

Kentucky State University

Human Resource Policy Manual

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FORWARD - I -

Welcome to Kentucky State University where diverse cultures blend to provide our faculty and employees a work experience rich in continuous learning and fulfillment. Kentucky State University was founded by the Commonwealth of Kentucky as a state institution of higher education and as an independent agency and instrumentality of the Commonwealth. It was later recognized as a land grant institution under the Land Grant Act of 1890 by the Congress of the United States.

Governance of the university is vested by statute in the Kentucky State University Board of Regents. The decisions regarding policies are recorded in the minutes of the Board. The Board of Regents has the statutory power to approve appointments and salaries, and exercise other powers traditionally vested in such a body.

We have prepared this Personnel Policy Manual in following the vision and strategy of our Board of Regents, President, Faculty Members, and Administration. This Manual represents our best effort to formulate guidelines that underscore and promulgate the Mission of KSU. The level of staff morale and staff productivity depends on human resource policies that are well conceived, clearly stated, and consistently applied. Our aim is to achieve both the reality and the perception of fairness in our treatment of all members of the KSU community. We believe this manual gives us the necessary framework for accomplishing this aim.

The execution of this policy manual requires each employee to become knowledgeable of the manual contents, committed to fair and consistent administration and interpretation of the

III - POLICIES

investigated. If it is found that retaliation has occurred, corrective action will be

20.0 EMPLOYMENT POLICY

INTRODUCTION

When job openings occur, KSU follows the general procedures outlined below to identify and promote or hire qualified candidates to fill vacancies. In all

A. PURPOSE

Proper classification of employees is important for administeri

begin working for the University. All volunteers must sign and return the volunteer agreement form on file in OHR.

- **Independent Contractors/Consultants**

Exempt employees should immediately contact OHR with any questions concerning their salary pay so that inadvertent errors can be corrected.

position within KSU and when necessary due to a change in employment status for example, changing from full-time to part-time status.

4. Employees with any questions about their employment classification, benefits eligibility, overtime eligibility, or who believe their position has been misclassified, should contact OHR.

20.2 EMPLOYMENT OF RELATIVES

INTRODUCTION

The University's commitment to nondiscrimination is further supported by its policy on the employment of relatives. Employment decisions are based on individual merit. The University will consider employment of family member as it considers other external applicants.

However, individuals may not supervise family members, supervise persons directly supervising family members, or participate in employment decision concerning a family member. It is strongly advised that relatives not work in the sa"

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C. PROCEDURES

1.

A. PURPOSE

Ensure that new employees receive important information about KSU and the department in which they will be working so that they have the best chance to be successful in their new role with the University.

B. SCOPE

All new employees must attend an orientation to the University. The Department of Human Resources regularly conducts orientation sessions from 9:00-11:30 a.m. the first and third Monday of each month for new staff, which include a comprehensive introduction to University policies, practices and benefits. The orientation is a two-step process. The first step occurs with the OHR and the second step occurs with the su

- d) Introduce him/her to the employees with whom he/she will be working, within the group and other related areas;
 - e) Show the new employee the physical layout of the office and building: the lunch room, restroom facilities, stockroom, etc. Explain the general layout of other KSU buildings and facilities such as the Student Center, athletic facilities, etc.
 - f) Explain pertinent safety regulations and demonstrate the use of any necessary office equipment.
4. The new employee, department supervisor and the OHR representative sign the Orientation Checklist no later than 1 week after the employee's start date to acknowledge that all of the important information has been reviewed with the new employee. A copy is placed in the new employee's personnel file which is kept and maintained in OHR.

20.6 PROMOTION AND TRANSFER

INTRODUCTION

KSU is committed to providing career development opportunities for its employees. In seeking to foster l

1. All full time openings are posted within the University concurrent with advertisements for outside candidates.

Introductory Period for Transfers and Rehires

While employees who receive a transfer do not necessarily serve a new hire introductory period, they do serve an orientation period. At any time during the 90 day orientation period if the new employee is not satisfactorily completing the work, the following options may occur: 1) the employee may return to the original position if still open and approved by the prior unit supervisor, or consider moving to a position at the previous level, if qualified and selected; 2) the orientation period may be extended for 90 additional days; or 3) the employee may resign or be terminated after appropriate notification of unsatisfactory performance.

Former employees who are rehired will be considered new employee

1. Changes in workweek and standard hours due to operational needs:

- a) This is determined by the department head who must secure permission from the Vice President of the respective area.
- b) Once permission is secured the department head will notify employee

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and be maintained during times that the University is closed. Employees that service

- c) Change in employee information such as personal address, name, account number and or phone
- The employee shall send written notification requesting the change and providing the new information.
 - Human Resources shall confirm the change and process the information accordingly.

40.0 PERFORMANCE EVALUATION PROCESS

INTRODUCTION

KSU is committed to providing a work environment where employees have the opportunity to excel in their field of endeavor. A key process for assisting employees in realizing their career goals is the implementation of a performance management process that provides a mechanism for setting goals, developing plans and receiving feedback for improvement

A. PURPOSE

KSU maintains a Performance Evaluation Process intended to ensure that all employees:

- Are aware of what duties as well as the level of performance expected for the position they hold;
- Receive timely feedback about their performance;
- Receive at least one annual performance review by their supervisor;
- Have opportunities for education, training, and development; and understand the development required for satisfactory performance;
- Are evaluated and rewarded in a fair and consistent manner.

B. SCOPE

1. Performance Evaluation Process

The Performance Evaluation Process is the sequence of actions that supervisors and managers take when interacting with employees about their performance. The Performance Evaluation Process is a three-step process:

- a **Step One: Planning.** Actions at this step include determining performance expectations and developing individual work plans.
- b **Step Two: Managing.** The focus of this step is supervising employees. Activities include coaching, reinforcing, and discussing employee progress toward achieving performance expectations.
- c **Step Three: Appraising.** In this step, the manager conducts the performance evaluation with the employee.

2. Supervisor's Responsibilities

The Performance Evaluation Process requires that managers and supervisors:

- Develop a work plan for each employee with the active participation of that employee;

- Coach and monitor the employee's job performance;
- Conduct a fair, unbiased, and equitable performance appraisal annually for each employee;
- Ensure that the employee is given continual constructive feedback to enable

work plan established within 30 days of starting in the position or when job duties change significantly.

A work plan is a specific course of action outlining the significant responsibilities and duties consistent with the employee's job description. Performance expectations are the objective measures or criteria used to measure job performance. The work plan must be reviewed or updated at least annually.

2. **Managing**

Managing involves coaching and reinforcing employee progress toward achieving performance expectations. Supervisors should provide employees with ongoing feedback about their job performance. Supervisors also must conduct an informal interim performance review within six months of an annual review or within six months of establishing an initial work plan. Supervisors do not need to complete a Performance Evaluation Form for an interim review, but they should document:

- Any performance expectations set out in the work plan that are not being met;
- Steps the employee must take to correct performance deficiencies; and
- The date that the review took place.

3. **Appraising**

Employees whose appointments are effective on or before October 1st in a given year are eligible to be considered in that year's performance review, which is normally conducted in the Spring. OHR will forward to each Administrator/Manager/Supervisor the annual review guidelines, salary budgets, and individual worksheets for the departments under his or her jurisdiction. A supervisor must be notified by OHR 30 days in advance that an employee's performance appraisal is due. The supervisor must inform the employee regarding the evaluation. In preparation for the evaluation, the supervisor may invite the employee to prepare a self- evaluation.

After reviewing an employee's self-evaluation and completing the Performance Evaluation Form, the supervisor must schedule an evaluation meeting. At the evaluation meeting, the supervisor must:

- Identify and discuss good performance;
- Identify and discuss performance that needs improvement;
- Review the employee's ratings on job performance factors; and
- Review the extent to which the employee was successful or unsuccessful in meeting goals and accountabilities set out in the employee's work plan.

4. **Rating Scale**

KSU uses the following four-level rating scale:

The employee's performance EXCEEDS the defined expectations. The employee

50.0 EMPLOYEE BENEFITS

INTRODUCTION

KSU provides its employees with a comprehensive plan of benefits to supplement their base pay and provide them with financial security so that they can focus on the mission and work of KSU.

A. PURPOSE

Provide KSU employees and their families with a plan of benefits that provides protection and financial security; Provide employees with programs that promote both physical and intellectual health, recreation and enjoyment that culminates in an excellent quality of life.

B. SCOPE

All KSU employees and their dependents.

C. PROGRAMS AND PROCEDURES

50.1 INSURANCES

KSU provides all KSU employees and eligible dependents with retirement, medical and dental insurance coverage options.

Enrollment

- i. The employee visits the OHR responsible for the administration of Medical and Life insurance.
- ii. The OHR provides an employee with the Employee Enrollment Guides on Medical Insurances, Life Insurance, Dental Care, and Retirement Plans.
- iii. An insurance file for the employee is established by OHR.
- iv. The OHR provides the premium deduction information to payroll for set up in the payroll system.
- v. All coverages take effect the 1st of the month following the first 30 days of employment.

NOTE: Where an employee and his/her spouse are both University employees, the employer share is limited to twice (2x) the single amount.

Insurance Options

1) Group Medical Insurance

50.2 RETIREMENT BENEFIT OPTIONS

program, employees and their family members will be placed on a prioritized list determined by a combination of the scores that they made on the entrance examinations and their relevant work experience.

Employees or family members who are admitted to a graduate program will be notified as to their admission to specific courses no later than the last day of registration each semester. Class admission will depend upon availability of seats within the limit set by the program.

50.5 ATHLETIC FACILITIES

KSU provides excellent sports facilities through the KSU Exum Center. The Exum Center is open for students, staff and faculty members to practice a variety of sports and fitness activities.

60.0 LEAVE POLICY

INTRODUCTION

There are a variety of leaves available to KSU employees in order for them to get needed rest as well as to take care of personal matters. This policy explains the different types of leave and how to access them when they are needed.

A. PURPOSE

Provide KSU employees time off when needed to attend to personal business, fulfill civic duties, recover from illness or injury, celebrate holidays or take time off for recreation.

B. SCOPE

All regular full time and part time employees of KSU

C. LEAVES AND PROCEDURES

60.1 HOLIDAYS

1. Holidays Leave

The following Holidays will be observed by KSU:

- Independence Day (4th of July)
- Labor Day
- Presidential Election Day
- Thanksgiving (Thursday and Friday)
- Governor's Inauguration Day
- Christmas and New Year's Day (plus all work days in between)
- Martin Luther King's Birthday
- Spring Break
- Memorial Day

The University reserves the right to request employees to work on such days.

2. Holiday Pay

Employees on unpaid leave immediately before or after a holiday o - ` re or ta o ...

60.2 VACATION LEAVE

1. Vacation Leave and Accrual

The University grants vacation leave with full pay to full-time, non-faculty employees. The leave policy applies to all non-academic KSU employees, however, it does not supersede the contractual obligations of any individual.

The following schedule of vacation leave allowances applies to executive, administrative, managerial, and professional employees:

0-5 years of continuous service – Fifteen (15) days of vacation leave with a carry-over allowance of thirty-five (35) days.

6-14 years of continuous service – Twenty (20) days of vacation leave with a carry-over allowance of thirty-five (35) days.

15 or more years of continuous service – Twenty-five (25) days per year of vacation leave with a carry-over allowance of forty (40) days.

- c) After three months of satisfactory service, an employee can apply for the prorated number of vacation leave hours earned up to that point. With the department head's

60.3 OCCUPATIONAL ILLNESS/INJURY LEAVES

An employee who suffers from a disabling occupational disease or work related injury is eligible for occupational sick leave. KSU's worker's compensation insurance covers all employee medical expenses related to the occupational illness or injury and if the employee is unable to work he/she will receive 66 2/3 of his/her regular pay as compensation for the

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periods of employment qualify for an additional one- half day accrual. There is no

Conflict of Interest

Employees are prohibited from transacting any business that competes with the University. Employees must communicate any such conflict to their immediate supervisor and on the annual conflict of interest disclosure.

Damage to Property

Deliberate reckless or careless damage to the University's property will not be tolerated. The University, at its discretion, may report such damage of its property to law enforcement agencies and seek recovery within lawful means.

Discourtesy or Disrespect

All employees must be courteous, polite and friendly to students, visitors, and to fellow employees. No employee should use profanity or show disrespect or engage in any activity that could harm the reputation of the University.

Fighting, Threats, or Weapons

Fighting, threatening words or conduct, loud or abusive language, or any other actions that could injure a student, fellow employee, or member of the public, regardless of where such words or actions occur are not allowed. The possession of weapons of any kind on KSU's campus or while conducting University business is prohibited.

Fraud, Dishonesty or False Statements

No employee or applicant may falsify or make any misrepresentations on or about any application, document establishing identity or work status, medical history record, insurance form, invoice, paperwork, time sheet, time card, or any other document. If such a violation is observed this must be reported to the supervisor immediately.

Gambling

Employees may not engage in any form of gambling on campus, including sports betting, horse racing, and casino games.

Insubordination

Absent a reasonable concern for law, life, or limb, employees must not refuse to follow the directions of a supervisor or administrative official.

Misuse of Property

Employees may not misuse or use without authorization any equipment, vehicle or other property of KSU.

Poor Performance

All employees must make every effort to learn their job and to perform at a satisfactory level. Employees who fail to maintain a satisfactory level of performance are subject to immediate termination.

Misuse of E-mail and Computer Systems

The misuse of University e-mail and computer systems is governe

Unlawful Activity

Employees should not engage in any unlawful or unethical activity, including, but not limited to activity either on KSU's property or off the job, since such activity can adversely affect the University's reputation.

Unsafe Work Practices

A Safety program has been implemented to ensure that everyone understands the

employee several times before going to the next step.

3. First Written Warning

This step should be used after a formal oral warning/counseling has been used

present at the meeting. A chronology of the events leading up to

80.0 PROBLEM RESOLUTION POLICY

KSU Employees may choose to resolve employment-related conflicts through the University Grievance Policy which is attached as Appendix A. The Grievance Policy can also be accessed via the University Intranet.

health rules. Discipline can include verbal or written reprimands and can ultimately result in

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2. Revision of Policy and Procedures Retraining of Employees.

All employees are periodically updated on safety and health rules, policies, and procedures, and when changes are made to the workplace safety and health manual.

potential violence hazards. The worksite review should include, but not be limited to, inspecting security measures, analyzing records of violent incidents and monitoring trends, and conducting screening surveys to learn about employees' security concerns. OHR maintains records of all threats and incidents of violence committed against employees. Access to such records is on a need-to-know basis only.

- b Security planning for at-risk employees.** Human Resource and University Police personnel work with at-risk employees and their supervisors to develop safety plans that address the specific risks the employees face while at work.
- c Pre-hire screening.** OHR reserves the right to review job candidates' backgrounds to determine if they have a history of committing violent acts or making threats.

3. Guidelines for Handling Violent Situations

OHR maintains and distributes to all employees detailed guidelines and procedures for handling workplace violence and threats. The guidelines are developed by the University Police Department. OHR is responsible for periodically reviewing the guidelines with the University Police Department to ensure that they are adequate and up-to-date. If a violent incident occurs, OHR must re-evaluate the guidelines and procedures and discuss modification with the University Police Department accordingly.

- 4. Victims of violent incidents in the workplace might have to contend with a variety of medical, psychological, and legal consequences. KSU accommodates victims of workplace violence by:
 - Referring victims to appropriate community resources, such as medical centers and counseling services;
 - Providing flexible work hours or short-term or extended leave;
 - Cooperating with law enforcement personnel in the investigation of the crime and the prosecution of the offender; and
 - Providing a debriefing for employees twenty-four (24) to forty-eight (48) hours after a serious violent occurrence to explain what happened and what steps are being taken by KSU to support affected employees.

5. Enforcement

OHR and the University Police must immediately investigate any report of violence or physical threats committed on KSU premises.

All employees who commit violent acts or who otherwise violate this policy are

subject to corrective action or discipline, up to and including termination of employment.

110.0 HARASSMENT POLICY

INTRODUCTION

KSU is committed to maintaining the campus community as a place of work and study for faculty, administrators, staff and students, free of sexual harassment, intimidation, and exploitation. The University does not tolerate behavior by an employee that constitutes sexual or other unlawful harassment of any member(s) of the University community. Harassment in any form, including verbal and physical conduct,

120.0 CONFLICT OF INTEREST

INTRODUCTION

KSU insists that all of its employees exhibit the highest level of ethical conduct in conducting their day-to-day business with vendors, employees or professional organizations. In addition to the guidelines included here, employees shall adhere to the University's

or a member of the employee's immediate family:

- i. Accepts or solicits a gift, favor, or service from an individual, business, or other party involved, or potentially involved, in a contract or transaction with KSU;
- ii. Accepts, agrees to accept, or solicits money or other tangible or intangible benefit in exchange for the exercise of official powers or the performance of official responsibilities;
- iii. Accepts employment or compensation or engages in any busin

create a conflict of interest.

connection with their employment at KSU pertaining to KSU; busi

140.0 SUBSTANCE ABUSE POLICY

INTRODUCTION

The use of illegal substances or alcohol on KSU premises or in the performance of one's job

3. Whenever a supervisor witnesses the unlawful possession, use, dispensation, distribution, or manufacture of controlled substances by an employee, that supervisor shall:
 - a. Immediately notify the appropriate police authority;
 - b. Suspend the employee pending investigation;
 - c. Inform the Director of Human Resources

OHR shall notify the University Police whenever unauthorized controlled substances are found on University property

An investigation shall be conducted to determine whether there has been a violation of this policy. If evidence confirms that an employee has violated this policy, OHR shall determine the appropriate sanction which may include corrective action up to and including termination.

4. Employees may be required, as a condition of employment, to submit to drug and/or alcohol testing. Employees also are prohibited from continuing to work if they have

NOTE: Failure to provide adequate notice affects the eligibility for future employment with the University. An employee that fails to provide adequate or otherwise fails to separate in good standing is not eligible for re-hire anywhere within the University.

The employee will have the opportunity to participate in an exit interview. At the exit interview, employees will have the opportunity to discuss their employment at the University, offering suggestions and expressing concerns, and complete an exit interview checklist facilitating the return of property and equipment.

1. The supervisor will process an OPAL and submit it to OHR.
2. The supervisor should make arrangements with the employee to secure all ID badges, keys, and other KSU property prior to the employee's last day.

150.2 INVOLUNTARY TERMINATION

Involuntary termination is initiated by KSU for what it considers justifiable reasons. Involuntary termination may result from layoff, elimination of a position, or gross misconduct. The University also reserves the right to terminate an employee without cause.

Layoff

A layoff is a separation from the University when rehire is anticipated within one year. Authority to implement layoff lies with the President. Layoff of a regular employee may be necessary due to:

- Lack of work;
- Lack of funds to continue the position;
- Other reasons leading to a reduction in force.

Employees shall receive a notice of one pay period or pay in lieu of notice prior to layoff.

Position Elimination

A regular position may be eliminated due to organizational real

- e Fighting, physical assault, physical violence, or the threat of physical violence while on the job;
- f Breach of contract by the employee of any term of the agreement;

- i. Disposition of Employee Benefits: All employee benefits are automatically cancelled on the employee's effective date of separation. Disposition of benefit plans for employees separating are as follows:
- Group Medical Insurance: Health care benefits terminate on the day of employment separation. (U.S. expatriates will receive an opportunity for continuation in conjunction with U.S. ERISA Law).
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only); separation date (if applicable); reason for separation (will provide only the following: separated, retired, or deceased); and Social Security number (verification only).

- iv. Written Requests: All information provided/verified in verbal requests, and information regarding earnings, salary and wages, and address will be provided only with signed authorization from the former employee.
- v. Under no circumstances will information regarding performance-related factors be provided to inquiring parties.

4. Exit Interview Form

Every employee leaving the University is to be extended the courtesy of a final interview with a member of management to whom this responsibility is delegated.

The Exit Interview Form must be completed by the terminated employee's supervisor and submitted to OHR.

160.0 EMPLOYEE INFORMATION AND PRIVACY POLICY

INTRODUCTION

170.0 Use of University Computers and E-Mail

INTRODUCTION

Increasingly there is a need to protect KSU's computer systems from outside viruses and applications that may conflict with them. Employees are not to change or

