next-of-kin is defined as the closest blood relative of the injured or recovering service member. An
employee is also eligible for this type of leave when the family service member is receiving medical treatment, recuperation or therapy, even if the service member is on temporary disability retired list. This is the only type of FMLA leave that may extend an employee’s leave entitlement beyond 12 weeks to 26 weeks.

Eligible spouses who are both employed by the University are jointly entitled to a combined total of twelve work weeks of family leave for the birth or placement of a child for adoption or foster care and to care for a parent who has a serious health condition. If spouses both work for the University and each wishes to take leave to care for a covered injured or ill service member, the husband and wife may only take a combined total of 26 weeks leave.

**Calculating the 12-month Period.** The twelve-month period used by the University to calculate available leave is measured using a “rolling” term. Specifically, although an eligible employee is entitled to twelve weeks of FMLA leave in any twelve-month period, this twelve-month period will be measured backward from the date an employee uses any FMLA leave. Thus, each time an employee takes FMLA leave, the remaining leave entitlement will be the balance of the twelve weeks that has not been used during the immediately preceding twelve-month period.

**Intermittent Leave.** In some cases, intermittent leave or leave on a reduced working schedule is available. This is leave that is taken in blocks of time or by reducing a normal weekly or daily work schedule. Such leave is available whenever medically necessary to care for a family member who has a serious health condition, or because the employee has a serious health condition that makes the employee unable to work.

**Designation of Paid Leave.** FMLA provides job protection for the period of time in which an employee needs to miss work, but it does not provide pay. Employees will use all accrued vacation and sick leave to cover some or all of any FMLA leave. Any paid leave shall count toward the total leave entitlement under the FMLA. All applicable leave types (sick, workers compensation, etc.) shall run concurrently with FMLA.

**Health Benefits.** While on FMLA leave, the employee must continue to pay the employee portion of the health benefit premiums for coverage of the employee and, if applicable, for coverage of the employee’s spouse and dependents. To the extent an employee is receiving pay during the leave period, the employee’s premium contributions will continue to be deducted from the employee’s pay. To the extent an employee is not receiving pay during the leave period or if such pay does not cover the employee’s full contribution, the employee must pay that contribution on or before the date specified to the Business Office.

**Job Restoration.** Subject to certain exceptions (such as when the employee would not otherwise have been employed at the time reinstatement is requested, or the employee is within the category of employees where restoration would
cause substantial and grievous economic injury to the University), employees who take FMLA leave are entitled to be reinstated to their original job at the University or to an equivalent job with equivalent pay, benefits and other terms and conditions of employment.

Process

• Employees requesting family medical leave should obtain a request form from the Human Resources office.

• Employees wishing to utilize FMLA leave should give at least thirty (30) days notice, whenever possible, to the University of the need for leave.

• When leave is based on planned medical treatment, whether for an immediate family member or the employee, the employee should schedule the treatment so as not to unduly disrupt the operations of the University, whenever possible.

• When a situation is foreseeable (e.g. childbirth or placement of a child for adoption), employee should notify Human Resources staff of his or her intent to utilize family leave. Members of the faculty should first notify the Dean of the College of Arts and Sciences or KYCOM, whichever is applicable.

• The University also recognizes that emergency and other last minute situations may arise where providing appropriate notice may be problematic or logistically impossible. In such situations, the employee (or family member or physician if the employee is not able to do so) should contact the Human Resources office as soon as possible.

Certifications. Employees seeking to use FMLA leave may be required, at the election of the University, to provide:

1. Medical certifications supporting the need for leave due to a serious health condition affecting the employee or an immediate family member. This certification must be provided by the employee no later than fifteen days after the request by the University. Failure to provide certification may result in a denial of continuation of leave.

2. Second or third medical opinions (at the University’s expense).

3. Medical re-certification at the request of the University at reasonable intervals, but not more often than every thirty days unless certain conditions exist, as prescribed in the FMLA.

4. Certification of fitness-for-duty prior to returning to work.

5. Proof of the qualifying family member’s call-up or active military service (for employees requesting leave due to a service member’s active duty or call to duty in the Armed Forces). This documentation may be a copy of the military orders or other official Armed Forces communication.
6. Documentation of the family member’s injury, recovery or need for care (for employees requesting leave to care for an injured or ill service member). This documentation may be a copy of the military medical information, orders for treatment, or other official Armed Forces communication pertaining to the service member’s injury or illness incurred on active military duty that renders him/her unfit to perform military duties.

If an employee chooses not to provide, in a timely manner, the requested medical certifications, the University may deny FMLA leave until the employee submits the necessary certifications. Also, if an employee fails to provide the requested fitness-for-duty certification required for return to work, the University may deny job restoration until the employee submits such certification.

Questions regarding this policy should be directed to Human Resources at Ext. 5346.

**BENEFITS WHILE ON A LEAVE**

While you are on an unpaid leave of absence, you and your eligible dependents may continue group medical insurance by paying your share of the premiums in advance. The University will not continue to pay life and long-term disability insurance premiums while you are on leave. No contributions will be made to the Retirement Plan when you are on an unpaid leave of absence.

Your employment with the University ends when you retire, become disabled, resign or are dismissed. (In the event of your death, your beneficiaries may be entitled to certain benefits. See the section on “Your Pay and Benefits.”)
Leaving Employment

CHECK-OUT PROCEDURE WHEN YOU LEAVE

When you leave the University of Pikeville, you must complete the check-out procedure form and turn it in to the Human Resources Office before your final paycheck is released. You must obtain signatures from the following administrative units to ensure all your obligations to the University have been met:

- Registrar
- Library
- Information Technology
- Dean of the College of Arts and Sciences (Academic Employees only)
- Immediate Supervisor
- Facilities Management
- University of Pikeville Police Department
- Business Office

After you obtain all the required signatures, you must give the check-out procedure form, along with your I.D. card, to Human Resources. If you had been living in University housing, you must arrange a housing inspection by the appropriate office, Facilities Management or the Business Office. Any outstanding fines or damage charges will be deducted from your final paycheck. Keys to University property should be returned to the Facilities Management.

If you terminate employment (other than for cause), the University will pay you for accrued vacation days in the current calendar year, as follows:

- Hourly staff: up to 10 days
- Administrative/Professional staff: up to 15 days
- Executive staff/KYCOM faculty: up to 20 days

IF YOU RESIGN

You will be paid for a limited amount of accrued but unused vacation days. Long-term disability coverage will end, as will your group medical insurance. However, under a federal law known as COBRA, you will have the opportunity to continue medical coverage for you and your dependents at your own cost for a certain length of time. When COBRA coverage ends, you then may convert your medical coverage to an individual policy. The University will not pay you for unused, accrued sick leave or personal days.
IF YOU ARE TERMINATED
If you are terminated, you will be paid for unused accrued vacation days. By law (COBRA), you also will have the opportunity to continue medical coverage for yourself and your dependents at your own costs. Medical coverage can be converted to an individual policy when COBRA coverage ends. The University will not pay you for unused, accrued sick leave or personal days.

UPON YOUR DEATH
If you die while you are an active full-time employee at the University of Pikeville, your beneficiary will be paid $20,000 in life insurance death benefits. If your death was accidental, the AD&D policy will pay another $20,000 in death benefits.

Your spouse and/or dependent children will be eligible to continue group medical coverage for a certain amount of time at their own cost under COBRA. After COBRA coverage ends, they may convert coverage to individual policies. Please refer to your life insurance contracts and policies in the health insurance booklet, and your retirement plan resolution and TIAA/CREF or VALIC Retirement booklet for more information.
Your Pay and Benefits

YOUR PAY
When you are hired, you will be told the rate of pay for your job. Once a year your supervisor will review your job performance and determine how well you have performed compared to the expectations outlined in your job description.

Direct Deposit - as of April 1, 2012, it is required that your pay check be deposited in the bank of your choice. If you do not have a bank, Human Resources can assist you in locating one. This applies to all employees with the exception of work-study employees.

SALARY INCREASES
Each year, the University will determine whether pay increases are possible. The University cannot promise annual pay increases.

OVERTIME PAY
Hourly employees are eligible for overtime pay. If you work overtime, you will be paid time-and-a-half for all hours worked over 40 hours a week. No employee may work overtime unless it is authorized by your supervisor. Only hours actually worked will count in computing overtime pay.

CAFETERIA PLAN
The University of Pikeville’s cafeteria plan is made up of three parts:

- Premium Conversion - including medical, dental, and vision insurance premiums.
- Unreimbursed Medical Expense Account
- Dependent Care Expense Account

**Premium Conversion** allows you to use pre-tax dollars to pay your share of the premium for medical, dental and vision coverage. Your share of the premium amount is deducted through payroll deduction each pay period before taxes are figured on your pay. Paying for coverage this way saves on taxes because it lowers your taxable income.

**Medical Coverage**
The University of Pikeville currently provides a major medical insurance program for you and your eligible dependents. Coverage is provided through the Association for Independent Kentucky Colleges and Universities (AIKCU) self-funded plan.

After you pay an annual deductible, the plan pays 80 percent of the cost of hospital and covered services if you use the providers in the Anthem network and follow cost containment guidelines. You are responsible for paying the
remaining costs, up to an out-of-pocket maximum. If you reach that maximum, the plan will then pay 100 percent of the cost of covered services for the rest of the year. The plan pays a smaller portion of the cost if you use providers outside the network or do not follow cost containment provisions.

**Eligibility:** Full-time employees and their dependents are eligible for the medical plan. Your eligible dependents include your spouse and your children until they turn 26. Coverage starts on the first day of the month following your first day at work, as long as you enroll in the medical plan. Coverage ends on the last calendar day of the month your employment stops (appropriate deductions are made through payroll).

**Cost:** You and the University currently share the cost of medical insurance for your dependents. You pay your share through the cafeteria plan. (See below.) The cost of medical coverage may change from time to time. Contact Human Resources for information about the current rates.

**For more information:** For information about the cafeteria plan, see below or contact Human Resources.

**Dental Coverage**

**Eligibility:** Full-time employees and their dependents are eligible for the dental plan. Your eligible dependents include your spouse and your children until they turn 19 (or 23 if they are full-time students). Coverage starts on the first day of the month following 90 days of employment, as long as you enroll in the dental plan. Coverage ends on the last calendar day of the month your employment stops (appropriate deductions are made through payroll).

**Cost:** You pay the premium through the cafeteria plan. (See below.) The cost of dental coverage may change from time to time. Contact Human Resources for information about the current rates.

**Vision Coverage**

**Eligibility:** Full-time employees and their dependents are eligible for the vision plan. Your eligible dependents include your spouse and your children until they turn 26. Coverage starts on the first day of the month following your first day at work, as long as you enroll in the vision plan. Coverage ends on the last calendar day of the month your employment stops (appropriate deductions are made through payroll).

**Cost:** You pay the premium through the cafeteria plan. (See below.) The cost of vision coverage may change from time to time. Contact Human Resources for information about the current rates.
The Unreimbursed Medical Expense Account *(Flexible Spending Account)* lets you set aside money on a pre-tax basis to reimburse yourself for out-of-pocket health care expenses. You can be reimbursed for medical, dental or vision care expenses not covered under your group medical plan. Included in these types of expenses are annual deductibles and coinsurance payments, medical expenses such as routine physicals, braces and other dental expenses not reimbursed under a medical plan, and vision expenses, including the cost of a guide dog or special educational devices for the blind. Each year you can contribute up to a maximum of $2,500 to this account. Contributions to the plan are made through payroll deduction. You first pay for medical care expenses not covered by health care insurance and then submit a claim form and your bills to FEBCO, the third party administrator, for reimbursement. You will receive a debit card that may be used to access any available funds you may have contributed. A word of caution: Be conservative in estimating how much to contribute. If you do not use all of the money you deposit, you will lose the remaining balance in your account at the end of the plan year.

The Dependent Care Expense Account lets you set aside money on a pre-tax basis to reimburse yourself for dependent care expenses. These expenses may be used to pay for childcare or to care for an adult, but they must be necessary so that you and your spouse (or you alone, if you are not married) can work. If your spouse doesn’t work, you may use this account only if he or she is a full-time student attending college or vocational school or is not capable of caring for himself or herself.

If you are married and file a joint tax return, you can set aside up to $5,000 each year in this account. If you are single — or are married but file a separate tax return — the maximum amount you can contribute to this account each year is $2,500. Contributions to the plan are made through payroll deduction.

**For all accounts:** If you agree to participate in the cafeteria plan, you may not stop or change your contributions until the next open enrollment unless you have a change in family status (birth, marriage, divorce, a spouse losing a job, etc.). Open enrollment for this account is held prior to July 1 each year.

**Eligibility:** Full-time employees are eligible for the cafeteria plan.

**Cost:** You and the University share the cost of health care coverage. For the Dependent Care Expense Account and the Unreimbursed Medical Expense Account, you decide how much to contribute (within plan and legal limits).

**For more information:** Contact the Human Resources Office for information about reimbursements, family status changes, and allowed expenses.
EMPLOYEE ASSISTANCE PROGRAM

The University of Pikeville currently provides an employee assistance program for you and anyone in your household. Coverage is provided through the Anthem Employee Assistance Program and more information can be obtained from Human Resources.

**Eligibility:** Full-time employees and their dependents.

**Cost:** The University pays the cost of your EAP coverage.

LIFE AND AD&D INSURANCE

The University provides group term basic life and accidental death and dismemberment insurance equal to a total of $40,000 in coverage. Upon your death, the plan will pay your beneficiary $20,000 in life insurance death benefits. If your death resulted from an accident, the plan will pay another $20,000 in benefits. However, the benefit will not be paid if your loss was the result of self-inflicted injuries.

If you are accidentally injured and lose a hand, foot or the eyesight in one eye, the plan will pay you up to $10,000. The plan will pay the full $20,000 if you lose more than one of those items because of a single accident.

**Eligibility:** All full-time employees are eligible for group life insurance coverage. Coverage is effective on the first of the month that coincides with or follows the date you start work as long as you enroll for coverage.

**Cost:** The University pays the cost of your basic life insurance and basic accidental death and dismemberment coverage.

**For more information:** More information about this plan can be found in the Reliance Standard certificate of coverage in the Human Resources office. Supplemental life/AD&D insurance coverage is available at the employee's expense.

LONG-TERM DISABILITY PLAN

The University of Pikeville Long-Term Disability Plan provides 60% of your base pay after:

- you have been absent for three months for faculty or six months for staff because of illness or injury, and
- you have been declared disabled, based on evidence accepted by the insurance carrier.

The LTD Plan provides 60 percent of your basic monthly pay, up to a maximum of $6,000. The minimum monthly benefit is $100 a month.

Benefits paid by the plan are reduced by amounts paid by other disability income programs.
Applying for benefits. You should apply to Reliance Standard Insurance if you wish to claim long-term disability benefits. For more information, contact Human Resources.

Eligibility: The Long-Term Disability Plan is available to all benefit-eligible employees who have completed one year of service.

Cost of coverage: The University pays the entire cost of coverage.

For more information: More information about this plan can be found in the Reliance Standard certificate of coverage in the Human Resources office.

SHORT-TERM DISABILITY PLAN

The University of Pikeville Short-Term Disability Plan provides 60% of your base pay after you have been absent for fifteen consecutive days due to illness or injury.

The STD Plan provides 60 percent of your basic weekly pay, up to a maximum of $1,000 per week. Benefits, for one period of disability, will be paid up to a maximum of 11 weeks. If you are unable to return to work after the STD benefit period, you will be eligible for Long-Term Disability benefits. Benefits paid by the plan are reduced by amounts paid by other disability income programs.

Applying for benefits: You should apply for short-term disability benefits if you will be off work for at least two weeks due to your own medical condition.

Eligibility: The Short-Term Disability Plan is available to all benefit-eligible faculty.

Cost of coverage: The University pays the entire cost of coverage.

For more information: More information about this plan can be found in the Reliance Standard certificate of coverage in the Human Resources office.

RETIREMENT PLAN

The University of Pikeville provides two choices of retirement fund management companies: TIAA-Cref and VALIC Retirement. Contributions are invested in individual retirement annuities chosen by the employee to meet their future retirement needs. All retirement funds are fully vested immediately.

Supplemental Retirement Annuity (SRA)

Eligibility: All employees (except student employees) are eligible for the supplemental retirement annuity. You will be able to contribute a portion of your pay into the plan as a pre-tax deferral as soon as administratively feasible after your hire date. The employee is responsible for completing the appropriate applications/forms to initiate this benefit.
You may make tax-deferred contributions to the plan up to the dollar limit allowed by the Internal Revenue Service. The IRS limit is adjusted each year, so contact Human Resources for information about the limits. Your contributions are deducted from your pay and forwarded to VALIC Retirement/TIAA-CREF for investment.

**Retirement Annuity (RA)**

**Eligibility:** Employees who have completed one year of service with the University of Pikeville and all other requirements are eligible to receive an employer contribution toward their retirement account. A new employee who could show evidence of participation in a qualified plan immediately preceding their employment at the university may have the one year waiting period waived.

**Contributions:** Once enrolled, each pay period the University will make a minimum contribution equal to 5% of regular pay. If you also contribute to the plan, the University will increase its contributions. The University will match up to 2% of the employee's contribution, for a total employer contribution maximum of 7% of regular pay.

To receive contributions from the University, you must complete and submit an application to participate in the plan.

**UNDERGRADUATE TUITION WAIVERS**

University of Pikeville provides its employees and their dependents the opportunity to attend undergraduate classes tuition free. Waivers are granted on a first-come, first-serve basis within the University’s budgetary guidelines.

Tuition waivers are an agreement between the student and the University to reduce or eliminate tuition. Tuition waivers are not given when an employee, a spouse or dependent child enrolls in a course that is under-enrolled and where the instructor is paid on a pro-rated basis. If this happens, the employee, spouse or dependent child is expected to withdraw from the course or pay the pro-rated amount. Tuition waivers do not apply to any fees that may apply to taking certain courses. All fees must be paid by the student.

**For Employees**

An employee may take only one course during the workday during the fall and spring semesters, if you have the approval of your immediate supervisor. At least four weeks before the course is to start, you should submit your request to take a course to your supervisor, apply for financial aid and be formally registered. Permission to take a course during the workday is not automatically granted — it will depend on the needs of your division or department, as determined by your supervisor. If approval is granted by your immediate supervisor to take a class during the day, you will be required to make up the
time missed from taking such class. Make-up time must be scheduled with your immediate supervisor’s approval at the time the request is approved. Time cannot be made up during the employee’s lunch hour.

A course taken during the workday cannot last longer than the equivalent of three classroom hours, or four classroom hours if a lecture/lab combination. Additional hours are allowed if they are taken after the employee’s regular work hours. Employees will not be able to utilize the tuition waiver policy for independent study, work experience credit or credit by examination. However, the combined number of credit hours for the day and evening courses cannot exceed nine hours.

For Spouses/Dependents
Spouses or dependent children are eligible for up to a maximum of 10 regular semesters of the tuition waiver benefit. A dependent child is eligible if he/she can be claimed on tax return for the previous calendar year, while also meeting the IRS definition of a dependent on a regular basis.

Guidelines
- Employees must be employed by the University for one year prior to the beginning of classes in order to receive a tuition waiver for oneself or dependent.
- Regular full-time employees, their spouse, or dependent children are eligible if they have not yet earned an undergraduate degree.
- Employees who have already earned a bachelor degree are not eligible to take undergraduate classes under this policy unless the course will enhance the employee’s skill and ability level in their current position. The employee’s immediate supervisor will be responsible for approving any class above the employee’s bachelor’s degree.
- Spouses and dependent children may apply for tuition waivers for up to 18 hours for both the fall and spring semesters. Students who are not fulltime are not granted waivers for individualized or independent instruction.
- The student must apply for financial aid using the FAFSA. The deadline for completing the FAFSA is January 31 for the following academic year. Financial aid will be applied to the student’s account to cover the cost of tuition before the waiver will be applied. Tuition waivers cannot be applied to room and board expenses or any fees that may apply.
- Employee, spouse and/or dependent’s tuition waivers cannot be used for any undergraduate summer courses, including independent studies and on-line courses. Due to the interruption of the workday, employees
are not permitted to take courses in the summer that would meet during their workday. Online courses and courses that meet outside the employee’s regular work schedule during the summer are permitted but the employee is responsible for paying the tuition.

- The Tuition Waiver Application and FAFSA forms must be completed before the waiver will be applied.

**BOOKSTORE DISCOUNT**

University employees receive a 10% discount on purchases in the University bookstore. To obtain the discount, you must show your University I.D. card.

**UNIVERSITY EVENTS**

You are entitled to free admission (with your I.D. card) to University athletic and other events. (In some cases, family members may have to pay the admission fee.)

**LIBRARY**

You are permitted to use the University library services. You must present your University I.D. to check out books. If a family member wishes to use the University library, he or she can apply. Members of the community must apply in order to use the University library.