



TRANSYLVANIA
UNIVERSITY

EMPLOYEE HANDBOOK

Handbook for Transylvania University Employees

Updated September 2020

ACKNOWLEDGEMENT OF RECEIPT

I have received, and/or have access, to a copy of the Transylvania University Employee Handbook and recognize that it is my responsibility to read and familiarize myself with the information and guidelines contained within. If I have any questions, I will contact the Human Resources Office.

I understand that Transylvania University is an at-will employer, as established under the Kentucky state law, and as such employment with Transylvania is not for a fixed term or definite period and may be terminated at will of either party, with or without prior notice. I understand that the employee handbook is not an employment contract and that no one can change the nature of my at-will employment, except in writing signed by the president.

In addition, I understand that this handbook states Transylvania University policies and practices effective the date of publication. I understand that nothing contained in this handbook may be construed as creating a promise of future benefits or a binding contract with Transylvania University for benefits or any other purpose.

The handbook sets forth the organizational policies and procedures of the university and the most up to date version can be found on the Human Resources webpage. I understand that the policies and procedures are continually evaluated and may be amended, modified or terminated at any time.

Employee Signature

Date

Employee Name (please print)

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INTRODUCTION

Welcome and Purpose Statement

Welcome to Transylvania University. This handbook is designed to provide you with general information about working conditions, benefits and policies affecting your employment. The policies and procedures in the handbook apply to all individuals employed by Transylvania University. Some policies apply only to staff members and will be noted accordingly. The employee handbook provides information regarding policies, procedures, and facilities of the University. The handbook is a reference and a general guide and the policies and procedures described are not intended to be, and should not be interpreted as, a contract between the University and any employee. The handbook is a summary of our policies, which are presented here only as a matter of information.

You are responsible for reading, understanding and complying with the provisions of this handbook. Our objective is to provide you with a work environment that is constructive to both personal and professional growth. We appreciate your assistance in building a respectful, inclusive work environment that is welcoming to all employees, students and visitors.

Policy Generation and Changes

Policies and procedures are updated and reviewed on a regular basis and the University reserves the right to change, modify or supersede any of these policies with or without notice at any time. The most current version of the employee handbook can be found on the university human resources web site. The provisions of these policies supersede any conflicting statement made by any supervisor. All University employees are welcome to suggest changes, additions, or deletions to these policies and procedures. Suggestions should be directed to your supervisor, the vice president in charge of your department, or a member of the human resources office.

Historical Sketch

Transylvania University had its beginning in 1780 as Transylvania Seminary. In May of that year, the Virginia Legislature set up a governing board for a public school in the County of Kentucky. The general turmoil from the effects of the Revolution, as well as from Indian attacks, delayed further developments until 1783, when a second act was passed in the Virginia Assembly. The Board of Trustees met for the first time in that year, but the opening session of the new seminary was not held until February 1, 1785, near Danville, Kentucky.

Lexington, because of its size and commercial importance, soon was judged by the Board to be a more suitable place for the institution, and the school began its first session in its new Lexington home on June 1, 1789.

A few years later, Transylvania Seminary joined Kentucky Academy to become Transylvania University. The new university opened its doors to students on the first day of January 1799. Included among the departments of the new university were those of law, medicine, and arts. It is interesting to note that the Medical Department alone had registered 6,406 students and graduated 1,854 by the time it was discontinued in 1859.

Transylvania University, under different presidents, with periods of quasi-control by various Protestant denominations, had periods of brilliance and periods of lethargy until it joined with Kentucky University in 1865.

Kentucky University had its beginning in 1836 as Bacon College, the earliest literary institution of post-high school level among the Disciples of Christ. Bacon College, established at Georgetown, Kentucky, moved to Harrodsburg in 1839 but suspended operation in 1850 due to lack of funds. Five years later a successor to Bacon College was established in Harrodsburg; funds were raised, and a new and larger institution known as Kentucky University opened in 1859. When the main college building was destroyed by fire in 1864, Kentucky University consolidated with Transylvania University. The combined institutions took the name of Kentucky University but were located on the campus of Transylvania.

The first session of the combined universities began in Lexington on October 2, 1865. To its College of Liberal Arts and the Academy, which were moved from Harrodsburg, a College of the Bible and a College of Law were added. In this same year, the Agricultural and Mechanical College of Kentucky was organized and affiliated with the University.

In 1877, a separate College of the Bible, under its own charter, was established, and the corresponding College of Kentucky University suspended operations the next year. In 1878 the Agricultural and Mechanical College separated from Kentucky University and eventually became the University of Kentucky (1916).

By act of the Kentucky Legislature on March 20, 1908, the charter of the University was so amended as to confer upon the Curators of Kentucky University all the rights and privileges of the Trustees of old Transylvania University, and the name of the institution, Kentucky University, was changed back to Transylvania University.

In June 1912 the College of Law was suspended, and in 1914 the Preparatory Department was abolished. Due to the closing of the professional schools, the Board of Curators, in June 1915, unanimously decided to designate the College of Liberal Arts, the only remaining unit of the University, as Transylvania College. In 1969, the name "Transylvania University" was readopted.

Mission, Vision, Values and Goals

Mission

Through an engagement with the liberal arts, Transylvania University prepares its students for a humane and fulfilling personal and public life by cultivating independent thinking, open-mindedness, creative expression, and commitment to lifelong learning and social responsibility in a diverse world.

Vision

Transylvania will be recognized as one of the nation's finest liberal arts colleges

Values

As pioneers, our centuries-long commitment to achieving excellence in liberal arts education is guided by five essential values.

- Integrity
- Innovation
- Diversity

- Community
- Perseverance

Goals

Specifically, the University's goals are to:

- Enhance innovative thinking
- Develop the whole person
- Promote civic engagement and social justice
- Enhance campus infrastructure sustainably

GENERAL EMPLOYMENT PRACTICES

Non-Discrimination and Anti-Harassment

Transylvania University is committed to ensuring that the institution is free of harassment and discrimination on the basis of race, color, citizenship status, sex, age, disability, pregnancy, creed, sexual orientation, gender identity, gender expression, marital status, national or ethnic origin, religion or religious belief or veteran's status, or any other category protected by applicable state or federal law or local ordinance. This policy applies to, but is not limited to, recruitment and admission of students, recruitment and employment of faculty and staff, the operation of any of its programs, promotion, demotion, transfer, position advertising, reduction in force, termination, rates of pay, and selection for training. Consistent with this policy, the University does not tolerate discrimination or harassment of employees, students or other individuals associated with the University. In addition, the University prohibits unprofessional and discourteous actions that may affect a professional and congenial work environment. For this reason, derogatory racial, ethnic, religious, ageist, sexual, or other inappropriate remarks, slurs, or jokes will not be tolerated. This policy applies to all faculty, staff, administration, supervisors, employees, students, applicants, volunteers, and visitors to campus, including guests, patrons, independent contractors, vendors or clients of Transylvania University. To review the non-discrimination and anti-harassment policy and procedure, please follow [this link](#).

Employment Eligibility Verification

Federal regulations require the University to comply with the Immigration Reform and Control Act of 1986. All new employees must personally present documents that establish identity and authorization to work in the United States. The employee must complete and sign section 1 of the *Employment Eligibility Verification Form* (I-9 Form) on or before their first day of employment. The Office of Human Resources, or an appropriate University official, is responsible for reviewing the employee's documentation and completing section 2 within three business days of the first day of employment.

For employees whose work authorization documentation expires, the I-9 Form must be re-verified in Human Resources. It is the employee's responsibility to present updated work authorization documentation to Human Resources on or before the date the current authorization expires.

Statement of At-Will Employment

Transylvania University is an at-will employer, as established under the Kentucky state law, and as such employment with Transylvania is not for a fixed term or definite period and may be terminated at will of either party, with or without prior notice. The employee handbook is not an employment contract and no one can change the nature of an employee's at-will employment, except in writing signed by the president.

Employment of Minors

The University, normally, only employs individuals who are age 18 or older. In certain situations minors between 14 and 18 years of age may be employed but only according to the following guidelines:

- 1) Any minor is prohibited from performing any job declared as hazardous by the Secretary of Labor.
- 2) Minors age 14 and 15 may work outside school hours: no more than 3 hours on a school day, 18 hours in a school week, 8 hours on a non-school day, or 40 hours in a non-school

week. In addition, they shall not begin work before 7 a.m. nor work after 7 p.m., except from June 1, through Labor Day, when evening hours are extended until 9 p.m.

Minors under age 14 shall not be employed by the University.

Employment Classification

The University defines exempt and non-exempt employees following the provisions of the Fair Labor Standards Act (FLSA).

Exempt Status

Exempt employees are exempt from the minimum wage and overtime provisions of the FLSA. This exemption is determined by evaluating the duties and responsibilities required of the staff member against the criteria outlined in the FLSA. A job is classified as exempt if its duties and responsibilities are primarily executive, managerial, or administrative, or if it requires an advanced educational degree or knowledge and experience in a field considered to be professional. Exempt employees fulfill their duties without a focus on the amount of time it takes. Therefore, exempt staff members are paid a monthly salary that does not vary between pay periods based on the quality or quantity of work, and are not eligible to receive overtime for hours worked beyond 40 hours in a workweek.

Non-Exempt Status

Non-exempt employees do not qualify, by the nature of their work and responsibilities, for exemption from the overtime or minimum wage provisions of the FLSA. Non-exempt employees are paid by the hour and must receive no less than one and one-half times their regular rate of pay for hours worked in excess of 40 hours in a workweek. Non-exempt employees include individuals employed in office and clerical, service and maintenance, and technical and scientific positions.

Employment Status

A regular employee is an individual who is working in a position which is funded on a recurring basis or is expected to be funded for one year or longer and at a minimum the position is budgeted for at least nine months on a recurring basis.

A full-time employee is an individual who works 30 or more hours in a week.

A part-time employee is an individual who normally works 29 or fewer hours per week.

A temporary employee is an individual who is performing assigned duties and responsibilities which generally are not expected to continue for more than one year.

Nepotism: Employment of Members of Immediate Family or Household

Employees shall not initiate nor participate in, directly or indirectly, decisions involving a direct benefit (e.g., initial employment or appointment, retention, promotion, salary, work assignments, leave of absences, etc.) to members of their immediate family or household. For the purpose of this policy immediate family includes, husband and wife; son and daughter (including stepchildren); grandchildren; son- and daughter-in-law; parents (including stepparents); grandparents; father- and mother-in-law; brother and sister (including stepbrother and stepsister); brother- and sister-in-law; uncles and aunts; nephews and nieces; and cousins. Household members include individuals regularly sharing the employee's residence. It may be that other personal relationships are also such that objective and equitable supervisory decisions are not possible; in all such cases, the Director of Human Resources must be consulted to ensure consistency with the spirit and intent of this policy.

Persons shall not be employed in positions where they will be subject to the close supervisory authority of a member of their immediate family or household, or where a member of their immediate family or household, in the ordinary course of business, makes decisions or plays a significant role in making decisions concerning their direct benefits. In situations where this policy would be applicable, but the department is large enough that decisions concerning direct benefits and supervision can be made without the participation of the immediate family or household member of the person employed, hiring and other employment decisions shall be made on the appropriateness of the situation, without reference to this policy.

In some instances, the University's policy of preserving the confidentiality of records or other materials may make it inappropriate to have a member of the immediate family or household of another employee in a particular job at the University. For example, it is usually inappropriate for someone to hold a job providing access to confidential records concerning the performance of a member of the employee's immediate family or household.

Exceptions to this policy, which applies to all categories of employment at the University, require the written approval of the Director of Human Resources.

Performance Management

A staff member's performance is informally evaluated throughout the year. At the beginning of the year, supervisors are expected to use the formal staff performance management as a tool to identify core job responsibilities, communicate performance expectations, establish goals and objectives, and identify training and development needs. A formal mid-year status check is beneficial to ensure there is evidence of sufficient progress and to make any necessary adjustments to the performance plan. At the year-end review, the system is utilized to evaluate the degree of successful completion of core job responsibilities, achievement of goals, completion of training and professional development, and recognition for other accomplishments and identification of improvement opportunities. The process is intended to be a continuous cycle which connects individual performance to strategic and departmental goals and objectives.

Progressive Discipline

Purpose

The purpose of this policy is to clarify guidelines for employee conduct and to outline appropriate disciplinary steps.

Employment with Transylvania University is "at will," which means it is subject to termination by either Transylvania University or the employee at any time, for any reason. Nothing in this policy provides any contractual rights regarding employee discipline or counseling, nor should anything in this policy be read or construed as modifying or altering the employment-at-will relationship between Transylvania University and its employees.

Responsibilities of Employees

Every Transylvania University employee has the responsibility to be aware of and to abide by existing policies and work rules.

In addition, employees have the responsibility to perform their duties to the best of their ability and to the standards set forth in their job descriptions or as otherwise established. Employees are encouraged

to take advantage of all learning opportunities available and to request additional instruction when needed.

Responsibilities of Supervisors, Managers and Directors

The immediate supervisor, manager or director should approach corrective measures in an objective manner. If the employee's performance of assigned tasks is the issue, the supervisor, manager or director should confirm that proper instructions, appropriate orientation and adequate training have been given and that the employee is aware of job expectations. If misconduct is the issue, the supervisor, manager or director should take steps to ensure that the employee is aware of the University's policies and regulations regarding employee conduct.

If, in either case, appropriate instruction or information was not communicated, the supervisor, manager or director should immediately develop a plan for delivering such instruction or information and should review the content with the employee.

Progressive Discipline Process

Transylvania University supports the use of progressive discipline to address issues such as poor work performance or misconduct to encourage employees to become more productive workers and to adapt their behavior to University standards and expectations. Progressive discipline usually consists of oral warning, written warning, suspension, and termination. For serious infractions of standards of conduct or departmental policies, immediate suspension or termination may be warranted. Supervisors must consult with the human resources office before taking disciplinary action.

An oral warning occurs when a supervisor verbally counsels an employee about an issue of concern. A written record of the discussion, noting the date, event and recommended action, is placed in the employee's personnel file for future reference.

A written warning is used for behavior or performance that a supervisor considers serious or when an oral warning has not helped change unacceptable behavior or performance. The supervisor, in consultation with human resources (HR), may place the employee on a performance improvement plan (PIP) not to exceed 90 days. Within this time period, the employee must demonstrate a willingness and ability to meet and maintain the conduct and work requirements specified by the supervisor and the organization. The supervisor and employee should meet regularly to assess the progress of the PIP. If the employee has met the goals and expectations described in the PIP, the supervisor will document that he or she has successfully completed the PIP. If established goals are not met, dismissal may occur.

In some cases, if the pattern of unacceptable behavior or performance continues or if the misconduct is more severe, suspension without pay is the appropriate disciplinary action. The suspension without pay (not to exceed 40 hours) must be approved by HR prior to the discussion with the employee. Once the appropriate suspension document is prepared and signed, the supervisor should meet with the employee.

If progressive discipline fails to improve an employee's conduct or another type of misconduct occurs, termination may be the result. Termination is recommended by the supervisor and managed by HR.

Transylvania University reserves the right to administer appropriate disciplinary action for all forms of disruptive or inappropriate behavior. Each situation will be dealt with on an individual basis.

Documentation

A written record of disciplinary action is included in the employee's personnel file.

Employee Conduct That Can Result in Disciplinary Action

Transylvania University has established general guidelines to govern the conduct of its employees. No list of rules can include all instances of conduct that can result in discipline, and the list of examples below is not exhaustive. Furthermore, sound judgment and common sense should prevail. Transylvania University reserves the right to determine the appropriate level of discipline for any performance or conduct issues.

1. Chronic and/or excessive tardiness/absenteeism
2. Inappropriate or unsuitable job performance and/or failure or neglect to perform assigned duties.
3. Failure to act in a courteous or appropriate manner towards the public, University employees, or students
4. Violation of University or department rules
5. Tampering with or falsifying official University records including one's own or another's time card
6. Fighting or threats of violence
7. Failure to report an accident, injury, or hazardous situation in a prompt manner
8. Insubordination, which includes unwillingness to perform assigned duties
9. Acts which constitute a violation of local state or federal law while on the job or on University property
10. Bullying
11. Job abandonment

Personnel Files and Access

Official employee personnel files are maintained by the Office of Human Resources. The confidential files contain records relating to an individual's employment and are retained for business reasons. Access to employee files is controlled by the Director of Human Resources and is strictly limited to individuals who have a legitimate business need to review the materials. Generally, a supervisor may review a file for an employee under their direction. In addition, outside agencies may have access to an employee's file when required by law, court order or subpoena.

All records relating to the medical condition or history of an employee or an employee's family members, including records and documents relating to medical certifications, re-certifications, or medical histories, shall be maintained as confidential medical records separate from normal personnel files. Supervisors and managers may be notified of information in such files regarding necessary restrictions on the work or duties of an employee and necessary accommodations. Government officials investigating compliance with various federal and state laws may be provided relevant information from such files upon request.

To ensure that files are accurate, complete and current, an employee may review his/her file by making an appointment with the Director of Human Resources. An employee has the right to request an amendment or removal of a document from the official personnel file by submitting a written appeal to the Director of Human Resources.

Personnel Data Changes

Transylvania University requires employees to keep the University informed of any changes in an employee's information which may affect employment status. It is the employee's responsibility to notify the human resources office whenever there is a change in any of the following information.

- Address
- Telephone Number
- Person to notify in case of emergency
- Name (due to marriage, etc.)
- Gender
- Marital status
- Number of dependents
- Beneficiary

WORK HOURS AND COMPENSATION

Work Hours and Work Week

The normal work hours are established by the supervisor or the appropriate administrator based upon work necessity. Normally, University employees will work a five (5) day week. For non-exempt staff the work week begins on Sunday at 12:00 am and ends on the following Saturday at 11:59 pm. It is the employee's responsibility to report to work at the beginning of the scheduled work day or shift. The employee is also expected to remain on the job actively performing the duties of the job until the completion of the work day or shift. The receptionist, department administrative assistant or supervisor must be informed by the employee when s/he is away from the office or duty station for an extended period of time during the work day. The employee shall indicate where s/he can be reached.

Time Reporting and Pay Schedule

The pay date for monthly paid employees is scheduled on a calendar year basis, but is generally on the last business day of the month.

Hourly paid employees will be paid every other Friday. Employees must submit an electronic timesheet by noon on the Monday prior to the pay date and supervisor must approve the electronic timesheet by 11:59 pm on the Monday prior to the pay date to allow time for proper payment.

For mutual convenience, direct deposit of earnings is required for all employees.

Overtime

Non-exempt employees will work overtime hours only at the direction or after approval of his/her supervisor. Non-exempt employees shall be compensated at a straight time rate for all hours worked up to and including forty (40) hours in a work week and shall be compensated at a time-and-one-half rate for all hours worked in excess of forty (40) in a work week. Only actual hours worked are counted in computing eligibility for overtime pay. Leaves and other absences will not be counted or added to the number of "hours worked" in a work week and will therefore not be calculated in the overtime rate of pay. Leave hours will be paid at the regular rate of pay.

Compensation for each hour worked in excess of forty (40) hours in any workweek must be compensated in one of two ways: (1) time and one half rate of pay, or (2) each hour of overtime must be compensated by one and one half hour of time off in the same pay week.

Rest Periods

An employee is granted rest periods according to the following guidelines.

- An employee working a 7.5 or 8 hour shift shall be granted two 15 minute breaks per day with pay.
- A rest period will not be granted during the first or last hour of a work period.
- Part-time employees may be entitled to a rest period during any work session of four hours or more.
- Supervisors may stagger the breaks for employees within the work area to maintain continuous service.

The rest period is intended to be a recess to be preceded and followed by an extended work period. Therefore, the rest period should be scheduled as close to the middle of each work period as possible. The rest period shall not be used to cover a staff member's late arrival or early departure or to extend a lunch period.

Meal Periods

An employee, who works a 7.5 or 8 hour shift, shall be granted a minimum of thirty (30) minute unpaid meal period. The meal period should begin between the third and fifth work hours. An employee who is on a meal period shall be relieved of all duties and responsibilities. It is recommended that the meal period be taken at a location other than the employees normal workstation.

Flexible Work Schedules

Transylvania University supports the use of various work scheduling arrangements that are designed to meet the operating and customer service needs of a department. The availability of flexible work schedules is not intended to change the department's regular hours of operation, nor does it alter the responsibility or diminish the authority of the supervisor to establish and adjust work schedules. Instead, this type of flexible scheduling is intended to enhance staff morale and retention by balancing the needs of family and work while maintaining and improving a department's service delivery.

For administrative offices, the standard hours of operation are from 8:30am to 5:00pm. A nonexempt (hourly paid) staff member may request a starting time up to one (1) hour earlier or one (1) hour later than the standard hours of operation. The request must be approved by the supervisor and department director and should not be changed by the staff member without prior approval. The adjusted work schedule should be consistent for a designated period of time, preferably a minimum of a semester.

Due to the nature of work and service expectations, some positions may not be eligible for a flexible work schedule. (e.g., public safety officers, front desk workers/receptionists, etc.) In addition, a supervisor or department director has the discretion to alter or discontinue an adjusted work schedule and revert back to the prior schedule if the adjusted schedule hinders the staff member's effectiveness, service, department's productivity, etc.:

Additional Considerations:

- Adequate supervisory contact and/or employee accountability must be maintained.
- Flexible work schedules must not cause or contribute to the need for additional staff or for existing staff to work additional overtime hours.
- The staff member must continue to receive at least a 30 minute unpaid meal period each day.
- To maintain our commitment to a safe working environment, make sure employees are not working alone or in isolated areas.

BENEFITS

Regular full time employees may enroll in the various plans the University provides by contacting the Employment and Benefits Manager. The following information on the plans is not all inclusive. It is the employee's responsibility to enroll and become familiar with the benefits, limitations and options. Employees should review the summary plan description for each benefit plan for detailed information.

Retirement Plan

A defined contribution retirement plan is provided to all eligible employees. The University contributes 7.5% of qualifying base salary and base wages on behalf of the employee. To be eligible, the employee must be employed as a regular full time employee and have one full year of service with the University. University provided contributions are fully vested after three years of employment.

Supplemental Retirement Annuity Plan

Any non-student employee, regardless of age or length of service, may elect to participate in the voluntary Supplemental Retirement Annuity Plan (SRA). In general, employees place part of their earnings into their SRA account by payroll reduction. Features, options and limitations are similar to the Retirement Plan plus there are special tax rules and TIAA/CREF rules to follow. For example, there is a limitation on the annual amount the employee can contribute to his/her SRA account.

Employees who are interested in the SRA plan are encouraged to develop an understanding of the plan, its options, limitations and benefits before starting the plan.

Health Insurance

Transylvania University currently offers a health insurance plan to its employees. Please refer to the benefit summary statement for details on services, coverage, and costs.

Newly hired employees must enroll within 30 calendar days of employment. Eligibility is limited to regular full-time employees or members of an eligible class. Transylvania University pays a contribution toward the cost of coverage for active employees. The contribution varies based upon the plan and level of coverage selected. Continuing employees may elect to enroll in the health plan, if not previously enrolled, in accordance with open enrollment and special enrollment procedures.

Retirees can be considered a member of an eligible class if all of the following are true, (1) the individual must have been previously enrolled in the health plan, (2) have reached 60 years of age but be less than 65 years of age, and (3) have completed five years of continuous service in a regular full-time or half-time position for the University. Individuals hired on or after January 1, 2005 must have completed ten years of continuous service in a regular full-time or half-time position for the University, and meet conditions (1) and (2) listed above to be considered a member of an eligible class. A member of this eligible class may purchase coverage at the current group rate and pay the entire premium on a monthly basis.

Participants are encouraged to develop a familiarity with the benefits and limitations of the plan, including review of the certificate of coverage which can be found on the Human Resources webpage. Any question or doubt should be raised with the insurance company. Any member of the Human Resources Office is available to help answer questions and resolve issues.

Group Term Life Insurance

The University pays the entire premium for a term life insurance policy equal to the employee's salary. Death benefits are stated in thousands of dollars and are based upon the employee's base salary or annualized base wages. If the base compensation amount is a fraction of \$1,000, the death benefit is rounded to the next \$1,000 amount. Eligible employees are those employed on a regular full-time basis. In addition, an eligible employee's spouse can be covered and an employee's dependents can receive coverage. An employee can also elect additional voluntary coverage.

Newly hired employees must enroll within 30 calendar days of employment. Beneficiaries must be listed on the application form at enrollment. It is the employees' responsibility to update beneficiaries as needed.

Accidental Death and Dismemberment Insurance

The University pays the entire premium for an accidental death and dismemberment insurance policy equal to the employee's salary. Benefits are stated in thousands of dollars and are based upon the employee's base salary or annualized base wages. If the base compensation amount is a fraction of \$1,000, the death benefit is rounded to the next \$1,000 amount. Eligible employees are employed on a regular full-time basis.

Newly hired employees must enroll within 30 calendar days of employment. Beneficiaries must be listed on the application form at enrollment. It is the employees' responsibility to update beneficiaries as needed.

Long-Term Disability Insurance

The University pays the entire premium for long-term disability insurance. Eligible employees are those employed on a regular full-time basis. Coverage begins on the first day of the month following employment unless employment begins on the first day of the month.

Benefits are supplemental to (integrated with) social security benefits such that combined monthly payments are equal to 60% of normal monthly compensation to a maximum of \$8,000 per month. Review the long-term disability summary plan description for specific information about the definition of disability, payable benefits, and coverage.

This plan is currently with Met Life. Another provision of the plan is that an employee, who begins to receive long-term disability benefits, will also receive a pension contribution benefit. Disability benefits under this plan end at age 65.

Social Security (FICA)

Transylvania matches the employee's FICA payroll deduction (7.65%) on a dollar-for-dollar basis up to the required maximum.

Dental Insurance

Employees may purchase dental insurance on a voluntary basis. The plan also offers discounts for vision care. Newly hired employees must enroll within 30 calendar days of employment. Eligible employees are regular full-time employees.

Vision Insurance

Employees may purchase vision insurance on a voluntary basis. Newly hired employees must enroll within 30 calendar days of employment. Eligible employees are regular full-time employees.

TU-Flex Section 125 Plan

Employees are automatically enrolled in the TU-Flex premium conversion account which permits an employee to pay any out of pocket health or dental premiums with pre-tax dollars. An employee may also voluntarily participate in one or both of the TU-Flex Section 125 Plan flexible spending accounts; (1) health care reimbursement account, and (2) dependent care reimbursement account. An employee may set aside wages on a pre-tax basis to pay for expected un-reimbursable medical expenses as well as dependent care expenses for childcare or elder care. Any election applies to the entire plan year or for the portion of a plan year the participant is employed.

An employee must meet the eligibility requirements for health insurance to participate in the TU Flex Plan. Newly hired employees must enroll within 30 calendar days of employment.

NOTE: If an employee selects the family health or dental insurance coverage and is paying the premium on a pre-tax basis using the premium conversion account then s/he cannot cancel or reduce coverage unless there is a change in status. This limitation is imposed by the Internal Revenue Code. Please contact the Employment and Benefits Manager to discuss this or other exceptions.

Worker's Compensation - Work Related Injury Reporting

Any employee or work-study student who sustains a workplace injury or occupational disease must notify their supervisor immediately. The supervisor shall report the injury by contacting the EEmployment and Benefits manager and/or the insurance company, KESA (Kentucky Employers Safety Association), which handles work-related injuries. KESA can be reached at 1-800-367-5372. (Please note the group health insurance plan will not cover work-related injuries.)

The eEmployment and Benefits manager or KESA will request appropriate information to complete the required IA-1 Form, First Report of Injury or Illness. The supervisor should be prepared to explain what body part was affected, what the individual was doing, and the reported cause of the injury. All individuals with work-related injuries are permitted to receive care from a provider of their choice after reporting the injury. Most employees use Baptist Worx located at 1051 Newtown Pike Suite H, phone # 253-0076. If the situation requires emergency treatment, contact DPS or call 911 to obtain immediate assistance. For emergency care, the individual can also be taken to an emergency room at any hospital and the injury can be reported later. Failure to properly report injuries may result in compliance problems and lead to difficulty in processing claims.

After reporting the injury, the supervisor shall conduct a thorough accident investigation and complete an accident report within 24 hours. The completed accident report shall be submitted to the Employment and Benefits manager.

Most individuals are able to return to work the same day or next day, with no work restrictions. If an employee has work restrictions, these must be brought to the supervisor's attention upon return to work. The supervisor shall review restrictions to determine if work modifications can be made to accommodate limitations.

If the employee is unable to return to work or if a modified duty assignment is not available, they shall be placed on leave. During the first seven calendar days, the employee may use their sick leave to remain in a paid leave status. If the employee is unable to work for eight calendar days or more due to a work-related injury, he/she becomes eligible for Temporary Total Disability (TTD) benefits. The weekly benefits for TTD are two-thirds (2/3) of the employee's average weekly wage, but no more than the

state's average weekly wage. If the employee is unable to work for 15 days or more, they are entitled to payment of TTD benefits for the first seven calendar days. During the period an employee is receiving TTD benefits they must make any additional out-of-pocket premium payments to continue coverage on the University insurance plans. Employees may not elect to use accrued sick or vacation leave to supplement TTD benefits.

Upon return to work, the employee is expected to provide a medical release to resume work or a release with restrictions that indicates limitations and the expected duration of restrictions. When possible, the University will attempt to establish short-term modified duty assignments to accommodate work restrictions.

If the employee's absence also qualifies as a serious health condition under the provisions of the Family and Medical Leave (FML) policy, the supervisor will issue a FML confirmation form and the leave periods shall run concurrently.

Tuition Defrayal Program

The University defrays tuition for individuals who have completed one year of employment and are employed in regular full-time position.

Employee

An eligible employee may, with the supervisor's permission, take one credit course per term during the fall and winter term, with no tuition charge. (The tuition defrayal does not apply to applied music courses/lessons.) Time away from work for class attendance is not considered as work time and all time missed must be made up. Employees must complete an application form and receive advance approval from their supervisor and the director of human resources to receive tuition defrayal.

Qualifying Child

After one year of employment, an eligible employee's qualifying child (as defined by the IRS, which includes not reaching 24 years of age before the end of the calendar year) upon graduation from high school may enroll in classes and receive full (100%) defrayal of tuition (this does not include the general fees). (The tuition defrayal cannot be used for applied music courses/lessons.) The student must be fully admitted to a regular degree program at Transylvania, through an institution in the tuition exchange, or another accredited higher education institution.

An employee's child, who reaches 24 years of age during the calendar year, may also be eligible for tuition defrayal if the child is a qualifying relative (as defined by the IRS). According to the IRS, there is no age limit on claiming your child as a dependent if the child meets the qualifying relative test. If the child does not meet the qualifying relative test, he/she is not eligible for tuition defrayal.

Students participating in the tuition defrayal program may receive grants, scholarships, or loans from external sources (federal, state or private) for which they qualify, however they may not receive additional scholarship funds from the University. Institutional scholarships cannot exceed the amount of tuition. The matriculation fee and the general fees must still be paid by the student. Special fees and room and board charges are not covered by the tuition defrayal program. Eligibility for tuition defrayal is contingent upon meeting academic standards and financial aid eligibility standards and is generally intended for attainment of the student's first undergraduate degree. Tuition defrayal is limited to four (4) Fall, four (4) Winter terms and four (4) May terms, or equivalent. Tuition defrayal also applies to summer session courses but it is limited to a maximum of four (4) courses per eligible qualifying child.

Students are responsible for any tuition fees associated with an overload. To review the tuition defrayal application, please follow this link.

Tuition Exchange Program

Transylvania University is a member of Tuition Exchange, Inc. The tuition exchange program is a national scholarship exchange program it is not a guaranteed employment benefit. After one year of employment a regular staff member who works 30 hours a week or greater for at least nine months of the academic year becomes eligible to participate in the program.

An eligible employee's qualifying child (as defined by the IRS) may apply for a tuition exchange scholarship to a member institution. The family member whose employment conveyed eligibility for a tuition exchange scholarship must remain employed in a regular full-time status for continuation of the scholarship.

Scholarships are limited to students who are pursuing their first undergraduate degree. Students, who are being considered for a scholarship, must meet the eligibility and admission requirements of the host institution. For continuation of the scholarship, students must also comply with the host institution's standards for academic performance and personal conduct. Tuition Exchange applications must be submitted by December 1 for scholarships in the following fall semester.

Contact the human resources office for information about member institutions, application procedures, and scholarship coverage. The Tuition Exchange, Inc. website can be viewed at www.tuitionexchange.org.

Graduate Level Tuition Reimbursement Program

The University will reimburse seventy-five percent (75%) of the cost of graduate tuition for individuals who have completed one year of employment and are employed in a regular full-time position.

The following criteria also apply to eligibility for the program;

- The course must be taken at a college or university accredited by the Southern Association of Colleges and Schools (SACS) or a similarly recognized regional organization.
- The employee taking the course must receive a "B" grade, or higher, to be eligible for reimbursement of tuition costs.
- Eligibility is limited to one course per term or semester and a maximum of two courses per academic year.
- The course should be related to the employee's current position or a related career path.
- Employee must demonstrate satisfactory progress toward attainment of a Master's degree.

In addition, employees are encouraged to take classes outside of normal working hours and any work time missed must be made up. Participation in this program must not interfere with an employee's ability to perform his/her job. An application for tuition reimbursement must be completed and approval granted prior to enrolling in each course to be eligible for the program. IRC Section 127 allows up to \$5,250 per calendar year of graduate-level tuition benefits to be excluded from an employee's taxable income. Any other financial aid received shall reduce the value of this benefit.

Tuition reimbursement will be issued after submitting an official grade report or transcript with a grade meeting the above criteria. The official grade report must be submitted within 90 days of course completion to receive reimbursement. The tuition reimbursement benefit is contingent upon an employee's continuing employment in a benefit eligible position. Note: application fees, program fees, text books, supplies, etc., are not covered under this program.

PAID AND UNPAID LEAVE

Vacation Leave

Regular staff employees working 20 hours or more per week shall earn vacation leave according to the schedule listed below, which are effective July 1, 2014.

Years of Service	Vacation Leave Earned Per Year (in days)
0 to 1	10
1+ to 5	11
5+ to 8	15
8+ to 15	17
15+	20

A staff employee must be in a pay status for one half or more work days in a pay period to earn vacation leave for the pay period. Any staff member who works less than 40 hours per week on a regular basis shall earn a pro-rated amount of vacation equivalent to the percentage of full-time employment. Vacation leave is earned on each pay date. Cabinet level staff members shall earn vacation at the rate of twenty workdays per year.

Requests for vacation must be in writing to the supervisor and made in advance. Earned vacation shall be taken at times mutually acceptable to the employee and the supervisor. Vacation leave should normally be used during the fiscal year it is earned. The fiscal year begins on July 1 and ends on June 30. A terminating employee who separates in good standing is limited to payout of a maximum of one year's vacation accrual.

An employee may rollover one year's worth of accrued vacation leave on June 30 of each year.

Holidays

The following scheduled holidays are normally observed by the University: New Year's Day, Martin Luther King, Jr. Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, the day after Thanksgiving Day, and Christmas Day.

The President may authorize additional holidays and may extend the length of any holiday.

If a holiday falls on the employee's regular workday and the employee is required to work, the employee shall be paid at a straight-time rate for the hours worked and, in addition, will be: (1) credited with additional compensatory leave equal to the time worked on the holiday, or (2) paid an additional compensatory straight-time rate for the time worked on the holiday. The decision to allow compensatory time off or compensatory pay is reserved for the supervisor.

Supervisors are encouraged to be sensitive to the importance of religious holidays to employees. Every effort should be made to allow employees to observe religious holidays.

An employee who has an unauthorized absence on the workday before or after a holiday will not be paid for holiday.

Holidays that occur during a period of temporary disability leave or vacation leave are not charged against an employee's temporary disability or vacation leave balance.

Temporary Disability Leave (Sick Leave)

Regular full-time staff members shall earn one day of temporary disability leave for each month of continuous employment. A staff member must be in a pay status for one half or more work days in a pay period to earn temporary disability leave for the pay period. Temporary disability leave is earned on the pay date. Non-exempt (hourly) full-time employees, who work 40 hours per week, shall earn temporary disability leave at the rate of 3.69 hours per pay period. Temporary disability leave may accumulate up to a total of one hundred thirty (130) work days. Staff members are encouraged to accumulate temporary disability leave in case of an extended injury or illness. An employee's temporary disability leave serves as his/her short term disability insurance.

A part-time employee who works at least 20 hours per week shall earn a pro-rated amount of temporary disability leave equivalent to the percentage of full-time employment.

Temporary disability leave is granted when a staff member is unable to perform one or more of the essential functions of his or her job due to illness or injury. A staff member may also utilize temporary disability leave for preventive medical, dental, and vision appointments. When an employee is medically able to return to work, eligibility to use temporary disability leave ceases.

In addition, a staff member may use temporary disability leave due to an illness or injury of an immediate family member or for taking immediate family members to medical, dental, and vision appointments. For the purposes of this policy, immediate family is defined as the spouse, child, or other household member/relative under the continuing care of the employee. If the situation is designated as a family medical leave qualifying event involving medically necessary care then the employee may use any available temporary disability leave during the family medical leave period to care for eligible family members. Please refer to the family medical leave policy for definitions of eligible family members.

A staff member who must be absent from duty due to illness or injury must notify the immediate supervisor according to departmental policy. Failure to properly inform the supervisor of an absence shall be considered an unauthorized absence and will make the employee ineligible to use temporary disability leave. The University reserves the right to request a doctor's certificate for any absence due to illness or injury of two days or more.

Temporary disability leave is a benefit, not an entitlement. An employee may be subject to discipline, up to and including termination of employment, for excessive use or abuse of temporary disability leave. An employee will not be paid for unused temporary disability leave upon termination of employment.

Sick Leave Bank Policy

The purpose of the Transylvania University Voluntary Sick Leave Bank (bank) Policy is to provide additional paid leave for staff members who have exhausted their accrued sick and vacation leave benefits as the result of a serious health condition. The bank serves as a depository into which participating employees may voluntarily contribute accrued sick leave for allocation to other participating employees. The purpose of the bank is not intended to provide unlimited paid sick leave for any medical reason but to alleviate the hardship caused when employees lose compensation as the result of a serious health condition. This policy utilizes the Family Medical Leave Act (FMLA) definition of

serious health condition and includes time required to care for an immediate family member as defined by the FMLA.

1. Regular full-time and part-time staff employees, who have been employed one year and have accumulated 8 days of sick leave by the benefits open enrollment deadline date, are eligible to donate a minimum of one (1) day and a maximum of ten (10) days of sick leave to the bank.
2. Membership eligibility for participation in the bank for a calendar year, effective January 1, begins upon the employee's original donation of two days of sick leave. Participation in the bank continues when two additional days of sick leave are donated for each subsequent calendar year.
3. Eligibility is discontinued upon termination of employment, retirement, death, or failure to donate leave days the following calendar year(s). No payment of benefits will be made to survivors. Members must waive all claims to sick leave voluntarily donated to the bank. Donated leave time contributed to the bank becomes the property of the University and may not be withdrawn, targeted for specific individuals, returned to an employee upon separation, retirement, or become part of the employee's estate upon his/her death.
4. Each year staff employees will elect to participate in the bank during the open enrollment benefits election period.
5. The bank is available to those employees who have exhausted all sick and vacation leave and who are not receiving disability or Workers' Compensation.
6. To apply for benefits and make a withdrawal from the bank, an employee must complete a sick leave bank request application form and submit it to the human resources office.
7. Sick leave bank request applications will be reviewed on a case-by-case basis by two human resources staff and a representative of the Staff Engagement Team. Use of benefits from the bank is considered under the provisions of the FMLA.

Family and Medical Leave

Transylvania University provides Family and Medical Leave (FML) to assist employees with balancing the demands of the workplace, their personal needs, and the needs of their families in a manner that accommodates the legitimate interests of the University. The policy is intended to complement whatever leave rights employees may have under applicable federal and/or state law.

Basic Leave Entitlement

FML requires covered employers to provide up to 12 weeks of unpaid, job-protected leave during a 12-month period measured forward from the date of your first FML leave usage for the following reasons:

- for incapacity due to pregnancy, prenatal medical care or child birth;
- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter or parent, who has a serious health condition; or

- for a serious health condition that makes the employee unable to perform the employee’s job.

Military Family Leave Entitlements

Eligible employees whose spouse, son, daughter or parent is on covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings. FML also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is: (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness*; or (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FML leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.* *The FML definitions of “serious injury or illness” for current service members and veterans are distinct from the FML definition of “serious health condition”.

Benefits and Protections

During FML, the employer must maintain the employee’s health coverage under any “group health plan” on the same terms as if the employee had continued to work. Upon return from FML, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms. Use of FML cannot result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least 12 months, have 1,250 hours of service in the previous 12 months*, and if at least 50 employees are employed by the employer within 75 miles.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee’s job, or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Transylvania University requires use of accrued paid leave, when available, while taking FML. In order to use paid leave for FML, employees must comply with the employer's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FML when the need is foreseeable. When a 30 day notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures. Employees must provide sufficient information for the employer to determine if the leave may qualify for FML and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions; the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FML was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FML. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility. Covered employers must inform employees if leave will be designated as FML-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FML-protected, the employer must notify the employee.

Unlawful Acts by Employers

FML makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under FML; and
- discharge or discriminate against any person for opposing any practice made unlawful by FML or for involvement in any proceeding under or relating to FML.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer. FML does not affect any federal or state law prohibiting discrimination, or supersede any state or local law or collective bargaining agreement which provides greater family or medical leave rights.

Parental Leave

The University provides a paid parental leave to benefit eligible staff who have been employed with the university for one year at the time of birth or adoption. Paid parental leave will begin upon the birth or adoption of a child(ren) of the employee. Parental leave will run concurrent with the 12-week Family Medical Leave (FML). The University should be notified as soon as possible of the employee's need for a parental leave and of the specific period during which the employee expects to be absent.

Parental leave is available to primary and secondary caregivers and includes the birth and non-birth parent(s). The primary caregiver may take up to four consecutive weeks of parental leave with no loss of pay or benefits. After the four weeks of leave has been exhausted, if the primary caregiver continues leave for their ongoing recovery or for bonding with the new baby or adopted child under FML, then the individual may utilize accrued sick and/or vacation leave for the remainder of the FML period up to 12 weeks. The secondary caregiver may take up to two consecutive weeks of parental leave with no loss of pay or benefits. After the two weeks of leave has been exhausted, the individual may utilize accrued sick or vacation leave in accordance with University policies. The secondary caregiver must be the spouse or domestic partner of the primary caregiver. The primary or secondary caregiver may also apply for use of leave from the sick leave bank.

Only one paid parental leave may be taken in any twelve-month period per family. In the event that both parents are Transylvania employees, and if both parents are working in the same department or performing critical duties that overlap, the University reserves the right to coordinate the timing of the leave for the secondary caregiver to best serve the needs of the University. Each employee will be designated as primary or secondary caregiver. If an employee is designated as secondary caregiver, all policies (staff and faculty) apply for the secondary caregiver's parental leave.

The leave period will commence when the birth or adoption occurs. For an employee on a 9-month, 10-month, or 11-month appointment, parental leave for the birth or adoption may begin and/or conclude during the months of the year occurring outside the normal period of assignment. Note: Paid parental leave will not be granted to a staff member outside the regular period of assignment. See example.

Example 1: Jane Doe is a 9-month employee who has an approved leave of absence for the birth of her child. Jane will start her leave on May 1st. Since Jane's regular period of assignment is from August 15th to May 15th each year, Jane will only receive paid parental leave for period of May 1st through May 15th.

Example 2: Sally Smith is a 9-month employee who has an approved leave of absence for the birth of her child. Sally's baby is born on May 30th. Sally's regular period of assignment is from August 15th to May 15th each year. She will not receive paid parental leave since the four weeks elapsed before her assignment period resumed.

Example 3: Ann Johnson is a 9-month employee who has an approved leave of absence for the birth of her child. Ann's baby is born on June 30th. Ann's regular period of assignment is from August 15th to May 15th each year. She will not receive paid parental leave since the four weeks elapsed before her assignment period resumed. When her period of assignment resumes, she will be eligible for FML and can use accrued sick and vacation leave to remain in a paid leave status as indicated in paragraph two above.

Leave of Absence

A staff member may make written application for a leave of absence for up to thirty (30) days. If approved by his/her supervisor and the President (or designate), seniority will continue to accumulate during this period. Leaves of absence shall be taken without pay. An extension of the leave of absence may be requested by the staff member; however, approval is at the discretion of the University.

Bereavement Leave

Absence due to the death in the immediate family of a regular full-time or part-time employee not to exceed three (3) days at any one time shall be granted without loss of pay. For this policy immediate family is defined as the employee's: parents or legal guardians, brother, sister, spouse, domestic partner, spouse/domestic partner's parents or legal guardians, children, stepchildren, grandparents (including spouse's), grandchildren, daughter-in-law, and son-in-law.

A regular full-time or part-time employee may be excused from work for a maximum of one day with pay to attend the funeral of a close relative.

Jury Duty Leave

Jury duty leave is unlimited; however, pay for jury duty is limited to forty-five (45) days in any calendar year. Employees may be required to provide proof of jury duty. If an employee is not selected to serve they are expected to return to work.

Voting Leave

A regular employee may be given leave time up to 4 hours as per KRS 118.035 of which up to 2 hours will be with pay if such time off is necessary for the employee to vote.

RIGHTS AND RESPONSIBILITIES

Respectful Workplace

It is the policy of Transylvania University to ensure that the institution is free of harassment for any discriminatory reason. The University prohibits not only unlawful harassment, but also other unprofessional and discourteous actions which affect the professional and congenial work environment. For this reason, derogatory racial, ethnic, religious, ageist, sexual, or other inappropriate remarks, slurs, or jokes will not be tolerated.

Transylvania's success in providing a quality educational experience for its students and a rewarding employment experience for those of us who teach and work here is ultimately dependent upon maintaining its reputation as an outstanding educational institution. In this spirit, we encourage employees to use proper discretion prior to saying or doing things that could harm its educational mission and reputation. Employees are not to make defamatory, disparaging, offensive, or belittling statements about Transylvania employees, faculty, staff, or students. Similarly, employees should not make defamatory statements about the University or misrepresent the educational experience or other services it provides to students. These prohibitions extend to statements, written or verbal, made publicly or privately, including statements made on social media sites, to the news media, board members, donors, competitors, contractors, vendors, employees, or students. Furthermore, employees should not engage in conduct that interferes with or is detrimental to the quality educational experience of Transylvania students or that impedes harmonious interactions and relationships between and among students, faculty, staff, and employees.

Sexual Harassment Policy

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic status, (2) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or academic environment.

Students, faculty or staff, who believe that they have been sexually harassed, must immediately report the incident(s) to the supervisor, a vice president, the president or the director of human resources. **Do not allow an inappropriate situation to continue by not reporting it, regardless of who is creating the situation.** The appropriate administrative officer, typically the director of human resources, will investigate the alleged incident(s) and will complete the investigation as soon as practically possible. The investigation may involve coworkers, supervisors, students, faculty or other persons involved (directly or indirectly) with the complaint.

If there is a mutually satisfactory solution, all parties will sign the agreed solution and the issue will be considered to be closed. Any violation of the agreement, by either party, will be grounds for reopening the complaint.

If a mutually satisfactory agreement cannot be reached, the administrative officer investigating will make a recommendation to the President. As soon as possible after receipt of the recommendation the President, or his/her designee, will render a decision on the complaint. The President, or his/her

designee, may meet with any and all parties he/she believes should be included, to resolve the complaint.

In cases involving physical force, or threat of physical force, the individual against whom that force or threat has been directed, or someone designated by the person to act on her or his behalf, should immediately notify the department of public safety.

The University will take care to restrict disclosure of information concerning allegations of sexual harassment to those persons who have a need to know the information.

State and federal law prohibits any type of retaliation against a person for making good faith, legitimate complaints of harassment of any kind or for assisting in the investigation of such a complaint. The terms and conditions of any employee's employment will not be affected by the fact that he or she has brought a good faith complaint of harassment or assisted in the investigation of such a complaint.

Any employee who engages in objectionable conduct under this policy is subject to discipline up to and including termination of employment

Title IX Policy

Transylvania University is committed to complying with Title IX of the Education Amendments of 1972, which prohibits discrimination (including sexual harassment and sexual violence) based on sex in the University's educational programs and activities. Title IX also prohibits retaliation for asserting or otherwise participating in claims of sex discrimination. Every school district and college in the United States is required to have a Title IX Coordinator who oversees implementation, training, and compliance with Title IX.

For complete information on Transylvania's Title IX policies and procedures, please go to [Title IX at Transylvania University](#)

Employee Safety Policy

It is a basic responsibility of all employees of Transylvania University to make the health and safety of fellow employees and students a part of their daily concern. This responsibility must be accepted by each employee who conducts the affairs of the University, no matter in what capacity he/she may function. All practical steps will be taken to build and maintain a safe and healthful workplace.

It is the policy of Transylvania University:

1. To provide a safe and healthful place of employment that is free of recognized hazards for our faculty, staff and students and to abide by the federal, state and local regulations that pertain to our Industry.
2. To enforce the rules of this policy.
3. To require subcontractors to abide by and adopt this policy or similar policy.
4. To have operable a procedure for securing treatment of injuries on each active job site.
5. To provide safety education and training for employees and students as needed.

All employees must abide by the following rules:

1. Report all unsafe conditions to their immediate supervisor.
2. Promptly report all injuries to their immediate supervisor.
3. Wear appropriate personal protective equipment, such as hard hats, steel toed boots, respirators, gloves or safety glasses to protect against job hazards.
4. Seat belts are to be used at all times when in a vehicle on university time.
5. Never operate any machine unless all guards and safety devices are in place and in proper operating condition.
6. Keep all tools in safe working condition. Never use defective tools or equipment.
7. Properly care for and be responsible for proper use of all personal protective equipment.
8. Do not operate machinery if you are not an authorized operator and have not been directed to do so by your immediate supervisor.
9. Practice good housekeeping at all times. Do not leave materials or scraps in aisles, walkways, roads or other means or points of egress.
10. You must comply at all times with all commonly recognized and understood safe work practices. All posted safety rules must be followed.
11. Being under the influence of intoxicating beverages or illegal drugs on the job is prohibited. See the employee handbook for the complete drug and alcohol policy.
12. Use of cell phones for business purposes are permitted only when the user is not driving. Employees are strongly encouraged to be safely parked before accepting or placing business calls.
13. Transylvania University participates in a managed care network to provide treatment for all work-related injuries. In the case of a work-related injury, you are required to visit a network doctor, hospital, or clinic. If you choose to visit a doctor outside of the managed care network, you may be responsible for any charges incurred. If you require emergency medical treatment, go to the nearest medical facility to seek treatment whether or not that facility participates in the network. However, for all non-emergency, follow-up, or rehabilitative care you should seek treatment within the managed care network.
14. If you knowingly file a false or fraudulent injury or illness claim, you may be prosecuted.
15. All employees are encouraged to participate in the university's return to work program. This program may provide you with alternative or modified duty work after a work-related injury or illness. This alternative work plan will be developed in consultation with your treating physician.
16. The above stated rules do not represent all safety rules and regulations of this university.
17. These rules only serve to inform you of minimum specific actions that you must adhere to in order to insure your safety and the safety of others on this job site.

Drug and Alcohol Policy

The Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989 require all federal contractors, federal grant recipients, and recipients of any federal funds whatsoever to implement a comprehensive substance and alcohol abuse policy. Transylvania University shall comply with all provisions of these acts. This policy shall apply to all university employees.

Transylvania University prohibits the possession, manufacture, distribution, dispensation, or use of illicit drugs, and the unlawful use, possession, or distribution of alcohol or controlled substances on all university property, at any locations where employees or students are conducting university related business or activities, when using university vehicles, and when using private vehicles on university business or in the conduct of university activities.

The legal sanctions for the unlawful possession, use, or dispensation under state and federal law vary and are based on the nature and severity of the case. Specific legal sanctions are listed in Appendix A.

The health risks associated with the use of illicit drugs and abuse of alcohol have been definitively shown to have potential health consequences that may be permanent. These consequences include disorders and dysfunctions which affect the central nervous system, reproductive functioning, cardiovascular and pulmonary systems, and endocrine functioning. Specifically, there are both short- and long-term effects on cognition, memory, retention, information processing, coordination, and athletic and academic performance. The use of illicit drugs and the abuse of alcohol also affect emotional equilibrium, mental well-being, and the ability to make critical decisions and sound judgments. Impaired judgment increases one's vulnerability and risk-taking behaviors, including engaging in unprotected sex, which may lead to exposure to HIV and other sexually transmitted diseases and to unplanned pregnancy. The chronic use and abuse of illicit drugs and alcohol have been shown to cause adverse permanent changes in most of the biological systems studied. These changes can lead to severe impairment, disability, and premature death. A detailed list of health risks is listed in Appendix B.

Individuals who need assistance relating to the use or abuse of alcohol or drugs may contact the Woodland Group at (859) 255-4864 or the 24 hour crisis line, 1-800-350-6438. The Woodland Group is the provider for the faculty and staff assistance program. The program offers employees and dependents 8 sessions per person, for each problem, per year at no cost. Subscribers to the health insurance plan may also take advantage of the mental health benefits associated with the plan. Lastly, numerous resources exist within the community, some of which are listed in the "off-campus numbers" section of the Transylvania phone book.

A faculty or staff member who violates this policy is subject to disciplinary action up to and including termination of employment. Any individual who retains employment will receive a mandatory referral to the faculty and staff assistance program and shall be expected to comply with the counselor's course of treatment.

In compliance with the Federal Drug-Free Workplace Act of 1988, an employee shall notify the immediate supervisor if the employee is convicted of a criminal drug offense occurring in the workplace or while on University business within five days of the conviction. The University shall take appropriate sanction and remedies in accordance with its policies. The provisions of this section are applicable to students who are employees of the University. If the employee is under a federal contract or grant, the University shall notify the contracting or granting agency of the conviction and of its actions. This section of this policy is also applicable to students who receive a Pell grant (federal grant).

Weapon-Free Campus Policy

Transylvania University employees and students are prohibited from possessing weapons anywhere while on university property (except where possession of a weapon is a requirement of an employee's job). This includes carrying weapons on their person, in their clothing, a purse, backpack, locker, or in their office or campus living quarters. Weapons include dangerous instruments that can be used to inflict bodily harm upon individuals or cause damage to buildings. Examples of weapons include, but are not limited to, firearms, pistols, guns, BB guns, explosives, knives, fireworks, and anything that is not defined as a weapon but is used as a weapon in a dangerous, violent manner. In addition, based upon the risk presented, look-alike or replica weapons are also prohibited.

This policy applies to all employees and all students. Penalties for violating this policy will be solely determined at the discretion of the University up to and including immediate termination of employment or dismissal from the University.

Any questions or concerns should be brought to the attention of the Risk Management Advisory Committee via the VP for Finance and Business.

Whistleblower Policy

(Reporting & Disclosure of Suspected Violations of Law or College Policies)

Transylvania University is committed to providing all members of the University community, including students, faculty, staff, alumni, vendors, and guests, with a safe and productive environment. If any member of the University community has a reason to believe or reasonably suspects that the University or any of its agents is acting contrary to any applicable federal, state or local laws or regulations, or contrary to any established University policy, he or she should feel welcome and encouraged to report such action or activity without fear of reprisal or retaliation. It is in the best interest of the University and the whole University community for this information to be brought forward immediately and dealt with promptly.

Employees: Any employee with reasonable suspicion of such illegal or improper activity should notify his/her immediate supervisor. If the complaint involves the immediate supervisor, the employee should contact his or her next higher level of supervisor and/or the director of human resources. In addition to notification of supervisory personnel, any University employee with such a complaint may notify the President's office. For purposes of this policy, all faculty and staff are referred to as "employees."

Students: Any student with reasonable suspicion of such illegal or improper activity should notify the dean of students. In addition to notification of the dean of students, any student with such a complaint may notify the President.

Alumni, vendors and guests may notify the President's office.

Any University employee receiving such a report of suspected illegal or improper activity will report it to the President's office. The President's office will then conduct an appropriate investigation. All such allegations shall be logged and kept under seal.

Retaliation against anyone bringing forward a report of suspected illegal or improper activity will not be tolerated and is, itself, against the law. Should retaliation actually occur, such act shall be considered a serious violation of University policy and will be subject to disciplinary and/or legal action. Encouraging

others to retaliate is also a violation of this policy. At the same time, those who file fraudulent or bad faith complaints pursuant to this policy will be subject to disciplinary and/or legal action as well.

Conflict of Interest

The University is committed to ensuring that decisions made by and on behalf of the institution are done in an objective manner to avoid any conflict of interest or the appearance of a conflict.

A conflict of interest may exist when the interests of any employee, or an employee's immediate family, or any party, group or organization to which the employee has allegiance, may be seen as competing with the interests of the University. In addition, employees must ensure that outside activities and/or non-University related assignments do not conflict with the University's business interests or have a negative impact on the completion of one's duties and responsibilities.

This policy is designed to help all employees identify situations that present potential conflicts of interest and to provide Transylvania with a procedure that, if observed, will allow a transaction to be treated as valid and binding even though an employee has or may have a conflict of interest with respect to the transaction. In the event there is an inconsistency between the requirements and procedures prescribed herein and those in federal or state law, the law shall control.

Significant Interest Cases

Unless specifically authorized by the Board of Trustees, the Executive Committee or the Finance Committee, Transylvania and its affiliates will not do business with any firm or entity owned or controlled by any member of the Board of Trustees or any employee or any member of the immediate family thereof or any firm or entity, in which any such person has a substantial financial interest (any such ownership or control or financial interest referred to herein as a "Significant Interest"). A Significant Interest can exist as follows; (1) ownership of an interest of more than 5% in a company, (2) any management role in a company, e.g. officer, director, trustee, partner or their equivalent, creates an indirect conflict equivalent to owning a substantial financial interest.

An employee shall promptly notify the vice president for finance and business upon becoming aware that the organization does business, or is considering doing business with, a firm or business in which such employee has a Significant Interest. After full disclosure is made, the vice president for finance and business in consultation with the President, shall have the discretion to authorize Transylvania to do business with the contractor or vendor, but only after first approving the terms and conditions of the contract or fee.

If a case does not involve a Significant Interest but an employee is concerned that an activity or relationship could still constitute a conflict of interest, the employee must inform their supervisor and report the situation to the vice president for finance and business. The case will be reviewed and approval must be granted prior to any transaction, acceptance of favor, or agreement to perform work, etc., which could be perceived as a conflict of interest or commitment.

Grievance Policy

Employees are encouraged to bring their complaints about work related situations to the attention of administration. Employees will be provided with an opportunity to present their complaints and appeal decisions made by administrators through a formal complaint procedure. All complaints will be reviewed in a fair, just, and impartial manner.

I. A complaint may be defined as an employee's expressed feeling of dissatisfaction concerning conditions of employment or treatment by administrators, supervisors, or other employees.

Examples of actions which may be causes of complaints include, but are not limited to:

- A. Application of University policies, practices, rules, regulations, and procedures believed to be to the detriment of an employee;
- B. Treatment considered unfair by an employee, such as coercion, reprisal, harassment, or intimidation;
- C. Alleged discrimination because of race, color, sex, age, religion, disability, national origin, sexual orientation, veteran status, or any other non-merit factor; and
- D. Improper or unfair administration of employee benefits or conditions of employment such as vacations, promotions, retirement, holidays, performance review, salary, or seniority.

II. Supervisors are responsible for ensuring that the complaint is fully processed. No employee shall be penalized for using the University's complaint procedure.

III. Any complaint filed shall systematically follow the procedure as outlined below, and shall refer to the provision or provisions of University policy, practice, procedure, rule, or regulation alleged to have been violated, and shall adequately set forth the facts pertaining to the alleged violation.

Step 1: The grieving employee shall present a complaint in writing to his/her immediate supervisor. Discussions will be informal for the purpose of settling differences in the simplest and most direct manner. The immediate supervisor shall reach a decision and communicate it in writing to the employee within 5 working days from the date the complaint was presented.

Step 2: If the complaint is not settled in the first step, the grieving employee shall, within 5 working days, forward the written complaint to the department head or appropriate administrative officer. The department head shall, within 5 working days, meet with the employee filing the complaint to determine the facts of the case. The department head shall notify the said employee of the decision, in writing, within 5 working days following the date of the meeting, unless such time is mutually extended in writing.

Step 3: If the complaint is not settled at Step 2, the employee filing the complaint shall, within 5 working days, forward the written complaint to the director of human resources. The director of human resources shall meet with the employee filing the complaint within 10 working days after receipt of the complaint, unless such time is mutually extended in writing. The director of human resources shall ascertain the facts and forward recommendations to the President within 10 working days after the meeting, unless this period is extended in writing by mutual agreement. The President shall have 7 working days to consult with any of the parties involved and render a decision in writing to the employee, unless this period is extended in writing by mutual agreement.

IV. The decision of the President at Step 3 shall be final and binding on the parties, without further right to appeal.

V. A complaint must be brought forward as soon as it might reasonably have become known to exist. In the event a complaint arises, the employee must submit it to his/her supervisor within 30 calendar days.

VI. The time limit at any stage of the complaint procedure may be extended by written mutual agreement of the parties involved in that step.

VII. Any complaint presented shall be on the form prescribed by the director of human resources. It must be dated and signed by the employee presenting it. Any decision rendered shall be written to the employee and shall be dated and signed by the University's representative at that step.

VIII. When a written complaint is presented, the University's representative shall acknowledge receipt of the complaint.

IX. A complaint not advanced to the higher step within the time limit provided shall be deemed permanently withdrawn, and as having been settled on the basis of the decision most recently given. Failure on the part of the University's representative to answer within the time limit set forth in any step will entitle the employee to proceed to the next step.

X. When a complaint is reduced to writing there shall be set forth:

- A. A complete statement of the complaint and facts upon which it is based;
- B. The section or sections of University policy claimed to have been violated; and
- C. The remedy or correction requested.

Red Flag Reporting

Red Flag Reporting is an independent reporting system that is dedicated to protecting organizations and their employees. This service allows students, faculty and staff to report any concerns regarding improper activity within the workplace. This could range from financial concerns such as theft or misstated financial statements to workplace concerns such as harassment, discrimination, safety issues, substance abuse and the like. This service is 100% independent from Transylvania University and allows reporters to remain completely anonymous if they choose. The addition of this service is intended to be an enhancement to our internal controls and provides another reporting option to students, faculty and staff. You may choose to call or report on-line ([1-877-647-3335](tel:1-877-647-3335)) or (www.RedFlagReporting.com) with a client code (8592338300).

Pet Policy

Except for service dogs and fish in a tank not to exceed five gallons, the University prohibits any person from bringing or keeping pets in any administrative office, academic building or residential space. Pets are not allowed in facilities such as classrooms, the library, studios, food service areas, administrative spaces, or public access areas. Faculty and staff employees are not permitted to bring pets into their offices. Violation of the policy is grounds for dismissal.

Solicitation

Transylvania University prohibits an employee from making unauthorized sales to or solicitation of any employee, student, or the general public while on university property. Unauthorized sales may include collection of money, political campaigning, solicitation of subscriptions or the sale of merchandise, e.g.,

housewares, cosmetics, food tickets, raffles, etc. An exception is made for the United Way of the Bluegrass. Any other exceptions must be approved in advance by the vice president for finance and business.

Free Speech, Protests & Demonstration Policy

The University endorses free speech and sharing of ideas and ideally this discourse is open and candid and characterized by mutual respect and civility. The University encourages a balanced approach in all communications and the inclusion of contrary points of view.

The primary function of a university is to discover and disseminate knowledge by means of research and teaching. To fulfill this function, a free interchange of ideas is necessary not only within the university but also with the larger society. At Transylvania University, freedom of expression is vital to our shared goal of the pursuit of knowledge. Such freedom comes with a responsibility to welcome and promote this freedom for all, even in disagreement or opposition.

The right of freedom of expression at the University includes peaceful protests and orderly demonstrations by members of the University community in designated areas. Designated areas on campus include Alumni Plaza and Back Circle. Non-Transylvania groups wishing to protest may only do so on public sidewalks and are not permitted on University property. At the same time, for both Transylvania community members and non-Transylvania community members, the University has long recognized that the right to protest and demonstrate does not include the right to engage in conduct that disrupts the University's operations or endangers the safety of others.

Disruptive conduct is any conduct that substantially obstructs, impairs, or interferes with: (i) teaching, study, research, or administration of the University; (ii) the authorized and other permissible use of University facilities, including meetings of University students, faculty, staff, administrators and/or guests; or (iii) the rights and privileges of other members of the University community. Disruptive conduct also includes, but is not limited to, (1) obstruction, impairment, or interference with University sponsored or authorized activities or facilities in a manner that is likely to or does deprive others of the benefit or enjoyment of the activity or facility and (2) use or threatened use of force against any member of the University community or his or her family that substantially and directly bears upon the member's functions within the University. Any member of the University who engages in disruptive conduct will be subject to disciplinary action.

Canvassing by non-Transylvania Groups

Canvassing is defined in this policy as an activity undertaken to gain support for some purpose, but not to solicit money for any purpose (campaigns, charity, and commercial alike).

On the basis of this definition, non-Transylvania groups wishing to canvass students, faculty, and staff on Transylvania University campus grounds must have prior permission from the vice president of marketing and communications and/or the Communications Policy Committee, and may conduct their canvassing only on public/city streets and sidewalks.

Canvassing may not occur in the interior of campus or within buildings. Any canvassing, or direct contact with a target group of individuals must follow established guidelines of the University and be approved by the vice president of marketing and communications and/or the Communications Policy Committee. Political candidates and/or their representatives may be invited to campus if approved by vice president

of marketing and communications and/or the Communications Policy Committee. (-- Student Handbook, p. 70)

Posting/Display/Advertisement Guidelines

The policy is located at <https://www.transy.edu/campus-policies/>.

Reservation for Outdoor Campus Space

The policy is located at <https://www.transy.edu/campus-policies/>.

Tobacco-Free Campus

In an effort to promote a healthier environment and to reduce second-hand smoke exposure the University has adopted a policy that prohibits smoking in public indoor and outdoor areas of campus, where non-smokers cannot avoid smoke.

The policy includes:

- The use of all tobacco products both smoking and smokeless.
- All indoor and outdoor University owned areas.
- All University owned parking lots including smoking in personal vehicles.

The policy will be enforced 24-hours a day/ seven days a week and will apply to contractors, visitors, and other non-employees. All persons must be willing to openly communicate when a person is in violation. The concept of self-reporting can only succeed with some form of stated guidelines and/or procedures. The following guidelines are in place to respond to violations of the tobacco policy:

- *Faculty/Staff* – If a faculty/staff employee is violating the policy a complaint will be filed with human resources. A human resources representative will then pass the complaint on to the employee’s supervisor for discussion. The supervisor will have one week to file a report with the department of human resources. Human resources will document any information related to the incident in the employee’s file.
- *Students* – If the individual violating the policy is a student, he/she will be reported in writing to the office of the dean of students. The office of the dean of students will send the complaint to the Student Judicial Board.
- *Visitors* – Building supervisors and event planners will be responsible for communicating the policy to all visitors. Failure to comply could result in removal from the campus.

Breastfeeding and Lactation Policy

Transylvania University recognizes the importance and benefits of breastfeeding and is committed to promoting this effort. Therefore, in a manner consistent with KRS 211.755 (a mother may breast-feed her baby or express breast milk in any location, public or private, where the mother is otherwise authorized to be), the University acknowledges that a woman may breastfeed her child in any place open to the public on campus. Additionally, the University shall provide sanitary and private space for expressing milk, wherever possible, and lactation breaks.

Upon returning to work after the birth of a child, nursing mothers may request an area to pump breast milk in the workplace during normal business hours. Supervisors and department chairs will work with

employees who are nursing to schedule reasonable and flexible break times each day that do not severely disrupt normal business activities or class time. The employee is responsible for giving the department chair or supervisor adequate notice identifying a need for lactation support and facilities, preferable at least 2 weeks before returning to work.

Transylvania University, at a minimum, will provide private rooms with locked doors that are clean and comfortable. Each room should have an electrical outlet, one table and one chair. The location may be the place an employee normally works if there is adequate privacy, cleanliness, and is comfortable for the employee. If not, the University will provide a place in close proximity to the employee's work area. Upon receiving the request, the supervisor will review available space in their department and make reasonable lactation accommodations.

Note: These guidelines do not extend to permitting infants in the work place.

Computing Resources Policy

Transylvania University is committed to providing all employees with the tools and resources each person needs to effectively perform their job. However, each employee is responsible for the appropriate use all tools, including computing resources. Specifically all users shall;

1. use computer accounts, hardware, software, network connections, cellphones, smartphones, etc., in an appropriate and ethical manner;
2. abide by intellectual property laws (e.g., copyright), which includes but is not limited to; text, graphic art, photographs, music, software, movies and games; respect the property rights and associated restrictions of others and refrain from actions or access which would violate the terms of applicable licensing and nondisclosure agreements;
3. respect the confidentiality of data, comply with federal and state statutes and University policy regarding access to data and not release such data without proper authorization;
4. take appropriate steps to safeguard user Id's and passwords, protect against unauthorized use, and notify Information Technology of any suspected unauthorized use;
5. not make unauthorized use of accounts and not knowingly grant use of the accounts for unauthorized purposes;
6. respect the rights of all other users of the system and not knowingly use computing resources in any way which is disruptive or damaging to the system or any other user;
7. not use the electronic communication facilities for the purpose of offending, annoying or harassing other users(see also email account policy);
8. properly manage computing resources, not limited to but including, disk space and volumes;
9. take proper precautions to safeguard all data for recovery in the event of a computing system disaster;
10. review and comply with detailed computing guidelines as found at **Transylvania University - Information Technology Acceptable Use Policy.**

The University does not warrant the functionality or performance of computer hardware, software or network connections, etc., issued to users and each user bears responsibility for the risk of loss of work or other damages that may arise.

Computing resources are the property of the University and once computer accounts are closed, access to the accounts or the data contained within them may be granted to others to facilitate the transfer of responsibility, the retrieval of data, or for other business or educational purposes as determined by the University.

E-mail messages, text messages, or any other form of electronic communication, shall not contain content that may reasonably be considered derogatory, offensive or disruptive to any employee. Content that may reasonably be considered offensive, derogatory or disruptive includes, but is not limited to: sexual comments, materials and images; racial or ethnic jokes and slurs; derogatory gender-specific materials and comments; derogatory religious texts and messages; and other materials and comments that may offend the recipient on the basis of sex, sexual orientation, race, age, religion, national origin, or disability.

Misuse of computing resources, communications resources, abuse of the system, or other violations of this policy, by the user, or by an individual to whom the user has permitted use of the computer and/or computer accounts, can result in loss of computing privileges, disciplinary action, and legal action.

The University cannot guarantee the confidentiality or privacy of electronic data. Any data placed in electronic format is at risk of interception including, but not limited to, when data is emailed, entered into a web page, or made available via the internet.

The University does not monitor electronic communications or use of computer accounts on a routine basis. However, in order to ensure compliance with this policy, protect system integrity, and to otherwise protect the interests of the University, the University may, without notice, intercept and monitor electronic communications and access stored electronic communications. The University may further disclose the content of such communications to third parties, when necessary. Use of University information systems signifies the user's consent to the aforementioned interception, monitoring, access and disclosure and the user's waiver of any right to notice relative to such interception, monitoring, access, and disclosure. Employees should have no expectation of privacy associated with the information that they publish, store, share, send, or receive in electronic media using University computing resources or through Internet access made available by the University.

E-Mail Policy

Transylvania University is dedicated to providing employees with effective, consistent standards regarding the use of e-mail.

- I. All University provided computer equipment and computing accounts, including e-mail accounts, are the property of the University.
- II. Proper and ethical use of e-mail is required. Professional and courteous language should be used in all communications. Messages that contain derogatory and/or offensive language are prohibited.
- III. E-mail accounts are provided for academic and business purposes. Incidental personal use is permitted. However, the personal use of e-mail shall not interfere with University

operations, nor should it cause any harm or embarrassment to the University. Personal use of e-mail is expected to be on the employee-user's own time and is not to interfere with the person's job responsibilities.

- IV. Employees should have no expectation of confidentiality or privacy with respect to e-mail. Even when a message is deleted, it is possible that it may be retrieved and read. Do not send anything by e-mail that you would not want to become public knowledge.
- V. Practice good housekeeping habits in order to keep storage space at a maximum. Delete all unimportant or outdated messages.
- VI. The University may, at any time, choose to monitor e-mail.

Telephone Use Policy

The University operates its own telephone system. Individual stations are installed in most offices and have been assigned to an employee or department with a designated on-campus telephone number. The telephone equipment and system have been provided for University business. Personal incoming and outgoing calls should be kept to a minimum.

SEPARATION

Involuntary Termination

The University may terminate the employment of any employee at any time with or without cause.

Any of the following examples constitute cause for involuntary termination, but the list is not exhaustive. Transylvania, at its own discretion, may determine that other unlisted types of behavior constitute cause for termination at any time.

- Excessive absenteeism
- Excessive tardiness
- Failure, neglect, or inability to perform assigned duties
- Failure to act in a courteous or cooperative manner toward employees, students, or the general public.
- Violation of University or departmental rules
- Dishonesty
- Abuse of temporary disability leave
- Providing false medical statement(s)
- Insubordination
- Fighting
- Falsifying employment application or resume

On the last day of employment, the employee must return all University keys, identification cards, and any University provided equipment, materials or property. All items must be returned before final pay check can be released.

Abandonment of Position

An employee who is absent without authorized leave for two consecutive workdays shall be deemed to have abandoned the position, and to have resigned. Each regular employee separated under conditions of abandonment of position shall be notified in writing. Such notification shall include the name of the individual to whom a petition for review of the facts must be made within five (5) days.

Resignation of Employment

The resigning employee is expected to provide a minimum of 10 work days' notice in writing to his/her immediate supervisor and the director of human resources. Holidays do not count as work days when providing notice of resignation. The supervisor has the discretion to accept a resignation immediately or shorten the notice period. All pay and benefits end on the last workday or the last day of the contract for faculty.

Terminal Vacation Pay

Upon separation of employment, a staff member may be eligible to receive payment for vacation leave that has been accrued but not used with the following stipulations;

1. The employee must provide the required period of notice as listed in the resignation of employment policy,
2. An employee who abandons a position is not eligible,
3. An employee who is involuntarily terminated for any reason other than position elimination or layoff is not eligible.

Lastly, an eligible employee shall not be compensated for any unused vacation leave that exceeds the staff member's current annual accrual rate.

PRIVILEGES AND SERVICES

Bookstore

University employees are entitled to a discount on purchases made in the University bookstore with the exception of textbooks, candy, and other miscellaneous items. Presentation of ID card may be required. Transylvania's campus bookstore is located at 132 W. Third Street.

Campus Events

(Athletic-Lecture-Concert-Art-Theater Series)

Employees are encouraged to attend the various events occurring on campus in these areas each year. In many cases, crimson card allows for free or reduced admission.

Credit Union

Full-time employees are eligible to join The Health and Education Credit Union and the University of Kentucky Federal Credit Union. Payroll deductions can be made directly to the credit union for your convenience.

Duplicating Services

Photocopying machines are available for business use.

Identification (Crimson) Cards

Identification (Crimson) Cards are available upon employment through the director of campus card services and purchasing. Unless specifically announced, employees (by show of University ID) will be permitted to attend most campus events, although some may have an admission charge.

Library Services

The University makes its library facilities available to employees. To borrow materials from the library, a crimson card must be presented.

Lost and Found

The department of public safety (DPS) maintains a Lost and Found. Any item found on or near campus at any time by an employee must promptly be given to the DPS. Knowingly taking a lost or left item may result in criminal charges being brought against the employee. This includes any item(s) left by a student or an employee. Employees missing any University property or personal item should contact DPS immediately to complete a report.

Mileage Allowance and Rental Vehicles

The policy is located here: <http://inside.transy.edu/accounting/general-accounting/>

Moving Policy

The policy is located here: <http://inside.transy.edu/accounting/general-accounting/>

Office Supplies and Services

Most commonly used office supplies and services are available through the office services coordinator located in the basement of the Old Morrison Building. An Office Supply Requisition Form must be completed prior to receiving any supplies. The office services staff purchases and provides all office

supplies and services. Outside purchases of supplies or services will be scrutinized and may become the responsibility of the buyer.

Parking and Parking Permit

Employees who desire to park on campus must secure a Transylvania University parking permit to be placed on the vehicle according to the instructions issued by the Department of Public Safety. There is no charge for the permit. The permit grants the owner the privilege to legally park in a University parking space - it is not a guarantee to a parking space. A permit may be obtained from the Department of Public Safety.

Purchasing

The policy is located here: <http://inside.transy.edu/accounting/general-accounting/>

Security

The University is not immune to the uncertainties of urban living. Employees are urged to use reasonable care to ensure the safety and security of University and personal property.

Travel Reimbursement

When traveling on approved University business, an employee may be reimbursed for reasonable and necessary out-of-pocket expenses incurred in accordance with the University's Travel and Entertainment Policy. Expense reports are available on the accounting office website under Important Forms. For further information concerning travel reimbursement, reference the Travel and Entertainment Policy or contact the Accounting Office.

University Keys

Supervisors should submit key requests for their employees to the facilities management office. The locksmith will make the keys and return them to the requesting supervisor. Each person issued keys must sign for them. When an employee separates from employment, the supervisor must return the issued keys to the locksmith. Keys must never be duplicated. There is a charge to replace lost keys.

University Post Office

The University mailroom staff mails letters and small packages and sells stamps with use of a crimson card. Packages should be pre-wrapped. Mail is generally available after 10:00 a.m. There is no Saturday service.

Used Furniture or Equipment

When furniture is no longer needed, or will be moved to another area the director of campus card services and purchasing must be notified. Arrangements will be made to move the furniture to a storage area or the desired site. All stored furniture is available to be used by other departments upon approval of the vice president for finance and business.

Work Order Requests

When repair or replacement of physical property is necessary, a work request form must be completed and submitted to facilities management. Requests for physical changes requiring major renovation or remodeling are to be recommended to the department head who will forward the request to the vice president for finance and business for approval. The address to submit online requests is <http://inside.transy.edu/ppd/>.

APPENDIX - A

Federal Penalties and Sanctions for Illegal Trafficking and Possession of a Controlled Substance

The Controlled Substances Act (1970) places all substances regulated under federal law into one of five schedules based on the substance's medical use, potential for abuse, and safety or dependence liability.

<i>Federal Trafficking Penalties (as of January 1, 1996)</i>							
Drug Schedule	1st Offense	2nd Offense	Quantity	Drug	Quantity	1st Offense	2nd Offense
I and II	* Not less than 5 years. Not more than 40 years. * If death or serious injury, not less than 20 years or more than life. * Fine of not more than \$2 million individual, \$5 million other than individual.	* Not less than 10 years. Not more than life. * If death or serious injury, not less than life. * Fine of not more than \$4 million individual, \$10 million other than individual.	10-99 gm pure or 100-999 gm mixture	Methamphetamine	100 gm or more pure or 1 kg or more mixture	* Not less than 10 years. Not more than life. * If death or serious injury, not less than 20 years or more than life * Fine of not more than \$4 million individual, \$10 million other than individual	* Not less than 20 years. Not more than life. * If death or serious injury, not less than life * Fine of not more than \$8 million individual, \$20 million other than individual
			100-999 gm mixture	Heroin	1 kg or more mixture		
			500-4,999 gm mixture	Cocaine	5 kg or more mixture		
			5-49 gm mixture	Cocaine Base	50 gm or more mixture		
			10-99 gm pure or 100-999 gm mixture	PCP	100 gm or more pure or 1 kg or more mixture		
			1-9 gm mixture	LSD	10 gm or more mixture		
			40-399 gm mixture	Fentanyl	400 gm or more mixture		
			10-99 gm mixture	Fentanyl Analog	100 gm or more mixture		

Drug Schedule	Description	Drugs	Quantity	1st Offense	2nd Offense
I	1. Has a high potential for abuse. 2. Has no current accepted medical use in treatment in the United States. 3. A lack of accepted safety for use of the drug or other substance under medical supervision.	Includes GHB, ecstasy, methaqualone and others. (Law does not include marijuana, hashish or hashish oil.)	Any	* Not more than 20 years * If death or serious injury, not less than 20 years, not more than life * Fine \$1 million individual, \$5 million not individual	* Not more than 30 years * If death or serious injury, life * Fine \$2 million individual, \$10 million not individual

II	<ol style="list-style-type: none"> Has a high potential for abuse. Has a currently accepted medical use in treatment in the United States or a currently accepted medical use with severe restrictions. Abuse may lead to severe psychological or physical dependence. 	Includes morphine, methadone, Ritalin and others	Any	<ul style="list-style-type: none"> * Not more than 20 years * If death or serious injury, not less than 20 years, not more than life * Fine \$1 million individual, \$5 million not individual 	<ul style="list-style-type: none"> * Not more than 30 years * If death or serious injury, life * Fine \$2 million individual, \$10 million not individual
III	<ol style="list-style-type: none"> has potential for abuse less than the drugs or the substances in Schedules I and II. Has a currently accepted medical use in treatment in the United States. Abuse may lead to moderate or low physical or high psychological dependence. 	Includes Ketamine, anabolic steroids, codeine and hydrocodone with aspirin or Tylenol, some barbiturates and others.	Any	<ul style="list-style-type: none"> * Not more than 5 years * Fine not more than \$250,000 individual, \$1 million not individual 	<ul style="list-style-type: none"> * Not more than 10 years * Fine not more than \$500,000 individual, \$2 million not individual
IV	<ol style="list-style-type: none"> Has a low potential for abuse relative to the drugs or other substances in Schedule III. Has a currently accepted medical use in treatment in the United States. Abuse may lead to limited physical or psychological dependence. 	Includes Darvon, Talwin, Equanil, Valium, Xanax, Rohyphnol and others.	Any	<ul style="list-style-type: none"> * Not more than 3 years * Fine not more than \$250,000 individual, \$1 million not individual 	<ul style="list-style-type: none"> * Not more than 6 years * Fine not more than \$500,000 individual, \$2 million not individual
V	<ol style="list-style-type: none"> Has a low potential for abuse relative to the drugs or other substances in Schedule IV. Has a currently accepted medical use in treatment in the United States. Abuse may lead to limited physical or psychological dependence. 	Includes over the counter cough medicines with codeine and others.	Any	<ul style="list-style-type: none"> * Not more than 1 year * Fine not more than \$100,000 individual, \$250,000 not individual 	<ul style="list-style-type: none"> * Not more than 2 years * Fine not more than \$200,000 individual, \$500,000 not individual

Description	Quantity	1st Offense	2nd Offense
Marijuana	1,000 kg or more mixture; or 1,000 or more plants	<ul style="list-style-type: none"> * Not less than 10 years, not more than life * If death or serious injury, not less than 20 years, not more than life * Fine not more than \$4 million individual, \$10 million other than individual 	<ul style="list-style-type: none"> * Not less than 20 years, not more than life * If death or serious injury not more than life * Fine not more than \$8 million individual, \$20 million other than individual
Marijuana	100 kg-999 kg mixture; or 100 to 999 plants	<ul style="list-style-type: none"> * Not less than 5 years, not more than 40 years * If death or serious injury, not less than 20 years, not more than life * Fine not more than \$2 million individual, \$5 million other than individual 	<ul style="list-style-type: none"> * Not less than 10 years, not more than life * If death or serious injury not more than life * Fine not more than \$4 million individual, \$10 million other than individual
Marijuana	50-99 kg mixture; or 50 to 99 plants	<ul style="list-style-type: none"> * Not more than 20 years 	<ul style="list-style-type: none"> * Not more than 30 years

		* If death or serious injury, not less than 20 years, not more than life * Fine not more than \$1 million individual, \$5 million other than individual	* If death or serious injury, not more than life * Fine not more than \$1 million individual, \$5 million other than individual
Marijuana	Less than 50 kg mixture	* Not more than 5 years	* Not more than 10 years
Hashish	10 kg or more	* Fine not more than \$250,000 individual, \$1 million other than individual	* Fine not more than \$500,000 individual, \$2 million other than individual
Hashish Oil	1 kg or more		

Appendix A (continued)

Federal Penalties and Sanctions for Illegal Possession of a Controlled Substance

21 U.S.C. 844(a)

1st conviction: Up to 1 year imprisonment and fined at least \$1,000 but not more than \$100,000, or both.

After 1 prior drug conviction: At least 15 days in prison, not to exceed 2 years and fined at least \$2,500 but not more than \$250,000, or both.

After 2 or more prior drug convictions: At least 90 days in prison, not to exceed 3 years and fined at least \$5,000 but not more than \$250,000, or both.

Special sentencing provision for possession of crack cocaine: Mandatory at least 5 years in prison, not to exceed 20 years and fined up to \$250,000, or both, if:

- (a) 1st conviction and the amount of crack possessed exceeds 5 grams.
- (b) 2nd crack conviction and the amount of crack possessed exceeds 3 grams.
- (c) 3rd or subsequent crack conviction and the amount of crack possessed exceeds 1 gram.

21 U.S.C. 853(a)(2) and 881(a)(7)

Forfeiture of personal and real property used to possess or to facilitate possession of a controlled substance if that offense is punishable by more than 1 year imprisonment. (See special sentencing provisions re: crack)

21 U.S.C. 881(a)(4)

Forfeiture of vehicles, boats, aircraft or any other conveyance used to transport or conceal a controlled substance.

21 U.S.C. 844a

Civil fine of up to \$10,000 (pending adoption of final regulations).

21 U.S.C. 853a

Denial of Federal benefits, such as student loans, grants, contracts, and professional and commercial licenses, up to 1 year for first offense, up to 5 years for second and subsequent offenses.

18 U.S.C. 922(g)

Ineligible to receive or purchase a firearm.

Miscellaneous

Revocation of certain Federal licenses and benefits, e.g., pilot licenses, public housing tenancy, etc., are vested within the authorities of individual Federal agencies. *Note: These are only Federal penalties and sanctions. Additional State penalties and sanctions may apply.*

Alcohol

Under University regulations, students, faculty and staff are required to abide by state laws concerning alcoholic beverages. Basically, Kentucky laws state that, if one is under the age of 21, it is unlawful to:

1. possess or consume alcoholic beverages,
2. misrepresent one's age for the purpose of purchasing alcoholic beverages, or
3. use a fake ID in an attempt to purchase alcoholic beverages.

No matter what one's age, Kentucky law states that it is unlawful to:

1. procure any alcoholic beverages for anyone under 21 years of age'
2. drink or be drunk in a public place, or
3. operate a motor vehicle while under the influence of alcohol or other substances which may impair ability.

Sanctions for violation of state alcohol laws vary from a fine of \$10.00 to \$2,000.00, a sentence of forty-eight hours to 12 months in jail, and/or suspension of one's operator's license.

APPENDIX - B

Health Risks Associated with the Use of Illicit Drugs and Alcohol						
Drugs	Schedule	Physical Dependence	Psychological Dependence	Possible Effects	Effects of Overdose	Withdrawal Syndrome
Narcotics						
Heroin	I	High	High	Euphoria, drowsiness, respiratory depression, constricted pupils, nausea	Slow and shallow breathing, clammy skin, convulsions, coma, possible death	Yawning, loss of appetite, irritability, tremors, panic, cramps, nausea, runny nose, chills and sweating, watery eyes
Morphine	II	High	High			
Codeine	II, III or V	Moderate	Moderate			
Methadone	I or II	High	High			
Other Narcotics: Percodan, Darvon, Talwin, Percocet, Opium, Demerol	I to V	High-Low	High-Low			
Depressants						
Barbiturates: Amytal, Nembutal, Phenobarbital, Pentobarbital	II to IV	High-Moderate	High-Moderate	Slurred speech, disorientation, drunken behavior without odor of alcohol	Shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma, possible death	Anxiety, insomnia, tremors, delirium, convulsions, possible death
Benzodiazepines: Ativan, Diazepam, Librium, Xanax, Valium, Tranxene, Versed, Halcion	IV	Low	Low			
Methaqualone	I	Moderate	Moderate			
GHB	I					
Rohypnol	IV					
Other Depressants	I to IV	Moderate	Moderate			
Stimulants						
Cocaine	II	Possible	High	Increased alertness, increased pulse rate and blood pressure, loss of appetite, euphoria, excitation, insomnia	Agitation, increased body temperature, hallucinations, convulsions, possible death	Apathy, long periods of sleep, irritability, depression, disorientation
Amphetamine	II	Possible	High			
Methamphetamine	II	Possible	High			
Ritalin	II	Possible	High			
Other Stimulants	I to V	Possible	High			
Cannabis						
Marijuana	I	Unknown	Moderate	Euphoria, relaxed inhibitions, increased appetite, disorientation	Fatigue, paranoia, possible psychosis	Occasional reports of insomnia, hyperactivity, decreased appetite
THC, Marinol	I or II	Unknown	Moderate			
Hashish	I	Unknown	Moderate			
Hashish Oil	I	Unknown	Moderate			

Hallucinogens						
LSD	I	None	Unknown	Illusions and hallucinations, altered perception of time and distance	Longer, more intense "trip" episodes, psychosis, possible death	Unknown
Mescaline and Peyote	I	None	Unknown			
Psilocybin mushrooms	I	None	Unknown			
Ecstasy (MDMA)	I	Unknown	Unknown			
Phencyclidine (PCP)	I or II	Unknown	High			
Ketamine	III	Unknown	Unknown			
Other Hallucinogens	I	None	Unknown			
Anabolic Steroids						
Testosterone	III	Unknown	Unknown	Virilization, testicular atrophy, acne, edema, gynecomastia, aggressive behavior	Unknown	Possible depression
Nandrolone	III	Unknown	Unknown			
Oxymethalone	III	Unknown	Unknown			

Alcohol:

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident.

Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholic.