To our Faculty and Staff

It is our belief that to serve the System and its students well, each faculty and staff member must be aware of, and in agreement with, the philosophy, purposes and guidelines of the System.

This manual has been prepared to provide the information you need to perform effectively within the educational institutions and divisions operated by The Sullivan University System. It outlines the many benefits available to you as well as the policies and guidelines under which we operate. The manual also provides a basis for consistency while maintaining the flexibility required in working with the people and the programs offered by our educational institutions. It is not intended to create an employment contract. We reserve the right to change our policies and guidelines from time to time at our discretion without advance notice.

At the heart of any successful educational organization are its faculty and staff. We are proud to have you with us and ask for your commitment of “caring” and talent that add much to the success of our organization.

Sincerely,

A. R. Sullivan
Chancellor

Glenn Sullivan
President

ARS/ca
# TABLE OF CONTENTS

- **THE SULLIVAN UNIVERSITY SYSTEM HISTORY AND PHILOSOPHY** ................................................. 1
- **THE SULLIVAN UNIVERSITY SYSTEM ORGANIZATIONAL CHART** .............................................. 2
- **ACCREDITATIONS, LICENSES, AND APPROVALS** .............................................................................. 3
- **FUNCTIONS OF THIS MANUAL** ......................................................................................................... 4
- **CODE OF EMPLOYER-EMPLOYEE RELATIONS** ................................................................................. 5
- **EMPLOYMENT-AT-WILL** .................................................................................................................. 6
- **EQUAL EMPLOYMENT OPPORTUNITY** ............................................................................................... 7
- **DEFINITION OF FULL-TIME EMPLOYEE** ......................................................................................... 8
- **HIRING** ................................................................................................................................................ 9
- **PAY PERIODS** ................................................................................................................................. 10
- **DRUG-FREE WORKPLACE** ................................................................................................................ 11
- **TOBACCO-FREE WORKPLACE** ........................................................................................................ 12
- **NON-DISCRIMINATION & HARASSMENT POLICY** ........................................................................ 13
- **MAINTENANCE OF WORK AREAS** .................................................................................................. 14
- **ATTENDANCE AND PUNCTUALITY** ................................................................................................. 15
- **PERSONAL APPEARANCE OF EMPLOYEES** ................................................................................... 16
- **BEHAVIOR OF EMPLOYEES** .......................................................................................................... 17
- **PERFORMANCE AND COMPENSATION REVIEW** .......................................................................... 18
- **401(K) PLAN** .................................................................................................................................... 19
- **INSURANCE BENEFITS** .................................................................................................................. 20
GRIEVANCE PROCEDURES ........................................................................................................... 44
RESPONSIBILITIES AND POLICIES FOR FACULTY ............................................................... 45
PROCEDURES FOR EMPLOYMENT OF FACULTY ...................................................................... 46
FACULTY CONTRACTS ................................................................................................................. 47
FACULTY BREAKS ......................................................................................................................... 48
USE OF RESOURCE CENTER/LIBRARY MATERIALS ................................................................. 49
FACULTY EVALUATION AND MERIT PAY ............................................................................... 50
TERMINATION OF FACULTY: DUE PROCESS ........................................................................... 51
CRITERIA FOR COURSE SYLLABI .......................................................................................... 52
DEFINITIONS OF LETTER GRADES ......................................................................................... 53
GRADE ASSESSMENTS ON WITHDRAWALS ............................................................................. 54
DEFICIENCY OF POLICY FORM ................................................................................................. 55
SAFETY .......................................................................................................................................... 56
USE OF COMPUTER SOFTWARE, ELECTRONIC MAIL AND INTERNET ................................. 57
OWNERSHIP OF INTELLECTUAL PROPERTY ........................................................................... 58
COMPANY PROPERTY ............................................................................................................... 59
FACULTY RESPONSIBILITY AND AUTHORITY IN ACADEMIC AND GOVERNANCE MATTERS ................................................................................................................................. 60
ACADEMIC FREEDOM ................................................................................................................ 61
CONFLICT OF INTEREST ............................................................................................................ 62
FREEDOM FROM UNDUE INFLUENCE ....................................................................................... 63
FERPA ............................................................................................................................................. 64
COLLEGE OF PHARMACY ADDENDUM
THE SULLIVAN UNIVERSITY SYSTEM
HISTORY AND PHILOSOPHY

The institutions operated by The Sullivan University System, Incorporated have a history in Kentucky dating back to 1864, including three generations of the Sullivan family of educators leading the colleges since 1926. The Sullivan University System, Inc. is a private, tax-paying organization incorporated in the Commonwealth of Kentucky. Since the formation of the original triad of institutions, Sullivan College of Technology & Design (formerly Louisville Technical Institute), Spencerian College, and Sullivan University, the corporation has expanded to include multiple campus locations and divisions. The education locations are:

1. The campus of the Sullivan College of Technology & Design at 3901 Atkinson Square Drive, Louisville, Kentucky.
2. The campus of Spencerian College at 4627 Dixie Highway, Louisville, Kentucky.
3. The Nursing Department Annex of Spencerian College at 4426 Dixie Highway, Louisville, Kentucky.
4. The Lexington branch campus of Spencerian College at 1575 Winchester Road, Lexington, Kentucky.
5. The main campus of Sullivan University at 3101 Bardstown Road, Louisville, Kentucky.
6. The Lexington branch campus of Sullivan University at 2355 Harrodsburg Road, Lexington, Kentucky.
7. The Fort Knox extension campus of Sullivan University on the Fort Knox army military installation, 63 Quartermaster St., Fort Knox, Kentucky.
8. The Sullivan University Online Division, 2100 Gardiner Lane, Louisville, KY 40205.

The Sullivan University System (SUS) is governed by its Board of Directors and the day-to-day operations are the responsibility of the Executive Officers. These officers and directors are:

<table>
<thead>
<tr>
<th>Officers</th>
<th>Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. A. R. Sullivan, Chancellor</td>
<td>Dr. Keith Bird, Chairman, Public Member</td>
</tr>
<tr>
<td>and CEO</td>
<td>Dr. A. R. Sullivan, Vice Chairman</td>
</tr>
<tr>
<td>Glenn D. Sullivan, President</td>
<td>Patricia L. Schrenk, Secretary</td>
</tr>
<tr>
<td>Thomas F. Davisson, Senior Vice</td>
<td>Glenn D. Sullivan</td>
</tr>
<tr>
<td>President and COO</td>
<td>Steve Beimdiek, Esq., Public Member</td>
</tr>
<tr>
<td>Shelton Bridges, Jr., CPA, Vice</td>
<td>Dr. Jerry Clanton, Public Member</td>
</tr>
<tr>
<td>President of Finance Management</td>
<td>Henry C. Wagner, Public Member</td>
</tr>
<tr>
<td>James Crick, Vice President of</td>
<td>Frank Harshaw, Public Member</td>
</tr>
<tr>
<td>Enrollment Management</td>
<td>Lisa Zaring</td>
</tr>
</tbody>
</table>

The Sullivan University System philosophy of education is based on the conviction that the individual is important. Just as the future of society depends on effective individuals, highly-trained and motivated to meet its needs, our students' individual futures depend upon sound, thorough training in business and other career skills plus a clear understanding of today's economic, cultural, and business environments. Since its inception, SUS through its schools and
operating divisions, has endeavored to provide each student with the guidance and education necessary for success in the American free enterprise system.

You, as an administrator, faculty, or staff member, are a part of this long tradition of excellence in private career education. We welcome your enthusiasm in working toward these goals. This manual is designed to assist you in understanding and implementing the philosophy and policies of The Sullivan University System, Inc., and to provide a consistent framework within which you can more effectively work. The intent of the manual is to provide either direct answers to common problems or to point to where you can go for answers. To serve the System, each individual institution, and our student customers well, it is important that each employee understand and accept the purpose for which The Sullivan University System exists and be willing to work within the structure that has been established to accomplish that purpose.
THE SULLIVAN UNIVERSITY SYSTEM
ORGANIZATIONAL CHART

THE SULLIVAN UNIVERSITY SYSTEM, INC.

SUPPORT SERVICES AT SYSTEM OFFICES

EDUCATION SERVICES

AUXILIARY SERVICES AND DIVISIONS

- Accounting & Finance
- Facilities Services
- Computer Services
- Human Resources
- Creative Communications
- Reprographics Center
- Management Services
- Purchasing

- Sullivan College of Technology & Design (Lou., KY)
- Spencerian College - Main Campus (Louisville, KY)
- Spencerian College - Branch (Lexington, KY)
- Sullivan University - Main Campus (Louisville, KY)
- Sullivan University - Extension Campus (Ft. Knox, KY)
- Sullivan University - Branch (Lexington, KY)
- Sullivan University Online Division (Lou., KY)

- The Bakery - Bakery/Deli
- B.C. Rentals - Student Housing
- Career Education Funds - Student Financing
- Juleps Catering
- United Adjustment Services - Collections
- Princeton's Restaurant at Sullivan University
- Data Carnegie Training
- International Center for Corporate Learning
- Gardiner Point Residence Hall
ACCREDITATIONS, LICENSES AND APPROVALS HELD BY SCHOOLS IN THE SULLIVAN UNIVERSITY SYSTEM

SACSCOC: Sullivan University is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award Associate, Bachelor’s, Master’s Degrees and Doctoral degrees.

ACICS: Spencerian College is nationally accredited by the Accrediting Council for Independent Colleges and Schools to award certificates, diplomas, Associate and Bachelors degrees.

Sullivan College of Technology & Design is nationally accredited by the Accrediting Council for Independent Colleges and Schools to award certificates, diplomas, Associate Degrees and Bachelor’s degrees.

ACPE: Sullivan University’s Doctor of Pharmacy program is accredited by the Accreditation Council for Pharmacy Education. The Sullivan University College of Pharmacy is also accredited by the Accreditation Council for Pharmacy Education as a provider of continuing pharmacy education.

AACET: The Dale Carnegie Programs offered through Sullivan University are accredited by the Accrediting Council for Continuing Education and Training (ACCET).

ABA: Sullivan University’s Paralegal Studies program is approved by the American Bar Association.

ABHES: Spencerian College’s Medical Laboratory Technician AAS Program is accredited by the Accrediting Bureau of Health Education Schools.

ACFFAC: The Culinary Arts and the Baking and Pastry Arts Programs at Sullivan University’s National Center for Hospitality Studies are accredited by the American Culinary Federation Foundation’s Accrediting Commission.

ACNS: The Professional Nanny Program at Sullivan University is an approved member of the American Council of Nanny Schools (ACNS) and the International Nanny Association (INA).

ARC-PA: The ARC-PA has granted Accreditation-Provisional status to the Sullivan University Physician Assistant Program. Accreditation-Provisional is an
accreditation status. The status indicates that the plans and resource allocation for the proposed program appear to demonstrate the program’s ability to meet the ARC-PA Standards, if fully implemented as planned. Accreditation-Provisional does not ensure any subsequent accreditation status. It is limited to no more than five years from matriculation of the first class.

ASHP: The pharmacy technician training program conducted by Sullivan University is accredited by the American Society of Health-System Pharmacists (ASHP).

CAAHEP: Spencerian College’s Medical Assisting program is accredited by the Commission on Accreditation of Allied Health Education Programs (CAAHEP), on recommendation of the Medical Assisting Education Review Board (MAERB). Spencerian College’s Surgical Technology program is accredited by CAAHEP, on recommendation of the Accreditation Review Committee on Education in Surgical Technology (ARC-STA). Spencerian College’s Invasive Cardiovascular Technology program is accredited by CAAHEP, on recommendation of the Joint Review Committee on Education in Cardiovascular Technology (JRC-CVT).

Sullivan University’s Medical Assisting program at the Lexington campus is accredited by the Commission on Accreditation of Allied Health Education Programs (caae.org) upon the recommendation of the Medical Assisting Educational Review Board (MAERB). Commission on Accreditation of Allied Health Education Program’s 1361 Park Street, Clearwater, FL 33756.

CCNE: The baccalaureate program in nursing at Sullivan University is accredited by the Commission on College Nursing Education.

COARC: Spencerian College Louisville holds Provisional Accreditation from the Commission on Accreditation for Respiratory Care. The conferral of Provisional Accreditation denotes a new program that has made significant progress towards meeting the Standards of Accreditation. The program will remain on Provisional Accreditation until achieving Initial Accreditation. It is recognized by the National Board for Respiratory Care (NBRC) toward eligibility to the Respiratory Care Credentialing Examination(s). Enrolled students completing the program under Provisional Accreditation are considered graduates of a CoARC accredited program.

HVAC Excellence: Sullivan College of Technology & Design’s HVAC-R program is accredited by HVAC Excellence.

IACBE: Sullivan University has received specialized accreditation for its business programs through the International Assembly for Collegiate Business Education (IACBE). For a full list of programs accredited by IACBE, reference the Sullivan University website.
IAPS: Spencerian College’s Phlebotomy Certificate Program is approved by the International Academy of Phlebotomy Sciences, Inc.

JRCERT: Spencerian College’s Radiologic Technologist program is accredited by the Joint Review Committee on Education in Radiologic Technology.

NKBA: The Sullivan College of Technology & Design’s Interior Design program is accredited by the National Kitchen and Bath Association (NKBA) for its curriculum in kitchen and bath.

INDH: Spencerian College’s Limited Medical Radiography and the Associate Degree in Radiologic Technology are approved by the Indiana State Department of Health.

INDIANA: Sullivan University System locations that enroll students in Indiana are regulated by The Indiana Board for Proprietary Education.

NKBA: Spencerian College’s Limited Medical Radiography Program is approved by The Indiana State Department of Health (Chiropractic and Chest certification only).

KBLMT: Spencerian College’s Massage Therapy program is approved by the Kentucky Board of Licensure for Massage Therapy.

KBN: Spencerian College’s Practical Nursing Diploma program and Associate of Applied Science Degree in Nursing program are approved by the Kentucky Board of Nursing.

KCPE: In accordance with the provisions of KRS 164.945-164.992, Sullivan University is licensed to offer up to Doctoral degrees by the Kentucky Council on Postsecondary Education; The Sullivan College of Technology & Design and Spencerian College are licensed to offer up to Bachelor’s degrees by the Kentucky Council on Postsecondary Education.

KYCHS: Spencerian College’s Limited Medical Radiography and the Associate Degree in Radiologic Technology are approved by the Cabinet for Health Services of the Commonwealth of Kentucky, Radiation Health & Toxic Agents Branch.

OHIO: Sullivan University System locations that enroll students in Ohio are approved by the Ohio State Board of Career Colleges and Schools under the provisions of Chapter 3332 of the Revised Code of Ohio. Registration Number 83-12-0874B.

SOC: Sullivan University is a member of Servicemembers Opportunity Colleges. SOC is sponsored by the American Association of State Colleges and Universities (AASCU) and the American Association of Community Colleges (AACC) in cooperation with 13 other educational associations, the Military Services, National Guard, and the Coast Guard.
Tennessee: Sullivan University is authorized by the Tennessee Higher Education Commission. This authorization must be renewed each year and is based on an
evaluation by minimum standards concerning quality of education, ethical business practices, health and safety, and fiscal responsibility.

VA: All Sullivan University System locations’ programs are approved for the enrollment of Veterans and other persons eligible for VA educational benefits.
 FUNCTIONS OF THIS MANUAL

This Faculty/Staff Manual presents an outline of the basic personnel policies, practices, and procedures for The Sullivan University System, Incorporated. It contains general statements of policy and should not be read as including the fine details of each policy nor as forming an expressed or implied contract or promise that the policies discussed in it will be applied in all cases. The manual is not intended to alter the employment-at-will relationship in any way. The Sullivan University System may add to the policies in this manual or revoke or modify them from time to time. Attempts will be made to keep the manual current, but there may be times when policy will change before this material can be revised.

Each System employee is provided with access to this electronic manual upon employment. Upon separation of employment, the employee’s access to the manual will be terminated.

Any employee may recommend a change in policy to his supervisor. Likewise matters of importance not covered by the manual should be brought to the attention of his supervisor, or by completing the “Deficiency of Policy Solution/Recommendations” form located in Section 55 of this Manual. Changes and new policy additions to the manual will be authorized and issued by the President. Particular matters involving the interpretation of a policy shall be referred to the human resources department, Executive Vice President, or President.

As used in this manual:

(a) The words “shall” or “will” are to be construed as mandatory and the word “may” as permissive;

(b) The masculine gender shall be construed to include the feminine gender;

(c) “Immediate family” means the employee’s spouse, brother, sister, parents, children, step-children, father-in-law, mother-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, or grandparents.

The Sullivan University System retains the sole right to exercise all managerial functions including, but not limited to, the right:

(a) To dismiss, assign, re-assign, supervise, and discipline employees.
(b) To determine and change work starting times, work ending times, and/or work days;

(c) To transfer employees within departments or into other departments and other classifications and to other locations.

(d) To determine and change the size and qualifications of the work force;

(e) To establish, change, and abolish policies, practices, rules, and regulations at will and as it sees fit;

(f) To determine and change methods by which its operations are to be carried out;

(g) To determine and change the nature, location, services rendered, quantity and continued operation of The Sullivan University System;

(h) To assign duties to employees in accordance with The Sullivan University System’s needs and requirements and to carry out all ordinary administrative and management functions.

(i) To audit and monitor employee interactions with customers/students, including verbal, electronic, telephonic, and in-person correspondence, to ensure compliant and good faith practices are adhered to.
CODE OF EMPLOYER-EMPLOYEE RELATIONS

It is the policy of The Sullivan University System to implement fair and effective personnel policies and practices. However, nothing in this manual should be construed as altering the employment-at-will relationship or as creating an expressed or implied contract or promise concerning the policies or practices that The Sullivan University System has implemented or will implement in the future.

The Sullivan University System’s goals include:

(a) To provide equal employment opportunity and treatment regardless of race, religion, color, sex, pregnancy, age, national origin, disability, membership in the armed services, veteran status, or other protected status;

(b) To establish reasonable hours of work based on The Sullivan University System’s needs to appropriately service its student-customers;

(c) To monitor and comply with applicable federal and state laws and regulations concerning employment safety;

(d) To consider constructive suggestions which relate to methods, procedures, working conditions, and the nature of the work performed;

(e) To establish appropriate procedures for employees to discuss matters of interest or concern with their immediate supervisors;

The Sullivan University System expects its employees;

(a) To give a productive day’s work;

(b) To arrive at their work areas properly attired and begin work on time;

(c) To demonstrate a considerate, friendly, and constructive attitude toward fellow employees, students, and the public;

(d) To adhere to the policies adopted by the The Sullivan University System.
**EMPLOYMENT-AT-WILL**

It is the policy of The Sullivan University System that all employees who do not have a written individual employment contract with The Sullivan University System for a specific fixed term of employment are employed at the will of the company and for no set period.

Such employees are subject to termination at any time for any reason with or without cause or notice. Conversely, such employees may terminate their employment at any time and for any reason.

No Sullivan University System representative is authorized to modify this policy for any employee or to enter into any agreement, oral or written, contrary to this policy. Statements of specific grounds of termination set forth in this manual or in any other Sullivan University System documents are examples only, not all inclusive lists, and are not intended to restrict The Sullivan University System’s right to terminate at-will.
EQUAL EMPLOYMENT OPPORTUNITY

Equal Employment Opportunity

It is the policy of The Sullivan University System to provide equal opportunity employment to all employees and applicants for employment and to comply with all federal, state, and local equal employment opportunity laws. No person working for The Sullivan University System is to be discriminated against in employment because of race, religion, color, sex, pregnancy, age, national origin, disability, membership in the armed services, veteran status, or other protected status. This policy applies to all terms, conditions, and privileges of employment including but not limited to hiring, probation, training, placement and employee development, promotion, transfer, compensation, benefits, educational assistance, employee facilities, termination, and retirement.

Reasonable Accommodation Requests:

The Sullivan University System will reasonably accommodate qualified individuals with disabilities so that they can perform the essential functions of the job in question in compliance with applicable law. An individual who can be reasonably accommodated for the job in question, without undue hardship and who does not pose a direct threat to the health or safety of other individuals in the workplace, will be given the same consideration for that position as any other employee or applicant.

Procedures

Job applicants requiring accommodation should contact the corporate human resources office at (502) 456-0058.

It is the responsibility of any employee with a disability to inform the supervisor or the corporate human resources office of any accommodation that would allow him or her to perform the essential functions of the job. A current employee who wishes to request a reasonable accommodation should complete the Reasonable Accommodation Request form and submit it to his or her supervisor or corporate human resources office. The supervisor should immediately contact the corporate human resources department and provide a copy of the form. The corporate Human Resources Department will work in conjunction with the employee, the employee’s supervisor and appropriate location director in determining reasonable accommodation, safety, and undue hardship issues. The employee may be required to provide a Medical Inquiry Form, completed by the employee’s treating healthcare provider, in order to facilitate and/or validate the reasonable accommodation process.
Students with Disabilities

Policies and procedures related to the accommodation of students with disabilities can be found in the student handbook and/or catalog for each school location. Please contact the Student Services office for more information.

Reasonable Accommodation Request Form
DEFINITION OF FULL-TIME EMPLOYEE

It is the policy of The Sullivan University System that staff employees who work 30 or more hours per week for an extended period of time are considered full-time. Faculty teaching more than twelve credit hours in an academic quarter are generally considered to be full-time employees. Only full-time employees of the System are eligible for available Sullivan University System benefits.

In determining full-time status, the total hours worked at any SUS location or division are considered. In accordance with the Hiring Policy, faculty and staff who wish to obtain additional employment within SUS must first complete the Request for Transfer or Additional Employment form.
HIRING

The Sullivan University System is an Equal Opportunity Employer and will hire individuals solely upon the basis of their qualifications for the job to be filled. Unless otherwise provided in writing signed by an authorized representative of the company (such as with a faculty contract that has both a beginning and an ending date), employment with The Sullivan University System is considered to be at-will so that either party may terminate the relationship at any time.

Supervisors and department directors who need to fill a job opening or who want to add a new job position must submit their requests to their Location Director for approval. Once the location director has approved the position, the hiring supervisor will complete the Position Requisition form, which initiates the process to have the opening approved through the System office. All positions, with the exception of student worker positions, will be posted internally throughout the system. Members of the System Executive Committee are the only individuals authorized to permit exceptions to this policy. If a supervisor feels it is in the best interest of the organization to permit such an exception, the request should be made in writing to a member of the Executive Committee. If approval is received, it should be forwarded to Human Resources.

Where a qualified applicant is available, The Sullivan University System will normally try to fill job openings above entry-level by promoting from within. However, the applicant deemed best qualified for the job will be chosen, whether internal or external.

During the recruitment, hiring, and orientation process, no statement is to be made promising permanent or guaranteed employment; and no document should be called a contract unless, in fact, a written employment agreement is to be used. Other than employees under contract, employees of the company should be aware that employment with the company is at-will and no one is authorized to represent otherwise.

When candidates from outside the company are to be considered for job openings, the following procedures should be followed:

(a) The hiring supervisor and location or department director will work together to determine the most appropriate interview process to be used in selecting a suitable candidate for employment. This process may involve interviewing with the hiring supervisor, the location or department director, the human resources representative, or others. No employee should interview a candidate for employment until she/he has been trained in regard to interviewing skills.

(b) All candidates for employment must submit a resume through the online application system in order to be considered for the open position. Candidates must also complete and sign an employment application form and a background release form prior to an interview.
(c) Applicants deemed qualified for consideration will be interviewed.

(d) If an applicant is still considered qualified after the interview, the department or location director will make a determination as to whether the applicant has the legal right to work in the United States and, where appropriate, undertake personal reference checks.

(e) The immediate supervisor has the responsibility to determine whether an applicant is technically qualified for the open position. The decision to hire the applicant is to be made by the immediate supervisor, but must also have the approval of the department or location director.

(f) Following a decision to hire the applicant, the supervisor will make a verbal offer of employment that falls within the parameters of the approved position requisition. If the offer falls outside of those parameters (pay, educational qualifications, and so forth), the supervisor must submit a written justification of the exception to human resources and await approval before proceeding. The human resources representative at the location will then prepare a written offer letter and send this to the candidate along with applicable new employee forms.

(g) The system human resources office will conduct a criminal background check on all regular part-time and full-time employees. If the background or any other subsequent investigation discloses any misrepresentation on the application form or information indicating that the individual is not suited for employment with the company, the applicant will be refused employment or, if already employed, will be terminated.

(h) Immediately upon a candidate’s acceptance of an offer, the hiring supervisor should inform the department or location director and the human resources representative in order to ensure that the necessary preparations are made prior to the new employee’s first day of employment. The department or location director is responsible for orientation of new employees and the processing of their employment forms, while the immediate supervisor is responsible for all necessary job training.

Employees (including adjunct faculty) who wish to seek a different position, or additional employment, within SUS must complete the Request for Transfer or Additional Employment form. Generally, employees wishing to transfer from one Sullivan University System position to another must have completed one year of service with the System and have held their current position for at least six months. The department or location director where the employee is currently employed may waive either of these conditions under extraordinary circumstances. The supervisor and department or location director will complete the appropriate section of the form indicating his or her approval/disapproval of the transfer/additional employment request and then forward the form to the system Human Resources office. Once received, Human Resources will notify the hiring manager of the employee’s interest and forward the signed form for consideration. The hiring manager is encouraged to discuss the transfer with the current supervisor to assess skills, knowledge and logistics of any possible transfer. Formal interviews and discussions regarding the transfer should not take place until the affected location or department director(s) agree to a possible transfer.

If the employee seeking the transfer is uncomfortable with this procedure or believes following these steps may have a detrimental effect on his or her employment, he or she
should contact System Human Resources for guidance. If the location directors are unable to agree on the transfer, they should seek guidance from the Senior Vice President/COO.
The Sullivan University System encourages employees to seek new and more responsible positions within the organization. This procedure is not to limit such movement, but to provide structure to prevent personnel conflicts and ensure we do not leave any school or department inappropriately staffed.

A member of an employee’s immediate family or significant other will be considered for employment by The Sullivan University System provided the applicant possesses all the qualifications for employment. An immediate family member or significant other may not be hired if such employment would create a direct or indirect supervisor/subordinate relationship with a family member or significant other or if it would create an actual conflict of interest or the appearance of a conflict of interest. These criteria will also be considered when assigning, transferring, or promoting an employee.

Former employees who left the company in good standing may be considered for re-employment. Employees who resigned without written notice as outlined in section 43 or who were dismissed for cause may not be considered for re-employment. Employees who retire may be eligible, in certain circumstances, to be considered for re-employment. A former employee who is re-employed will be considered a new employee from the date of re-employment unless the break in service is less than one year. However, benefit eligibility is governed by the terms of each benefit plan and the Benefits Administrator should be consulted for appropriate eligibility dates for any rehired employee.

The Sullivan University System supports the tenets and spirit of the Americans with Disabilities Act (ADA). Accommodations include special parking facilities, ramped entrances, elevator services, and accessible water fountains and restroom facilities. It is the responsibility of any employee with a physical and/or mental disability to inform the supervisor of any accommodation that would allow him or her to perform the essential functions of the job. The Sullivan University System will make reasonable accommodation to meet the needs of any employee with a disability.

Request for Transfer
PAY PERIODS & WORK HOURS

Salaried and adjunct faculty employees are paid on the 15th and last day of each month. In the instances when the 15th or last day of the month falls on a Saturday, Sunday, or holiday, payment is made on the last working day prior to the 15th or last day of the month. All employees must have their paychecks directly deposited into a banking account.

Hourly employees are paid every other Friday. Specifics of individual job requirements as they relate to pay periods and the time-tracking system, should be addressed with the immediate supervisor.

The workweek begins on Monday and ends on Sunday. Employees are expected to begin and leave work at their scheduled time. Overtime must be authorized in advance by the immediate supervisor. A time-tracking system is in place and changes in schedules must be in writing and approved by the campus director or department director.

Hourly employees use time clocks to record their hours worked. To ensure accurate payroll information, the electronic time-tracking system must be used consistently and appropriately.

As with other types of authorized work, all time spent by hourly employees using electronic communications for work purposes, including emails, phone calls, and text messaging, will be considered hours worked; the time is compensable and will count toward overtime eligibility as required by law. Therefore, to avoid incurring unnecessary expenses, electronic communications should not be used outside regularly scheduled work hours unless authorized by management. Employees performing such work outside of normal business hours are responsible for reporting the work time to the supervisor in a timely manner to ensure work hours are recorded and compensated.
DRUG-FREE WORKPLACE

Purpose and Goal

The Sullivan University System is committed to protecting the safety, health and well-being of all employees, students and other individuals in our workplace. The Sullivan University System policy is to maintain a workplace that is free from drug and alcohol abuse. All employees are expected to abide by the provisions of this policy as a condition of employment.

This policy recognizes that employee abuse of drugs can be very disruptive, adversely affect the quality of work and performance of employees, pose serious health risks to users and others, and have a negative impact on productivity and morale. The system has no intention of interfering with the private lives of its staff, faculty and students unless involvement with alcohol and other drugs off the campus affects job or academic performance or public safety.

Prohibited Behavior

Under university regulations, federal law, state law, and, in some instances, local ordinance, students, faculty and staff are prohibited from the unlawful possession, use, dispensation, distribution, or manufacture of illicit drugs on system property, on system business and/or at system sponsored activities. In addition, employees who use and/or are under the influence of alcoholic beverages at work are considered to be in violation of this policy. Generally, the use of alcoholic beverages is also prohibited on company premises, with the exception of required curricular classes as listed in a school catalog, or in company facilities that are licensed to serve alcoholic beverages.

Prescription and over-the-counter drugs are not prohibited when taken in standard dosage and/or according to a physician’s prescription. Any employee taking prescribed or over-the-counter medications will be responsible for consulting the prescribing physician and/or pharmacist to ascertain if the medication may interfere with job performance. If the use of a medication could compromise the safety of staff, faculty, students or the public, it is the individual’s responsibility to use appropriate procedures (e.g. call in sick, use accrued leave, notify supervisor) to avoid unsafe workplace practices. The illegal or unauthorized use of prescription drugs is prohibited.

Employees, their possessions, and company-issued equipment and containers under their control are subject to search and surveillance at all times while on company premises or while conducting company business. Employees may be required to take a test at any time to determine the presence of illegal drugs, narcotics, or alcohol. Testing positive for illegal drugs or alcohol is a violation of this policy.

Supervisors should report immediately to the campus director any action by an employee who demonstrates an unusual behavior pattern. A determination will then be made as to
whether the employee should be able to perform his job safely and properly. Employees judged to be under the influence of drugs, narcotics, or alcohol will be required to leave the premises.

**Testing**

To ensure the accuracy and fairness of our testing program, all testing will be conducted according to Substance Abuse and Mental Health Services Administration (SAMHSA) guidelines where applicable and will include a screening test; a confirmation test; the opportunity for a split sample; review by a Medical Review Officer, including the opportunity for employees who test positive to provide a legitimate medical explanation, such as a physician's prescription, for the positive result; and a documented chain of custody. All drug-testing information will be maintained in separate confidential records.

Each employee, as a condition of employment, will be required to participate in post-accident and reasonable suspicion testing upon request of management. In addition, all employees responsible for the transportation or public safety of students and/or regularly assigned to duties or a location relevant to student housing will be required to participate in post-offer/pre-employment and random testing.

The substances that will be tested for are: Amphetamines, Cannabinoids (THC), Cocaine, Opiates, Phencyclidine (PCP), Alcohol, Barbiturates, Benzodiazepines, Methaqualone, Methadone and Propoxyphene. Testing for the presence of alcohol will be conducted by analysis of breath. Testing for the presence of the metabolites of drugs will be conducted by the analysis of urine.

An employee who refuses the screening or the test, adulterates or dilutes the specimen, substitutes the specimen with that from another person or sends an imposter, will not sign the required forms or refuses to cooperate in the testing process in such a way that prevents completion of the test, will be considered to have yielded a positive result.

**Consequence for Violating this Policy**

Employees will be subject to disciplinary action up to and including dismissal for violations of this policy. The system may, at its discretion, require the employee to participate in a drug abuse or rehabilitation program.

**Notice of Drug-Related Conviction**

Employees who are convicted of any criminal drug violation occurring in the work place or while on university business must report such conviction to the corporate human resources office within five calendar days. The organization will take appropriate action within 30 days of notification. Federal contracting agencies will be notified when appropriate.

**Training and Counseling Resources**

One of the goals of our drug-free workplace program is to encourage employees to voluntarily seek help with alcohol and/or drug problems. The Employee Assistance...
Program specifically provides information as well as assistance with problems related to drugs and alcohol for employees and their dependents. The system’s EAP provider is the Wayne Corporation and their telephone number is (800) 441-1327.

Other counseling, treatment, and rehabilitation services are available through the following resources:

<table>
<thead>
<tr>
<th>Service</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alcohol and Drug Abuse Helpline</td>
<td>1-800-234-0420</td>
</tr>
<tr>
<td>Seven Counties Jefferson Alcohol and Drug Abuse Center</td>
<td>1-502-583-3951</td>
</tr>
<tr>
<td>Comprehensive Care</td>
<td>1-859-381-1186</td>
</tr>
<tr>
<td>Communicare Recovery Center</td>
<td>1-800-641-4673</td>
</tr>
<tr>
<td>Alcoholics Anonymous</td>
<td></td>
</tr>
<tr>
<td>Louisville Office</td>
<td>1-502-582-1849</td>
</tr>
<tr>
<td>Lexington Office</td>
<td>1-859-276-2917</td>
</tr>
<tr>
<td>National Institute on Drug Abuse Hotline</td>
<td>1-800-662-HELP</td>
</tr>
<tr>
<td>Pathway to Recovery</td>
<td>1-800-41-SOBER</td>
</tr>
</tbody>
</table>

Any employee who is recovering from the abuse of drugs or alcohol may, at the company’s discretion, be granted a leave of absence to undertake rehabilitation treatment. The employee may not be permitted to return to work until appropriate certification is presented to the Corporate Human Resources Office indicating that the employee is capable of performing his or her job. Failure to cooperate with an agreed upon treatment plan may result in discipline up to and including termination. Participation in a treatment program does not insulate an employee from the imposition of discipline for violations of this or other company policies.

Supervisors should report immediately to the campus director any action by an employee who demonstrates an unusual behavior pattern. A determination will then be made as to whether the employee should be able to perform his or her job safely and properly. Employees judged to be under the influence of drugs, narcotics, or alcohol will be required to submit to testing and, upon a positive test result, will be asked to leave the premises.

Confidentiality

All information received by the system through the drug-free workplace program is confidential communication. Access to this information is limited to those who have a legitimate need to know in compliance with relevant laws and university policies.

This policy is intended to comply with the Drug Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendment of 1989.

Appendix A: Drug and Alcohol Penalties and Sanctions – State and Federal Penalties and Sanctions

Appendix B: Health Risks Associated with the Use of Illicit Drugs and Alcohol
It is the policy of The Sullivan University System to prohibit the use of tobacco products in all buildings owned or leased by The Sullivan University System. Smoking is prohibited within a reasonable distance from the outside entrance to any building so as to ensure that tobacco smoke does not enter the building through entrances, windows, ventilation systems, or other means.

The reference of tobacco products within this policy is inclusive of e-cigarettes and similar vaporized devices.
Non-Discrimination and Harassment Policy

The Sullivan University System will not tolerate verbal or physical conduct by any employee which harasses, disrupts, or interferes with another’s work or academic performance or which creates an intimidating, offensive or hostile environment.

All forms of discrimination and harassment are prohibited, including but not limited to that based on race, color, national origin, religion, age, gender, sexual preference or orientation, pregnancy, disability, membership in the armed services, or any other protected status.

Definition of Harassment
Harassment is verbal or physical conduct designed to threaten, intimidate or coerce. This may include, but is not limited to:

a) Offensive physical actions, written or spoken, and graphic communication (for example, obscene hand or finger gestures or sexually explicit drawings).

b) Any type of physical contact when the action is unwelcomed by recipient (for example, brushing up against someone in an offensive manner).

c) Expectations, requests, demands or pressure for sexual favors.

d) Slurs, jokes, posters, cartoons and gestures that are offensive.

e) Graphic or suggestive comments about an individual’s dress or body.

Sexual harassment, as defined in the Equal Employment Opportunity Commission Guidelines, is unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a personal nature when, for example: (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile, or offensive working environment.

All employees have an active responsibility to keep the learning environment and workplace free of harassment and to provide a positive example and guidance to other employees and students.

Avoiding Discrimination and Harassment
The most effective means of avoiding harassment is to listen to fellow employees and students. If an individual identifies language or behavior that he or she finds offensive, use of that language or behavior should be discontinued. Because some conduct may be considered offensive by some and not by others, an employee must put fellow employees,
supervisors, managers, or officers on notice if he or she is offended by any of their conduct or comments that could be construed as harassment.

No supervisor shall threaten or insinuate either explicitly or implicitly that an employee’s refusal to submit to sexual advances will adversely affect the employee’s employment, evaluation, wages, advancement, assigned duties, shifts, or any other condition of employment or career development. In addition, no supervisor or other employee is to favor in any way any applicant or employee because that person has performed or shown a willingness to perform sexual favors for that supervisor or employee. Likewise, no employee shall act in any such manner toward any actual or prospective contractor (vendor or customer), guest or visitor.

All complaints of harassment will be taken seriously and will be subject to the investigation and disciplinary procedures stated below.

**Reporting Discrimination and Harassment**

The very nature of harassment or discrimination makes it virtually impossible to detect unless the person being harmed registers his or her discontent with the appropriate Company representative(s). An employee who wishes to report a complaint of harassment should follow the procedure outlined in the Grievance Procedures policy. Any manager or supervisor who becomes aware of discrimination or harassment in the workplace shall report such behavior to the appropriate location director and/or to corporate human resources. Location directors shall report promptly such behavior to the Company’s executive vice president or president and to the Human Resources Department.

All reports of harassment will be handled promptly and appropriate action will be taken in an expeditious manner. Supervisors and managers investigating an allegation of harassment are required to notify the Human Resources Department. All employees, whether complainant, witness or accused, are required to be truthful, accurate and cooperative during the investigation. The confidentiality and privacy of all employees and of those involved will be respected to the extent possible. In all cases, the complainant and the accused employee will be advised of the results of the investigation.

Any employee, supervisor, or manager who, after appropriate investigation, is found to have engaged in the discrimination against or harassment of another employee, a student, a guest, visitor or contractor will be subject to appropriate disciplinary action, up to and including termination. Disciplinary action may be taken for unacceptable workplace conduct, regardless of whether the offending conduct is severe or pervasive or meets the legal definition of discrimination or harassment.

**Personal Relationships in the Workplace**

The personal relationships prohibited by this policy include dating, romantic involvement, sexual relations, and the exchange of affections.
A manager or supervisor who has a personal relationship with someone he/she supervises, or with someone whose terms and conditions of employment he or she has the ability to influence, exposes himself or herself and the Company to charges of favoritism, improper use of authority, discrimination and sexual harassment. Even when no inappropriate conduct is involved, management personal relationships with a subordinate employee may appear to others to involve improper use of authority. To avoid the dangers of management personal relationships with a subordinate employee, and to help prevent even the appearance of improper conduct, it is the Company’s policy that managers, supervisors, or any other employee who has the authority to directly or indirectly affect the terms and conditions of another’s employment shall not have a personal relationship with that employee. The Company does not intend this personal relationship policy to otherwise discourage friendship or social activities among employees. Should a personal relationship prohibited by this policy exist or be contemplated, the supervisor or manager involved is required to notify his or her supervisor immediately. Failure to timely report such a relationship will subject the supervisor or manager to disciplinary action, up to and including termination of employment. Where a personal relationship prohibited by this policy exists, the Company will take whatever action it believes is necessary to remove the parties from any continued supervisory lines of authority between them. The Company recognizes that the question of whether a personal relationship exists is a very sensitive issue. However, because of the potential for inappropriate conduct, employees are encouraged to bring any questions regarding a personal relationship to the attention of his or her supervisor, location director or the Human Resources Department.

Employees are strongly discouraged from establishing personal relationships with students.

**Instructor-Student Relationships**
The integrity of the instructor-student relationship is the foundation of the Company's educational mission. This relationship vests considerable trust in the instructor, who, in turn, bears authority and accountability as a mentor, educator, and evaluator. The unequal institutional power inherent in this relationship heightens the vulnerability of the student and the potential for coercion. The pedagogical relationship between instructor and student must be protected from influences or activities that can interfere with learning consistent with the Company’s goals and ideals. Whenever an instructor is responsible for directly supervising a student, a personal relationship between them is inappropriate. Personal relationships prohibited by this policy include dating, romantic involvement, sexual relations, or the exchange of affections. Any such relationship jeopardizes the integrity of the educational process by creating a conflict of interest and may lead to an inhospitable learning environment for other students. For purposes of this policy “instructor” includes all faculty, teaching assistants, deans and academic officers, whether employees or independent contractors.

Therefore, no instructor shall have a personal relationship with a student over whom he or she has direct supervisory responsibilities regardless of whether the relationship is consensual. Instructors must avoid sexual relationships with their students, including
those for whom they are likely to have future supervisory responsibility. Conversely, instructors must not directly supervise any student with whom they have a personal relationship. Violations of or failure to correct violations of these conflict of interest principles by the instructor will be grounds for disciplinary action, up to and including termination.

For purposes of this policy, "direct supervision" includes the following activities (on or off campus): course teaching, examining, grading, advising for a formal project such as a thesis or research, supervising required research or other academic activities, and recommending in an institutional capacity for employment, fellowships, or awards. This policy applies to instructors in all ranks, including full-time, part-time, teaching assistants, adjunct, and visiting instructors.

Retaliation
No employee or student shall be subject to any form of retaliation because he or she acted in good faith for:

- Filing or responding to a bona fide complaint of discrimination or harassment;
- Appearing as a witness in the investigation of a complaint; or
- Serving as an investigator.

Retaliation or attempted retaliation is a violation of this policy and anyone who does so will be subject to disciplinary action, up to and including termination.
MAINTENANCE OF WORK AREAS

It is the policy of The Sullivan University System that all classrooms and work areas shall be kept clean and orderly at all times. Supervisors are responsible for making sure that their work areas are maintained in accordance with the requirements of this policy. At the end of each day, all work areas and classrooms are to be straightened and left ready for either the evening division classes or the next work day.

Under normal circumstances, food should be consumed only in food service or lounge areas and not in classrooms or at work stations. Coats, boots, umbrellas, and the like should be placed in areas designated for such articles and not left at work stations. Smoking is not permitted in any Sullivan University System facility.
ATTENDANCE AND PUNCTUALITY

It is the policy of The Sullivan University System to require regular attendance and punctuality on the part of all employees. Unauthorized or excessive absences or tardiness cannot be tolerated and may result in disciplinary action up to and including termination.

Faculty members should plan to arrive in the classroom several minutes prior to the beginning of their first assigned class and remain in the facility throughout the day. Non-teaching employees should be at their work station on the days and during the times designated by their supervisor. Prescribed break and lunch periods are to be observed as allocated.

Employees must notify their supervisor as far in advance as possible whenever they are unable to report for work or know they will be late. Such notification should include the reason for the absence or tardiness and an indication of when the employee can be expected to report for work. If the supervisor is unavailable, employees should contact the division or location director. Failure to notify the appropriate person of absences or delays may result in loss of compensation (for non-exempt employees) during the absence and may be grounds for disciplinary action.

SUS participates in an electronic notification service that will communicate information pertaining to closing or changes to class schedules that may occur as a result of inclement weather or other similar situations. Communications from this service are sent via text message, email, and/or phone call and employees are expected to ensure they are properly registered for this service. Additional information on registration can be obtained from the SUS human resources office or campus administration. During inclement weather conditions, information pertaining to closings or changes to class schedules and campus openings/closings will also be communicated through campus social media sites and local media as appropriate. Generally, faculty are expected to report for work during the same hours the students are expected to be in classes, but faculty may be required to report to work during days scheduled for in-service training or related activities. Staff are expected to be at work during their normal working hours if at all possible. The snow schedule or the complete cancellation of classes does not alter the expected work schedule for administration and staff, unless otherwise noted in the notifications sent via the electronic notification service. System/corporate employees should adhere to notifications pertaining to the campus location where they are assigned to work. Remote/telecommuting employees should follow their normal work schedule unless otherwise approved by their supervisor.

Employees who are absent from work for two consecutive days without giving proper notice will be considered as having voluntarily terminated their employment with The Sullivan University System.
PERSONAL APPEARANCE OF EMPLOYEES

Employees are required to maintain a standard of dress and personal grooming which supports a positive business image of the Sullivan University System staff and faculty. Radical departures from conventional dress or personal grooming standards are not permitted.

The personal appearance of faculty and office workers is governed by the following standards:

(a) Employees are expected to dress in a manner that is normally acceptable in business establishments. Please use good judgment in your choice of work clothes. Appropriate business attire for women includes suits, dresses, skirts, sweaters, blouses, dress slacks, jackets and appropriate business shoes or dress sandals. Appropriate business attire for men includes suits, sport coats and slacks, dress shirt and tie, and appropriate business shoes and dress socks. Jeans (including colored jeans) are not appropriate for women or men. The wearing of suggestive or revealing attire (such as tank tops, halter tops, midriff tops or tops with spaghetti straps) or of jeans, shorts, t-shirts, baseball caps, clothing with holes, flip-flop sandals and similar items of casual attire is not permitted as they do not present a business-like appearance.

(b) You are also expected to maintain a standard of personal grooming that is consistent with accepted office standards. Hair should be clean, combed, and neatly trimmed or arranged in a professional manner.

(c) Sideburns, mustaches, and beards should be neatly trimmed.

If you are uncertain about whether a particular item of clothing complies with this policy, please discuss this with your supervisor before wearing the item to work. If an employee reports for work improperly dressed or groomed, the supervisor should instruct the employee to return home to change clothes or to take other appropriate corrective action. Non-exempt employees will not be compensated during such time away from work. Employees failing to adhere to proper standards with respect to appearance are subject to disciplinary action.

Employees in certain occupations may be required to wear uniforms or other clothing that varies from business attire (ie. Culinary, maintenance, marine technician, medical professionals, etc.). In these cases, the specific dress code will be established by the campus or department director. Likewise, special occasions may require a different style of dress (ie. jeans for clean-up days) and must be approved in advance by the campus director or department director.

On Fridays and other designated days, faculty and staff will be allowed to wear more casual attire to work. This is designated as “business casual.” Appropriate business casual attire for women includes slacks, pressed khaki pants, capri suits that are mid calf or longer, polo shirts,
blouses, and sweaters. Appropriate business casual attire for men includes pressed khaki pants and polo shirts. Company logo wear is also permissible for business casual dress. Clothing should be neat and coordinated. Sweatshirts, shorts, denim (including jeans, skirts, jumpers and jackets), t-shirts, tennis shoes, warm-ups, leggings, and other very casual items are not permitted. This is a relaxation of the current standard for daily dress, and should be interpreted in such a way that everyone dresses in a more relaxed, but still attractive and neat fashion. Professional office dress may be required as determined by the campus director or department director on Fridays when special events are planned. Business casual dress is also acceptable beginning the week of finals until the official beginning of registration for new students.
BEHAVIOR OF EMPLOYEES

It is the policy of The Sullivan University System that certain rules and regulations regarding employee behavior are necessary for the efficient operation of The Sullivan University System and for the benefit and safety of all employees. Conduct that interferes with operations, discredits The Sullivan University System, or is offensive to our students, fellow employees, or the general public will not be tolerated.

All employees are expected to conduct themselves and behave in a manner which is conducive to the efficient operation of The Sullivan University System. Such conduct includes:

(a) Reporting to work punctually as scheduled and being at the proper work station ready for work at the assigned starting time.

(b) Notifying the supervisor in advance when the employee will be absent from work or is unable to report for work on time.

(c) Smoking only at times and in places permitted by The Sullivan University System rules or local ordinances.

(d) Wearing appropriate clothing.

(e) Eating meals only during meal periods and only in the properly-designated areas.

(f) Maintaining workplace and work area cleanliness and orderliness.

(g) Treating all students, visitors, and fellow employees in a courteous and professional manner.

(h) Refraining from behavior or conduct deemed offensive or undesirable or which is subject to disciplinary action.

(i) Performing assigned tasks efficiently in accordance with established quality standards.

(j) Reporting to the supervisor suspicious, unethical, or illegal conduct by a fellow employee, students, suppliers, or visitors.

The following conduct is prohibited and may subject the individual involved to disciplinary action up to and including termination:
(a) Reporting to work under the influence of alcoholic beverages and/or illegal drugs and narcotics or the unlawful use, sale, manufacture, dispensing, or possession of alcoholic beverages and/or illegal drugs and narcotics on The Sullivan University System premises.

(b) Use of abusive language.

(c) Possession of firearms or other weapons on The Sullivan University System property.

(d) Insubordination or the refusal to follow a supervisor’s instruction concerning a job-related matter.

(e) Fighting or assaulting a fellow employee, student, or members of the general public.

(f) Theft, destruction, defacement, or misuse of Sullivan University System property or of another person’s property.

(g) Gaining unauthorized access to information pertaining to employees, students, or Sullivan University System.

(h) Falsifying or altering any Sullivan University System record or report such as an application for employment, a medical report, a time record, an expense account, or an absentee report.

(i) Threatening or intimidating supervisors, students, or fellow workers.

(j) Smoking in areas prohibited by The Sullivan University System policy or local ordinance.

(k) Sleeping on the job.

(l) Improper attire or inappropriate personal appearance.

(m) Engaging in any form of harassment.

(n) Misrepresentation as defined in this policy.

The examples above are illustrative of the type of behavior that will not be permitted but are not intended to be all inclusive. Any question in connection with this policy should be directed to the division or location director or to a Sullivan University System Vice President or the President.

Misrepresentation

Sullivan University System institutions (Sullivan University, Spencerian College, Sullivan College of Technology and Design) are prohibited under federal regulations from making any false, erroneous, or misleading statements directly or indirectly to a student, prospective student, member of the public, accrediting agency, state agency, or to the Department of Education. The
Code of Federal Regulations (CFR) title 34 sections 668.71-74 addresses the issue of misrepresentation on the part of the institutions and provides the following definitions:

Misleading statement is defined as including any statement that has the likelihood or tendency to deceive or confuse. A statement is any communication made in writing, visually, orally, or through other means.

Misrepresentation is defined as “any false, erroneous or misleading statement made by an institution or one of its representatives, or to provide marketing, advertising, recruiting, or admissions services directly or indirectly to a student, prospective student, family of either, accrediting agency, state agency, any member of the public, or US Department of Education”.

This includes “dissemination of a student endorsement or testimonial made under duress or because the school required the student to provide the endorsement to participate in a program.”

Substantial Misrepresentation is defined as “any misrepresentation on which the person to whom it was made could reasonably be expected to rely, or has reasonably relied, to that person’s detriment.”

The regulations regarding misrepresentation describe misrepresentation with respect to:

- Nature of the education program
- Nature of financial charges
- Employability of graduates
- Relationship with the Department of Education. A Title IV eligible school may not describe its participation in a way that suggests approval or endorsement by the Department of Education of the quality of its educational programs.

While it is the expectation of the institutions that all employees adhere to this policy, specific procedures and training to ensure compliance are expected within departments with responsibility to represent the institutions to students, prospective students, members of the public, accrediting agencies, state agencies or the Department of Education program. These include, but are not limited to, Administration, Admissions, Marketing, Communications, Career Services, and Financial Planning.

Any violation of this policy will be taken seriously and the institution will ensure that it is not repeated.
PERFORMANCE AND COMPENSATION REVIEW POLICY

The Sullivan University System believes in the importance of promoting a high level of employee performance through consistent feedback from supervisors through a formal performance appraisal process. The performance appraisal provides a means for discussing, planning and reviewing the performance of employees, as well as identifying performance and professional development objectives for the employee.

The performance of all full-time regular staff employees will be evaluated on at least an annual basis; part-time employees will be evaluated on at least a biennial basis. Student workers and temporary employees do not generally receive performance evaluations. Faculty will be evaluated in accordance with the Faculty Evaluation and Merit Pay policy in this manual.

Each SUS manager is responsible for the timely and equitable assessment of the performance and contribution of subordinate employees. Generally, admissions employees will be evaluated in October of each calendar year. All other employees will be evaluated on or around the anniversary date of employment in the current position held with SUS. Supervisors will prepare a written evaluation using an approved form provided by the system human resources office. The performance evaluation will be discussed and signed by both the employee and the manager to ensure that all strengths, areas for improvement and job goals for the next review period are clearly communicated. Where deemed appropriate, SUS may require a secondary review by the human resources office and/or system leadership before the evaluation is shared with the employee in order to ensure compliance with applicable regulations and narrative quality.

A performance review does not always result in an automatic salary increase. When provided, a merit increase may accompany a performance review if the employee’s performance and salary level so warrant. The employee’s overall performance and salary level relative to position responsibilities and approved merit budget must be evaluated to determine whether a salary increase is warranted. Salary increases must be supported by a written performance appraisal for salary change processing; requests for salary changes without supporting documentation will not be processed. The manager will not discuss any proposed action with the employee until all written approvals are obtained.

In addition to performance evaluations, the system human resources office will conduct an employee survey of senior campus administrators on at least a biennial basis. Quantitative data, along with thematic emergence from qualitative data will be compiled and shared with the system Chief Operating Officer and location director. In the instance of Sullivan University campuses, the information will also be shared with the Sullivan University Chief Executive Officer. The location director, or designate, will meet with individual administrators to share the results of the survey as well as any corresponding development plan.
The Sullivan University System provides its employees who meet eligibility for Plan purposes with a 401(K) program for retirement savings. This plan enables employees to be self-directed in planning for their retirement.

You are eligible to participate in the Plan if you are an employee, age 20 ½ and complete 500 hours of service within the six months following your date of hire. Once you have completed the initial eligibility requirements, the earliest date which you may enter the Plan is the next plan entry date (January 1, April 1, July 1, or October 1). Employees hired on or after June 1, 2015 will be automatically enrolled into the plan on the next entry date after they have met the eligibility criteria. When an employee is automatically enrolled into the plan, the salary deferral will begin at 1 percent. This deferral will then automatically escalate by 1 percent each January 1, up to a maximum of 10 percent. Employees not wishing to enroll, or to escalate their salary deferral percentage, must affirmatively elect not to do so using the procedures available from the human resources department. In addition, employees may affirmatively elect to contribute a different percentage than determined by the automatic enrollment and escalation; any affirmative decision not to participate and/or to change the deferral percentage will prevent future automatic escalations of the deferral percentage. Employees who choose to stop making contributions to the plan must wait until a plan entry date in order to once again begin contributing.

The Sullivan University System may make a discretionary match contribution to the plan on an annual basis. Such contributions become vested according to the following schedule:

<table>
<thead>
<tr>
<th>Years of Service</th>
<th>Percent of Non-forfeitable Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 2</td>
<td>0%</td>
</tr>
<tr>
<td>2</td>
<td>20%</td>
</tr>
<tr>
<td>3</td>
<td>40%</td>
</tr>
<tr>
<td>4</td>
<td>60%</td>
</tr>
<tr>
<td>5</td>
<td>80%</td>
</tr>
<tr>
<td>6 or more</td>
<td>100%</td>
</tr>
</tbody>
</table>

The Summary Plan Description for the 401(k) Plan is available on the human resources website and a complete description of plan is available upon request from the Vice President of Finance. Where there are discrepancies between this policy and the plan document, the plan document will prevail. The Sullivan University System reserves the right at any time to change its current benefits policy by adding other benefits, modifying or reducing benefits, or terminating some benefits entirely.
INSURANCE BENEFITS FOR FULL-TIME EMPLOYEES

It is the policy of The Sullivan University System to provide health insurance benefits and share the cost with the employee. The current percentage of premiums paid by the company is fifty percent. Participation in these insurance benefits is optional. Due to the competitive nature of such plans, the company will change providers as necessary to maintain maximum coverage for minimum cost for both The Sullivan University System and the employee. The decision of primary provider selection rests with The Sullivan University System. Detailed information on the current health insurance plan is available from Human Resources. New full-time employees who enroll in the plan will be covered the first day of the month following 60 days of full-time employment.

Employees also have the opportunity to cover their spouse and legal dependents under the group medical insurance plan. Working spouses may only be covered under the group plan, however, if they are not eligible under their own employer’s plan. Likewise, when two spouses are both employed by The Sullivan University System in a benefits-eligible class, they must enroll separately under the group medical plan.

While The Sullivan University System does not subsidize dental, vision, cancer, or intensive care insurance, those policies are available and The Sullivan University System will permit payroll deduction to pay such premiums. If an employee changes from full-time to part-time status while enrolled in a supplemental benefit plan, The Sullivan University System will continue providing the benefit of payroll deduction for such benefits. Continued eligibility to participate in these supplemental policies, however, is subject to the eligibility requirements of the policy. Additional information on these benefit plans is available from Human Resources.

The Consolidated Omnibus Budget Reconciliation Act (COBRA) requires that employees and their families be offered a temporary extension of group health coverage (continuation coverage) for a limited time at group rates in certain instances where coverage under the plans would otherwise end. Any qualified beneficiary receiving continuation coverage must pay the full cost of coverage plus 2% to cover administrative costs. Coverage may be continued for any qualified beneficiary, which is defined as (1) the covered employee and/or (2) a covered spouse or dependent child.

The following are considered qualifying events for continuing coverage under COBRA:

- Employee termination (for reasons other than gross misconduct).
- Change in employee’s status or number of hours worked when affecting eligibility for coverage.
- Death of the employee.
- Divorce or legal separation of the employee.
- Employee becoming entitled to Medicare as primary coverage.
- Dependent child becoming ineligible for coverage.

An employee may elect COBRA coverage within 60 days of the qualifying event. Once the COBRA election form has been submitted, the employee has an additional 45 days to make the first premium payment. The employee must continue to pay premiums on a timely basis or the coverage will be cancelled. A COBRA election notice will be mailed to the qualified beneficiary’s home within fourteen days of a qualifying event. It is the responsibility of the employee to provide the company with a current address in order to ensure receipt of this notice. Further information on COBRA continuation coverage is available from Human Resources.

The Sullivan University System reserves the right at any time to change its current benefits policy by adding other benefits, modifying or reducing benefits, or terminating some benefits entirely.
VACATIONS

The Sullivan University System provides paid vacation time for full-time non-teaching employees. Accrued vacation time is based on an employee’s years of service with the organization. Accrued vacation hours are added to an employee’s balance on the employee’s monthly anniversary. Upon termination, unused accrued vacation will be paid out to employees.

All full-time non-teaching employees who have been employed for fewer than five years accrue vacation at a rate of two weeks or 80 hours per year. New employees are eligible to begin using this accrued vacation following six months of employment. In no instance will an employee with fewer than five years of service be compensated for more than 20 days or 160 hours of accrued vacation time upon termination.

All full-time non-teaching employees who have been employed for five years, but not more than twelve years, will accrue vacation at a rate of three weeks or 120 hours per year. In no instance will an employee with fewer than twelve years of service be compensated for more than 30 days or 240 hours of accrued vacation time upon termination.

All full-time non-teaching employees who have been employed for twelve years, but not more than twenty years, will accrue vacation at a rate of four weeks or 160 hours per year. Upon termination, accrued vacation will be paid out to employees. In no instance will an employee with fewer than twenty years of service be compensated for more than 40 days or 320 hours of accrued vacation time upon termination.

All full-time non-teaching employees who have been employed for twenty years or more will accrue vacation at a rate of five weeks or 200 hours per year. Upon termination, accrued vacation will be paid out to employees. In no instance will an employee be compensated for more than 50 days or 400 hours of accrued vacation time upon termination.

The use of accrued vacation is subject to the Employee’s supervisor’s written approval. It is the responsibility of the supervisor to keep records of the vacation days used by each employee and to properly report the use of accrued vacation time to the payroll department. The employee should notify the supervisor of his or her request for vacation day(s) as far in advance as is practically possible. It is the supervisor’s responsibility to determine the resolution of conflicts should multiple employees request the same vacation periods when these employees cannot, for the good of The Sullivan University System, be gone at the same time.

Teaching faculty do not receive vacation as such. Most full-time teaching employees average approximately one to three weeks between academic quarters when they are not in the classroom. While these periods are not officially designated as “vacation,” they serve much the same purpose for rest and relaxation.
The company wants its employees to maintain a healthy balance between life and work. Taking time away from work each year is part of a healthy lifestyle. To encourage employees to take advantage of paid vacation time for their rest and relaxation, an employee may not accumulate more than the maximum amount of accrued vacation time that may be paid upon termination. For example, an employee employed for five years, but fewer than twelve years, may not accrue more than thirty days or 240 hours of vacation.

If a paid holiday falls within the period during which a staff member is taking a vacation, the employee shall receive an extra day of vacation in lieu of the holiday. Vacations must be scheduled with the appropriate supervisor and normally will not be approved in the time frame before, during, and immediately after a quarter start date. The approval is at the discretion of the campus director or department director. Vacations are paid at the rate the employee was making immediately prior to the vacation period. No vacation pay shall be earned by employees separating from The Sullivan University System within six months of their initial employment. Earned vacation pay will be provided to employees separating from The Sullivan University System after more than six months of employment. Upon termination of employment, unused vacation time will be paid generally on the last regular paycheck.

This policy takes effect on April 1, 2008. An employee having accrued a vacation balance through March 31, 2008 in excess of the maximum allowed under this policy will not have that balance reduced except by use of the vacation time allowed or required under this or another company policy (for example, Family and Medical Leave Act (FMLA). The employee may not, however, accrue additional vacation time until his or her accrued vacation balance has been reduced below the maximum accrual. For example, an employee who has been employed for eight years and has accrued a balance of 400 hours of vacation time will not accrue any additional vacation time until the balance has been reduced to fewer than 240 hours and will not be paid for more than 240 hours of accrued vacation time upon termination of employment.
WORKER’S COMPENSATION

It is the policy of The Sullivan University System to abide by Kentucky law which requires that all employees be covered under worker’s compensation insurance. Any employee of The Sullivan University System who is injured while performing work-related activities shall receive compensation and reimbursement of expenses as prescribed by the worker’s compensation statute. If the employee is retained on The Sullivan University System payroll, salary payments will be made to make up the difference between worker’s compensation and the current salary of the employee for the eligible period.

All injuries should be reported immediately to the immediate supervisor and then to The Sullivan University System’s Vice President for Finance for proper report forms to be prepared for worker’s compensation. Reports are required to be filed within 24 hours of the injury incident.
EDUCATIONAL BENEFITS

Internal Educational Benefits
(Benefits applied toward education at a Sullivan University System institution)

The Sullivan University System provides its employees and their spouses and children the opportunity to attend The Sullivan University System schools. Exceptions to this policy can only be made by the President of The Sullivan University System. Any employer-provided educational expenses that an employer pays on behalf of an employee are excludable from gross income as a working condition fringe benefit to the extent that, if the employee paid for the benefit, the amount paid could have qualified as a deductible employee business expense. No business expense deduction is allowed for expenses incurred to:

(1) meet minimum job qualifications, or
(2) qualify for a new trade or business.

Employees and dependents receiving educational benefits are not eligible for scholarship days, institutional grants, or similar programs sponsored by The Sullivan University System. Employees and dependents who are in default of federal student loans (Perkins, Stafford or PLUS Loans) with any SUS institution are not eligible for educational benefits. Employees and dependents are expected to remain in good standing with all SUS loans and payment plans, such as CEF, personal monthly payments, to maintain eligibility for educational benefits.

In order to apply for educational benefits, an employee must complete the Application for Educational Benefits and submit it to his or her Supervisor for approval prior to enrollment. The form will then be submitted to the Campus or Division Director and then to the system human resources office. The form, complete with supervisor and campus/division level approvals, must be received by the system human resources office no later than Monday of week 8 of the academic quarter preceding enrollment. Human Resources will verify eligibility and level of benefits and then forward to the President or his designee for final approval. Once final approval is received, a copy of the form will be returned to the campus human resources representative, who will provide a copy to the employee. The employee is responsible for providing a copy of the form to the applicable departments at the location where he or she will be enrolling in classes no later than Monday of week 9 of the academic quarter preceding enrollment. The employee is responsible for ensuring cooperation with the campus and adhering to all established deadlines set forth in the enrollment process; failure to do so may result in delaying enrollment until a subsequent quarter. It is only necessary to complete an application at the onset of a degree or diploma program and/or when the student’s benefit level increases from fifty percent to one hundred percent. Courses taken on an individual subject basis must be submitted and approved prior to each course enrollment. If the benefit is not approved, the employee and employee’s supervisor will be informed accordingly.
Benefits Provided to Employees through the Non-Terminal Master’s Degree Level:

Full-time employees are eligible for Educational Benefits through the Master’s degree level for non-terminal degrees, beginning with the first quarter following one year of service as a full-time employee. Part-time employees are eligible for Educational Benefits through the non-terminal Master’s degree level after three years of continuous employment. The service requirement may be waived at the discretion of the location director, and with the approval of the President, when such a waiver is necessary based upon the needs of the institution. Programs and courses offered through the International Center for Corporate Learning and Dale Carnegie Training are not covered by the provisions of this policy.

Faculty and staff are permitted to audit any course at any Sullivan University System school without payment of tuition, application, and general fees. Employees are required to pay 50 percent of the cost of online fees and the full cost of books, uniforms, equipment and comprehensive fees. Enrollment in a class must not interfere with the employee’s teaching or work schedule and The Sullivan University System reserves the right to limit the approval of benefits and/or limit the course load of employees in order to ensure that coursework does not negatively impact work performance. Priority in scheduling will be given to regularly enrolled students. Job related courses may be taken for credit. Job search assistance and related services through the Career Services office will not be provided to active employees. Employees separating from employment with SUS prior to week 5 of the academic quarter will be responsible for all tuition charges for the quarter in which separation occurs.

Benefits Provided to Employees for Terminal and Doctoral Level Programs:

Full-time employees of the system may also apply for educational benefits for terminal and doctoral level programs. Employees must demonstrate the benefit of the degree to the system through the application process and will be limited to two courses per term. A minimum grade of a “C” is required; if an employee earns a grade lower than a “C”, the course must be repeated in order for benefits to continue. For employees participating in an SUS terminal or doctoral program, repayment of all tuition associated with the program is required if the employee voluntarily leaves employment prior to completion of the program (successful defense of the dissertation is considered to be the completion of a PhD program for purposes of this policy) or within 36 months following completion of the program. The employee’s signature on the application for benefits is accepted as agreement to the repayment condition.

In order to apply for educational benefits for terminal or doctoral programs, an employee must complete the process to apply for acceptance into the program during or prior to week one of the academic quarter preceding entry into the program. Once the employee receives notification of acceptance into the program, he or she may submit the Application for Educational Benefits, with a written explanation of the value to SUS if the benefit is approved, to the employee’s supervisor. The form will then be submitted to the Campus or Division Director and then to the system human resources office. Forms with the necessary approval signatures must be received by system human resources prior to week six of the academic quarter preceding entry into the program. Human resources will submit all terminal and doctoral program requests to the Executive Committee during week six, and a decision will be made during week eight of each
academic quarter regarding the number of house accounts that will be allowed for the subsequent quarter and the selection of employees to fill those spots. If approved, a copy of the form will be returned to the employee. The employee is responsible for providing a copy of the form to the applicable departments at the location where he or she will be enrolling in classes. It is only necessary to complete an application at the onset of a degree or diploma program. If the benefit is not approved, the employee and employee’s supervisor will be informed accordingly.

**Benefits Provided to Spouses, Children and Stepchildren of Full-Time Employees:**

Educational benefits through the non-terminal Master’s degree level are also provided to the spouses, children and stepchildren of full-time employees. Beginning with the first quarter following the employee’s completion of one year of service as a full-time employee, the tuition charge for dependents is 50 percent of the current tuition rate, along with 50 percent of the cost of application, general and online fees. Dependents are responsible for the full cost of books, uniforms, equipment, and comprehensive fees.

Upon completion of three or more years of a staff or faculty member’s full-time employment, there is no charge for tuition, application or general fees. Dependents are required to pay 50 percent of the cost of online fees and the full cost of books, uniforms, equipment, and comprehensive fees.

If a current student becomes a dependant of an employee, the student will remain under the terms of his/her current contract until its completion. Should the dependant then desire to pursue further classes, the terms of this policy will apply.

The spouse and children of part-time employees are not eligible for tuition benefits.

**External Educational Benefits**  
*Benefits applied toward education at institutions other than the Sullivan University System*

It is the policy of The Sullivan University System to assist faculty, administration and staff to continue to build their credentials for teaching or other job performance through reimbursement for continued education. In order to apply for external educational benefits, an employee must complete the Application for External Educational Benefits and justify the benefit of the program to the employee and to The Sullivan University System. The employee will then forward the completed form to his or her Supervisor for approval prior to enrollment. The form will then be submitted to the Campus or Division Director and then to the system human resources office. Human Resources will forward to the President or Senior Vice President/Chief Operations Officer for final approval. Once final approval is received, a copy of the form will be returned to the employee. If the benefit is not approved, the employee and employee’s supervisor will be informed accordingly.

Reimbursement for external educational benefits will be made at the public or state-supported institution tuition rate if such institutions offer the same or similar program. The employee
purchases his own textbooks, related materials and pays all fees. The employee pays the tuition for the approved classes; upon receipt of a grade of “C” or better, the company reimburses the employee for the full cost of tuition for that class, subject to the conditions below. For employees enrolled in a doctoral program, tuition will be reimbursed during the dissertation phase for up to four semester or six quarter terms. Documentation to substantiate progress in the dissertation phase will be required before reimbursement is made. In order to seek reimbursement for an approved program, the employee will submit the Educational Benefits Reimbursement Request to his or her location director.

There is a limit of two classes per employee during any one academic term that will be approved. In the case of degree programs, the employee needs only to get approval for the degree program and the institution offering that degree program; in other words, approval for each individual class within the degree program is not necessary.

Employees voluntarily leaving employment with the System are required to repay any tuition that has been reimbursed within the prior 36 months. For employees participating in a doctoral program, repayment of all tuition associated with the program is required if the employee voluntarily leaves employment prior to completion of the dissertation or within 36 months following completion of the dissertation. The employee’s signature on the application for benefits is accepted as agreement to the repayment condition.

This benefit is not intended to create any contract of employment for a specified term or to alter the at-will nature of the employment relationship.

Education Benefits Application - Internal
Education Benefits Application - External
Education Benefits External Reimbursement Request
"Red Flag" Identity Theft Protection Policy

The Sullivan University System has developed this identity theft program pursuant to the Federal Trade Commission’s Red Flags Rule, which implements Section 114 of the Fair and Accurate Credit Transactions Act of 2003. The program was developed with oversight by the Executive Committee of the System and approval of the Board of Directors.

The purpose of this policy is to establish a program that will detect, prevent and mitigate identity theft in connection with the opening of a covered account or an existing covered account and to provide for continued administration of the Program. The Program shall include reasonable policies and procedures to:

1. Identify relevant red flags for covered accounts it offers or maintains and incorporate those red flags into the program;
2. Detect red flags that have been incorporated into the Program;
3. Respond appropriately to any red flags that are detected to prevent and mitigate identity theft; and
4. Ensure the program is updated periodically to reflect changes in risks to Students and to the safety and soundness of the creditor for identity theft.

The program shall, as appropriate, incorporate existing policies and procedures that control reasonably foreseeable risks.

Definitions

Identity theft means fraud committed or attempted using the identifying information of another person without authority.

A covered account means (i) an account that a creditor offers or maintains, primarily for personal, family or household purposes, that involves or is designed to permit multiple payments or transactions or (ii) an account that the creditor offers or maintains for which there is a reasonably foreseeable risk to customers or to the safety and soundness of the creditor from identity theft.

A red flag is a pattern, practice or specific activity that indicates the possible existence of identity theft.

Covered Accounts

The Sullivan University System has identified the following covered accounts:

SUS covered accounts:

1. Refund of credit balances involving PLUS loans
2. Refund of credit balances, without PLUS loans
3. Deferment of tuition payments
4. Emergency Loans
5. Perkins Loans
6. Institutional Loans
7. Student Accounts

Service provider covered accounts:
1. Veterans' Administration
2. Kentucky Higher Education Assistance Authority (KHEAA)
3. Kentuckiana Works
4. Kentucky Vocational Rehabilitation Agency
5. Indiana Vocational Rehabilitation Agency
6. Collegiate Admission and Retention Solutions (CARS)
7. PEAC
8. Educational Loan Management (ELM)
9. Education Funding Resources
10. Sallie Mae
11. HigherOne

Risk Assessment

For the student related SUS administered accounts listed above, the existing risk is that a fraudulent request is made for a refund on an overpaid account resulting from a loan and/or direct payment. Since SUS is solely responsible for issuing refunds on these accounts, the risk resides with SUS. SUS will take steps to ensure that the activity of a service provider is conducted in accordance with reasonable policies and procedures designed to detect, prevent and mitigate the risk of identity theft whenever the organization engages a service provider to perform an activity in connection with one or more covered accounts. However, the process transacted by these providers represent funds owed to SUS, mitigating the risk of theft to the account holders. Additionally, SUS will take steps to review the Red Flag policies and procedures enacted by these providers.

Control Procedures
As noted above, the primary risk associated with the covered accounts relates to refunds on student accounts and loan accounts. The following control procedures mitigate this risk: All refunds of a credit balance involving a PLUS loan will be refunded in the parent’s name to their address on file within the time period specified, pursuant to federal regulations. No request is required. All refunds on student accounts that are in an overpaid position and not related to a PLUS loan must be initiated by the student owning the account. The request may be initiated either in person, or in writing from the student’s SUS e-mail account. Phone requests will not be honored due to the difficulty in assessing the individual’s identity. Requests made in person must be made to the Financial Planning office of the location during standard operating hours. The student must present his/her valid SUS or government issued identification. Checks are paid and mailed to the official name and address within the CampusVue System or may be picked up in person. The student must once again provide his/her valid SUS or government issued identification when receiving the check in person.

Students must make any permanent name or address change through Academic Services, or in writing from the student’s SUS email account. Phone requests will not be honored due to the difficulty in assessing the individual’s identity. When making a request in person, the student must provide his/her valid SUS or government issued identification. A change in name requires the appropriate legal documentation subject to the specific instance, such as a social security card. These changes may be initiated either in person or in writing from the student’s SUS email account, but the appropriate supporting documentation must be provided along with the request. A change in address may be requested either through the student’s SUS email account or in person. If requested in person, the student must show his/her valid SUS or government issued identification. A change in name or address for an alumnus with loan balances must be made through the corporate accounting office. Each alumnus must provide his/her requests in writing and identify his/her personal loan number for verification.

Red Flags

The following red flags are potential indicators of fraud. Any time a red flag, or a situation closely resembling a red flag is apparent, it should be investigated.

1. Documents provided for identification appear to have been altered or forged;
2. The photograph or physical description on the identification is not consistent with the appearance of the student presenting the identification;
3. A request made from a non-SUS issued e-mail account;
4. A request to mail something to an address not listed on file; and
5. Notice from customers, victims of identity theft, law enforcement authorities, or other persons regarding possibly identity theft in connection with covered accounts.

Response to Red Flags

The Program shall provide for appropriate responses to detected red flags to prevent and mitigate identity theft. The appropriate responses to the relevant red flags are as follows:
1. Deny access to the covered account until other information is available to eliminate the red flag;

2. Contact the student;

3. Change any passwords, security codes or other security devices that permit access to a covered account;

4. Notify law enforcement; or

5. Determine no response is warranted under the particular circumstances.

**Oversight of the Program**

Responsibility for developing, implementing and updating this Program lies with The Sullivan University System Executive Committee. The Vice President for Finance serves as the Program Administrator and is responsible for program administration, ensuring appropriate training of the staff on the Program, reviewing any staff reports regarding the detection of red flags on the identified covered accounts and the steps for preventing and mitigating identity theft, determining which steps of prevention and mitigation should be taken in particular circumstances and considering periodic changes to the Program.

**Updating the Program**

The program will be periodically reviewed and updated to reflect changes in risks to students and employees and the soundness of the College from identity theft related to the noted covered accounts. At least once per fiscal year, the Program Administrator will consider SUS’ experiences with identity theft, changes in identity theft methods, changes in identity theft detection and prevention methods, changes in types of accounts SUS maintains and changes in SUS’ business arrangements with other entities, as they relate to this program. After considering these factors, the Program Administrator will determine whether changes to the Program, including the listing of red flags, are warranted. If warranted, the Program will be updated.

**Staff Training**

SUS staff responsible for implementing the Program shall be trained either by or under the direction of the Program Administrator in the detection of Red Flags, and the responsive steps to be taken when a Red Flag is detected.

**Oversight of Service Provider Arrangements**

SUS will take steps to ensure that the activity of a service provider is conducted in accordance with reasonable policies and procedures designed to detect, prevent and mitigate the risk of identity theft whenever the organization engages a service provider to perform an activity in connection with one or more covered accounts.
PARTICIPATION IN PROFESSIONAL ORGANIZATIONS AND ASSOCIATIONS

It is the policy of The Sullivan University System to encourage employees, particularly faculty, to participate in professional organizations and associations. Employees are encouraged to participate in organizations that promote employee development and professional enhancement that are endorsed by The Sullivan University System. Participation in these organizations generally should be outside normal working hours and therefore are not considered as hours worked outside of normal working hours.

Location or divisional directors must plan, approve, and budget for employees’ attendance at professional meetings, seminars, and conventions. The Sullivan University System will pay for and/or reimburse employees for registration fees and reasonable expenses to attend such functions when approved in advance and in writing by the location or divisional director.
CONVENTIONS AND PROFESSIONAL MEETINGS

It is the policy of The Sullivan University System to pay for certain expenses for employees to attend approved conventions and professional meetings. When a faculty or staff member desires to attend an educational or professional meeting, he should make a request in writing to his supervisor, setting forth all pertinent information that will be helpful in considering the request; this information will normally include the following:

1. Sponsoring organization.
2. Place and days of the meeting.
3. Method and cost of proposed transportation.
4. Registration cost.
5. Estimated room and board cost above that which may be included in the registration cost.
6. Classes affected by a faculty member’s absence and proposed method of makeup or substitution. If a substitute is to teach the classes, set forth estimated cost.
7. What the faculty or staff member expects to gain for himself and The Sullivan University System as a result of attending the meeting.

Following approval by the supervisor, the request will be forwarded to the location director and/or a corporate vice president for final approval. Employees may utilize the Request to Attend Conference or Convention form to request approval of such events; this form is not required, however, any other document requesting such approval must contain the information listed above.

The Sullivan University System will pay expenses for the employee while he is attending these approved meetings by paying the following:

1. The cost of transportation, registration, hotel, and meals or a pre-determined per diem allotment as referenced in the Travel Reimbursement policy.

All such requests must be approved in writing in advance by the department or location director.

Following attendance at the convention or professional meeting, each person attending must provide their supervisor and division or location director with a written report regarding the meeting.
This report should include:

(a) A listing of manuals and other supplemental educational materials received.

(b) Synopsis of key points with implications for The Sullivan University System.

After review by the supervisor and location director, this form will be placed in the employee’s permanent personnel file and a copy forwarded to the appropriate corporate vice president. Employees may utilize the Conference or Convention Report form to provide the required information to their superiors. This form is not required, however, any other written report must contain the information listed above.

Failure to file this report within two weeks of the meeting could result in personal obligation for the expenses involved in supporting attendance at the meeting.

**Request to Attend Conference**

**Conference/Convention Report**
**HOLIDAYS**

It is the policy of The Sullivan University System to pay full-time employees for the following nine holidays:

- New Year’s Day
- Martin Luther King, Jr. Day
- Memorial Day
- Fourth of July
- Labor Day
- Thanksgiving Day
- Day after Thanksgiving
- Christmas Eve
- Christmas Day

These days are paid only for full-time employees. Should the holiday fall on a Saturday or Sunday, an announcement will be made as to whether a Friday or Monday will be substituted for the weekend holiday.

An employee who is scheduled to work on a holiday, or is on a scheduled day off when a holiday is observed, will be granted equivalent time off with pay, either before or following the holiday. Any employee working on a listed holiday must have the immediate supervisor’s or Division Director’s approval prior to working the holiday.

If a designated holiday is observed during an employee’s vacation period, the employee will be eligible for additional time off with pay equal to the holiday time for which the employee is eligible.

An employee scheduled for work on a designated holiday who does not report and is not excused will forfeit the holiday. Further, a non-exempt employee with an unexcused absence from the scheduled work day immediately prior to or after a designated holiday, will not be paid for the holiday.
COMPENSATORY TIME

It is the policy of The Sullivan University System to recognize effort on behalf of the System above and beyond regular expectations. While The Sullivan University System does not have an hour-for-hour staff compensatory time plan, it is at the supervisor’s discretion to award limited compensatory time as earned and requested.

Compensatory time is for exempt, salaried, non-teaching employees and will be granted only when an extraordinary effort has been made on behalf of The Sullivan University System. Normal compensatory time will be from one hour to one day off for an employee to catch up on personal business which has been postponed due to unusual efforts expended on behalf of The Sullivan University System. Approval of limited compensatory time is at the discretion of the immediate supervisor with the approval of the division or location director. Notations of all compensatory time must be kept and are to become a part of the employee’s personnel file.

Time away from work which falls outside this limited definition of compensatory time must be counted and appropriately recorded as vacation time. A more detailed description of vacations appears on Section 21 of this manual.
REST BREAKS

It is the policy of The Sullivan University System to provide non-teaching employees with rest breaks during the course of each work day. Employees receive a rest break of 15 minutes at approximately the middle of every 4 hours of work not broken by a meal period. The time for the employee rest breaks will be scheduled by each supervisor with appropriate regard for the work load. Time spent on scheduled rest breaks will be compensated as working time and employees are not required to clock out and in on the time tracking system. However, employees are expected to return to their work stations promptly at the end of each break and will be subject to disciplinary action for tardiness.

Employees who choose to remain at work during rest breaks are not entitled to leave before the normal quitting time and will not receive extra pay for the time worked. Break time may not be accumulated for later use. Part-time employees are entitled to one 15-minute break per shift if the shift is 4 hours or longer. Rest breaks must be taken in non-work areas. Under normal circumstances, food is not permitted in work areas during rest breaks. Employees on rest breaks are not to interfere with fellow employees who are continuing to work. Employees on rest breaks are not to leave the company’s premises during this period.
**MEAL BREAKS**

It is the policy of The Sullivan University System to provide meal breaks during the course of each workday that exceeds five hours of work. Non-teaching employees are required to take a meal break of at least thirty minutes as close to the middle of the workday as possible. In accordance with Kentucky state law, the lunch break should begin between the third and fifth hour of the work day. Periodic alterations to this meal break must be approved by the supervisor and documented; email documentation is acceptable. Full-time faculty have a lunch period scheduled.

Employees will not be compensated for their meal breaks unless they are required to remain at their work stations while eating or are otherwise required to work during these breaks. Hourly employees must clock out and back in for all meal breaks. Under limited circumstances, such as in the case of a workplace accommodation or for employees who do not have access to a time clock, a lunch period will be automatically deducted from the employee’s pay each work day. In these situations, it is the responsibility of the employee to notify their supervisor and time keeper of any changes to the lunch period.

Supervisors are responsible for balancing workloads in scheduling meal breaks. If an employee does not clock out for lunch, no time will be deducted. Working through lunch must be approved by the supervisor.
TRAVEL, ENTERTAINMENT AND OTHER REIMBURSEMENT

The following policies and procedures are to be followed when an employee travels or incurs entertainment or other work-related expenses. The employee is to use economically sound judgment when traveling and should minimize costs.

Documentation and Purpose
For an employee to travel or to incur entertainment or other expenses, there must be a purpose which benefits the company. The employee’s supervisor must approve the travel or expense in advance. The employee must document the purpose of the expense, and each expense incurred must be supported by an itemized receipt. For meals and entertainment expenses, additional documentation listing persons attending and topics discussed is required.

There may be some expenses where receipts cannot be obtained, for example, tips. The company will reimburse actual costs for these items when they are necessary or customary, and reasonable. No expense for more than $25 will be reimbursed without a receipt.

When a company trip has been taken, an Expense Report, approved by the employee’s supervisor, must be submitted to the accounting department within ten (10) working days after the trip has been completed. All other Expense Reports and Check Requests should be submitted for approval within thirty days and no later than sixty days of the incurred expenses. A reimbursement check will be issued within the next normal check writing cycle provided all information is correct and the relevant documentation to support the expenses is included. The company will not be obligated to reimburse employees when these procedures are not followed. The Expense Report will be provided by the supervisor.

Approval of Expense Reports
All expense reports must be reviewed and approved by the employee’s immediate supervisor and campus or division director, or appropriate corporate vice president for campus and division directors.

Airline Travel
Airfare shall be for coach seating only. The cost of upgrades will be the responsibility of the employee. Flights should be booked at the best rates and as far in advance as practical.

Personal Automobile Travel
Use of an employee’s personal automobile on approved company business will be reimbursed at a rate determined by the company. Appropriate parking and toll charges will be reimbursed when a receipt is attached.
**Rental Cars**
Car rental will be allowed if other means of transportation are not available, or if it is the most economical method of transportation. All rental cars should be economical. Collision Damage or Personal Insurance which the rental companies offer should be waived. The company has a policy which covers employees and their rental cars when they are on company business.

**Hotel**
Economically sound judgment should be used in selecting lodging. Itemized hotel statements must be submitted. Credit card receipt tickets are not acceptable for reimbursement.

Reasonable laundry expenses may be reimbursed only if the trip exceeds five (5) days. One personal long-distance phone call, limited to five minutes, is allowed per day. Movies and other non-essential items charged to the hotel room will not be reimbursed. Alcohol and snack charges will not be reimbursed.

**Business Meals**
Out-of-town: All reasonable costs for employee meals incurred while traveling on company business are reimbursable.

In-town: All in-town meals must be preapproved by the employee’s supervisor. Business must be discussed immediately before, during, or after the meal. Employees may provide meals for out-of-town business associates.

The actual cost of meals and gratuity will be reimbursed, subject to a maximum of the current federal travel allowance as published at [http://www.gsa.gov/portal/category/100120](http://www.gsa.gov/portal/category/100120). No reimbursement will be given in instances in which meals are covered by conference or hotel fees.

Generally, expenses for alcoholic beverages are not eligible for reimbursement. If an employee believes such expenses are appropriate entertainment expenses in a given situation, approval must be obtained from the President or appropriate corporate Vice President. Alcohol will not be provided at the expense of SUS in the instance of meals or events that only include employees of The Sullivan University System.

**Cell Phones**
Some employees will be approved to receive an allowance to cover business-related costs of a cellular phone and/or data device. Generally, this allowance will be approved for employees whose job duties require him/her to spend a considerable amount of time outside of his/her assigned office or work area during normal working hours and have regular access to telephone and/or internet connections while outside the office; or, the employee’s job requires him/her to be accessible by phone at all times whether during or outside of schedule or normal working hours (this is not intended to include occasional, incidental access or purely voluntary access such as checking email from home). To qualify for this allowance, employees must first obtain written approval from the supervisor and campus or system department director and then from the system human resources office. Allowances will be included in the employee’s regular paycheck. Employees who are approved for and accept receipt of the allowance understand that SUS does not accept any liability for claims, charges or disputes between the employee’s service
provider and the employee. Further, the employee must notify SUS of the cell phone number, continue to maintain the cell phone or device while in receipt of the allowance, and adhere to the Safety policy in the Faculty/Staff manual.

Cash Advances
The company generally will not issue cash advances. Employees who travel should obtain a personal credit card. If submitted timely to accounting, reimbursements for approved business expenses should be received before a credit card payment is due.

If extenuating circumstances exist, a cash advance may be issued. However, there must be approval by the appropriate supervisor and accounting must have five working days’ advance notice.

The employee is liable for the full advance. Any excess advance over approved expenses must be repaid to accounting when submitting the Expense Report. Any amounts owed to the employee will be paid within the next normal check writing cycle.
**Entertainment Expense**
All entertainment expenses must be approved in advance by the campus or division director, or appropriate corporate vice president for campus and division directors

**OTHER EXPENSES**

The Sullivan University System will reimburse employees for previously approved work-related expenses. If it is necessary for an employee to utilize personal funds to cover work-related expenses, the following guidelines must be followed:

1. The expenditure must be approved in advance by the employee’s supervisor.
2. A Check Request will be provided by the supervisor upon which the employee is to complete the required information including a description of item(s) purchased and the purpose of those items.
3. If the items purchased are related to travel and related activities, the employee should utilize the Expense Report discussed previously.
4. Receipts must be reviewed and approved by the supervisor and the division or campus director and then submitted to the accounting department for payment.
It is the policy of the The Sullivan University System to provide for the voice messaging needs of its faculty and staff. The system must be used only for business purposes and protected from misuse and unauthorized access.

**Improper or Offensive Content**
Each individual is responsible for the messages he or she creates on, stores or sends through the system. The Sullivan University System voice mail system may not be used for creating, transmitting, or storing any communications which are discriminatory, harassing, derogatory, threatening or that would be deemed inappropriate.

**Privacy Issues**
Messages created or stored on the voice mail system are considered property of The Sullivan University System and are not private or confidential. Specifically, with or without notice and with or without cause, The Sullivan University System may access and inspect messages at any time.

Employees who violate this policy are subject to disciplinary action up to and including termination and possible legal action.
SICK/PERSONAL AND EMERGENCY LEAVE

Sick/Personal Leave

It is the policy of The Sullivan University System to provide full-time employees with sick/personal days to handle their medical, family illness, and personal business situations, as well as provides emergency leaves, to enable employees to handle their short-term emergency situations. Sick/personal leave allowances are available to all full-time faculty and staff who have been in the employment of The Sullivan University System a minimum of 120 calendar days beginning with the first day of full-time employment. Sick/personal leave credit of one day for each two full calendar months of service shall be credited to the employee.

All unused sick/personal days earned shall be added at the end of each fiscal year to the employee’s sick/personal leave reserve until a credit of 30 days has accumulated. Beyond these 30 days, sick/personal leave credit shall accumulate without limit at the rate of two days per calendar year.

Any time an employee has accrued more than 30 days of sick/personal leave and the accrued leave is utilized and reduced so that the reserve drops below 30 days, sick leave accrual will continue to accumulate at one day for each two months of employment beginning January 1 of the year the reserve fell below 30 days.

Accumulated sick/personal days will not be paid at the termination of employment.

Each full-time employee shall be allowed three days of emergency leave per year of employment and these days shall not accumulate from year-to-year. Each employee shall provide verbal notification followed by a signed written statement to his immediate supervisor setting forth the emergency and the number of days absent due to the emergency. Such statement with all supporting documents shall become part of the employee’s record. His supervisor may request further evidence to support the claim.

In cases where regulations in states or local jurisdictions differ from this policy, the governing regulations will apply. Information on such variances is available on the human resources website or from the system human resources office.

Emergency Leave

Emergency leave will normally be used to cover absences due to death in the employee’s immediate family. The President and the appropriate location or system department director may extend this time by taking into account prior absences, length of service, and level of employment.

Records of leave requests are the responsibility of the location or division director. Accrued leave balances are calculated and maintained in the electronic payroll system, which is accessible to all full-time employees; employees are expected to report any noted discrepancies to their location director in a timely manner.
Request for Leave Form (non-FMLA)

Vacation and Sick Time Request Form
FAMILY & MEDICAL LEAVE OF ABSENCE

In compliance with the Family and Medical Leave Act, The Sullivan University System provides up to 12 weeks of unpaid leave (measured on a rolling 12-month basis) to eligible employees 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 or 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.
- For Qualifying Exigency Leave related to the employee’s spouse, son, daughter, or parent on covered active duty in the Armed Forces (including the National Guard or Reserves), or notice of an impending call or order to such duty. Covered active duty means duty during deployment to a foreign country; for members of a reserve component, it means duty during deployment to a foreign country under a call or order to active duty pursuant to specified provisions of federal law. 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.

In addition to the reasons listed above, FMLA also includes a special leave entitlement that permits eligible employees who are the spouse, child, parent, or next-of-kin of a covered service member to take up to 26 weeks of leave during a single 12-month period to care for that covered service member. A covered service member is: (a) 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 (b) a veteran who is undergoing medical treatment, recuperation of therapy, for a serious injury or illness and who was a member of the Armed Forces (including a member of the National Guard or Reserves) at any time during the period of five years preceding the date on which the veteran undergoes that medical treatment, recuperation, or therapy.

The Sullivan University System prohibits interference with an employee’s exercise of his or her rights under the FMLA, and it prohibits retaliation against any employee who exercises his or her rights under the FMLA or who is involved with any proceeding relating to the FMLA.

Eligibility Requirements
Employees are eligible if they have worked for The Sullivan University System for at least one year, for 1,250 hours over the previous 12 months, and are currently working at a location where there are at least 50 employees within 75 miles.
Benefits and Protections
During FMLA leave, The Sullivan University System will maintain the employee’s health coverage under any group health plan on the same terms as if the employee had continued to work. Both The Sullivan University System and the employee will continue to pay your customary portions of the monthly premium. Other employee benefits can be continued if the employee makes timely payments to the human resources department. During any period in which accrued leave is substituted for unpaid leave (see Substitution of Paid Leave for Unpaid Leave section below), premiums will be deducted from an employee’s pay as is customarily done when the employee is actively at work. Once paid leave has been exhausted, or if accrued paid leave is not available, the human resources department will inform the employee of his or her premiums owed and due dates. Benefits will be terminated when an employee is thirty (30) days late on payment. Additionally, employees are obligated to repay any health insurance premiums which The Sullivan University System paid for coverage if the employee fails to return after an approved leave, unless the reason for not returning is the continuation, recurrence, or onset of a serious health condition or a serious injury or illness of a covered service member which would entitle an employee to leave under this policy, or other circumstances beyond the employee’s control.

Upon return from FMLA leave, most employees will be restored to their original or equivalent positions with equivalent pay, benefits and other employment terms. Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

All benefits that are accumulated routinely (e.g., vacation, and sick time) will continue to be earned during the leave period.

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
Employees do 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.
If you request intermittent or reduced leave status, The Sullivan University System may temporarily transfer you to another position of equivalent pay and benefits in order to better accommodate your leave and/or the needs of the position or The Sullivan University System.

In a case where two eligible spouses are working for The Sullivan University System and the leave is taken for the adoption or birth of a healthy child, or to care for a sick parent, the maximum combined leave for both spouses is 12 weeks. If leave is taken to care for an ill child, spouse or their own illness, each spouse is entitled to 12 total weeks of leave. If two spouses both work for The Sullivan University System and are eligible for 26 weeks of leave as described above, the maximum combined leave for both spouses is 26 weeks during a single 12-month period if the leave is taken for birth of the employee’s child or to care for the child after birth, for placement of a child with the employee for adoption or foster care or to care for the child after placement, to care for the employee’s parent with a serious health condition, or to care for a covered service member with a serious injury or illness.

**Substitution of Paid Leave for Unpaid Leave**

Employees will be required to substitute paid time off benefits, such as earned vacation or sick pay, if available, for the leave of absence. Using paid time off benefits does not add to the total length of the leave.

Unless vacation and sick pay benefits are available, your pay will be reduced for all full days of unpaid leave taken or for all hours of leave taken within a single day. If you are an exempt employee, reducing your pay for partial days off will not impact your exempt status under the Fair Labor Standards Act.

If an employee is receiving payments from workers compensation, a disability insurance policy, or another source during the FMLA leave, he or she may not be required to use accrued time off benefits as part of the leave. It is the responsibility of the employee to inform the corporate human resources department of any such payments.

**Employee Responsibilities**

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and must comply with the call-in procedures outlined in the Attendance and Punctuality policy. Employees should utilize the Request for Family Medical Leave form and submit it to the human resources representative at the employee’s location in order to request Family Medical Leave.

Employees must provide sufficient information for The Sullivan University System to determine if the leave may qualify for FMLA protection 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 FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.
The Sullivan University System will inform the employee if leave will be designated as FMLA-protected and the amount of leave counted against the employee’s leave entitlement. If The Sullivan University System determines that the leave is not FMLA-protected, it will notify the employee.

Before you will be permitted to return from medical leave, you will be required to present The Sullivan University System with a note from your physician indicating that you are capable of returning to work and performing the essential functions of your position with or without reasonable accommodation. Failure to provide this documentation may result in the delay or denial of your reinstatement. Where required, The Sullivan University System will make reasonable accommodation(s) for any disability you may have in accordance with applicable laws.

An employee may file a complaint with the US Department of Labor or may bring a private lawsuit against an employer.

FMLA Leave Request Form
LEAVES OF ABSENCE OTHER THAN FAMILY MEDICAL LEAVE OF ABSENCE

The following types of leave are also available:

(a) Military leave of absence – Military leaves of absence are available in accordance with the terms of the Uniformed Services Employment and Re-Employment Rights Act and other applicable laws. Employees with at least one year of service with Sullivan University System will be protected against loss of income as a result of participating in annual encampment or training duty in the U.S. Military Reserves or the National Guard. In these circumstances, The Sullivan University System will pay the difference between what an employee earns from the government for military service and what the employee would have earned as normal straight time earnings on the job. This difference will be paid for up to two weeks in a calendar year. An employee qualifying for such pay and on military leave which falls on one of The Sullivan University System’s paid holidays will receive full holiday pay from The Sullivan University System, irrespective of any military pay earned that day.

(b) Education leave of absence – Employees who desire to continue their education in preparation for added responsibilities with The Sullivan University System may be granted an education leave of absence.

When possible, requests for a leave of absence or any extension of a leave of absence should be submitted in writing to the employee’s supervisor at least 30 days prior to commencement of the leave period or extension. The supervisor will forward the request to the location or division director recommending approval or disapproval. The final decision concerning the request will be made by the location or division director in consultation with a senior vice president or executive vice president.

During the leave, compensation and other benefits will not be available (note military exception) except for insurance benefits. These benefits can be continued at the individual’s expense providing that the insurance carrier will permit such continuance. The employee is responsible for the entire medical premium while on leave. The employee should contact the payroll department for instructions on premium payments while on leave.

Employees returning from a leave of absence will be reinstated in accordance with the Uniformed Services Employment and Re-employment Rights Act and other applicable law, provided that they comply with all applicable reinstatement requirements under those laws.

If an employee fails to return to work at the conclusion of an approved leave of absence, the employee will be terminated from employment.

Jury Duty Pay
If called for jury duty, the employee should report the request to his supervisor as soon as possible. All full-time employees with documented participation on a jury, during regular working hours, will generally receive their regular base pay while on jury duty. If jury duty occurs during non-scheduled work hours, the supervisor will determine whether it is feasible for the employee to work any of their normally scheduled hours.
**RETIREMENT**

Employees are eligible for retirement at age 65. Faculty are expected to complete the current quarter in which they are teaching when they become eligible for retirement.
LONG DISTANCE AND PERSONAL PHONE CALLS

It is the policy of The Sullivan University System that personal long distance phone calls are not to be made from and charged to The Sullivan University System. When personal long distance phone calls need to be made while the employee is on site, these can be made by accessing through the switchboard a long distance operator; at that time a call can be made collect or charged to the employee’s credit card.

Authorized employees should have assigned to them a carrier code which is to be used each time an authorized long distance call is made from a Sullivan University System phone. Employees with such codes are not to share those codes with other employees.

In addition, The Sullivan University System phones are not to be used for extended or repetitive personal calls. It is the responsibility of the supervisor to ensure that The Sullivan University System phones are used primarily for Sullivan University System business and that when personal calls are needed that they are kept to a minimum in number and number of minutes.

The 800 numbers are to be used only for The Sullivan University System business.
PERSONAL PURCHASES

It is the policy of The Sullivan University System that the purchasing procedures set up for the organization will be used solely for purchasing items consumed in the operation of the organization or to be resold through the individual college bookstores or foodservice operations. The purchasing system is not to be used by individuals to purchase personal items. The intention to make payment by the individual to the seller or to reimburse The Sullivan University System does not alter this policy.
OUTSIDE EMPLOYMENT

The Sullivan University System allows its full-time employees to hold outside employment subject to certain conditions as outlined below:

a. The employee’s activities away from the job must not conflict with The Sullivan University System’s interests or adversely affect his or her job performance and ability to fulfill all responsibilities to The Sullivan University System.

b. An Employee must obtain prior written approval from his or her supervisor before undertaking any outside employment, including self employment and work activities for others in any form. Engaging in outside employment that is not approved by The Sullivan University System will subject the employee to discipline up to and including termination.

c. Employee requests for permission to accept outside employment, including self employment, must be submitted in writing to the employee’s supervisor using the Outside Employment Approval form. The supervisor will forward the request through the Location Director to the Executive Vice President or his designee recommending either approval or disapproval.

d. The Sullivan University System reserves the right to inquire of any full-time employee at any time and from time to time whether or not he or she is engaged in outside employment.
RELATING TO MEDIA REPRESENTATIVES

It is the policy of The Sullivan University System that all inquiries from media representatives be referred to The Sullivan University System office for response. A statement such as, “Give me your name and number and I will have our office that handles those requests call you back right away,” will suffice.
GIVING REFERENCES

It is the policy of The Sullivan University System to give only references of a neutral type. Only the name, address, type of work, and dates of employment for past employees can be given.
PERSONAL FINANCES OF EMPLOYEES

It is the policy of The Sullivan University System that all employees are expected to discharge their personal financial obligations promptly so that creditors will not have to ask The Sullivan University System’s assistance in collecting amounts owed to them. In the event that garnishment or similar proceedings are instituted against an employee, The Sullivan University System will deduct the required amount from the employee’s paycheck. The amount deducted from an employee’s earnings will not exceed that permitted by law.

No employee will be terminated by reason of the fact that his earnings have been subject to garnishment for one indebtedness. However, repeated garnishments for more than one indebtedness may result in discipline up to and including termination depending upon the circumstances of each case, upon the employee’s record of performance, the nature of the employee’s job, and the recommendation of the supervisor.
TERMINATION OF EMPLOYMENT

Discharge can be for any reason not prohibited by law. In the absence of a specific written agreement, employees are free to resign at any time and The Sullivan University System reserves the right to terminate employment for any reason. Further information is available in section #6 of this manual, Employment-at-Will.

Faculty and other employees employed under a written contract are expected to follow the terms for notice as stated in the contract.

All employees are requested to give written notice of their intent to resign. Failure to give written notice may result in ineligibility for re-employment. Supervisory and managerial employees are requested to give at least four weeks notice; clerical and administrative employees are expected to give at least three weeks notice. All other employees are requested to give at least two weeks notice.

Any employee who is absent from work without having notified his immediate supervisor of the absence or the reason for it will be considered as having resigned after the second consecutive day of absence.

Supervisors will forward notices of resignation or termination to the division or location director for review. Under normal circumstances, all terminations must be reviewed with SUS Human Resources or legal counsel and must be approved by the location director. Usually, the final pay for terminated employees will be available on the next regular pay date. The location director is responsible for the return by terminated employees of all The Sullivan University System properties in their possession, including but not limited to, keys, credit cards, tools and all other Sullivan University System property.

Termination and discharge procedures are only guidelines and do not constitute a legal contract between The Sullivan University System and its employees.

In addition, specified grounds for termination are not all inclusive since The Sullivan University System maintains the right to terminate employees at will.
GRIEVANCE PROCEDURE

It is the policy of The Sullivan University System that employees should have an opportunity, when appropriate and practical, to present their work related complaints and to appeal their supervisor’s decisions through a formal grievance procedure. The Sullivan University System will attempt to promptly resolve all grievances that are appropriate for handling under this policy.

An appropriate grievance is defined as an employee’s expressed feeling of dissatisfaction concerning any interpretation or application of a work related policy or decision by his supervisor, other employees, or The Sullivan University System personnel.

Employees must notify the appropriate party in a timely fashion of their grievance. As used in this policy, the terms “timely fashion,” “reasonable time,” and “promptly” will generally mean within five working days. Employees will not be penalized for proper use of the grievance procedure.

The grievance procedure has a maximum of five steps but grievances may be resolved at any step in the process. Grievances are to be fully processed until the employee is satisfied or does not file a timely appeal or until the right of the appeal is exhausted.

A decision becomes final when an employee does not file a timely appeal or when a decision is made in the final step and the right of appeal no longer exists.

Employees who feel they have an appropriate grievance should proceed as follows:

Step 1: Promptly bring the grievance in writing to the attention of the immediate supervisor. If the grievance involves the supervisor, it is permissible to proceed directly to Step 2. The supervisor is to investigate the grievance, attempt to resolve it, and give a decision to the employee within a reasonable time. The supervisor should prepare a written and dated summary of the grievance and proposed resolution for file purposes.

Step 2: If the employee is not satisfied with the supervisor’s decision, he may appeal the decision to the department head/director. Such an appeal must be made in writing in a timely fashion. The first supervisor is then to submit a similar written form providing his version of the grievance and decision. The department head/director will investigate the issues and prepare a written decision to be communicated to the individual filing the grievance. In the case where this department head/director is a division or location director, Steps 2 and 3 of this
process will be considered the same. If the grievance involves the department head/director, it is permissible to proceed directly to Step 3.

Step 3: If the employee is not satisfied with the department head/director’s decision, he may appeal the decision to his division or location director. Such an appeal must be made in writing in a timely fashion. The department head/director is then to submit a similar written form providing his version of the grievance and decision. The division or location director will investigate the issues and prepare a written decision to be communicated to the individual filing the grievance.

Step 4: If the employee is not satisfied with the Step 3 decision, he may appeal the decision in writing in a timely fashion to the Executive Vice President or his designee. The employee should submit copies of all correspondence regarding the grievance and any additional written documentation deemed relevant. The Executive Vice President will review the materials and investigate the grievance if he judges further investigation is necessary. The written decision of the Executive Vice President will be presented to the party bringing the grievance.

Step 5: If the employee is not satisfied with the Step 4 decision, he may appeal the decision in writing in a timely fashion to the President. Step 5 may be utilized only after the first four steps have been followed and a satisfactory resolution of the grievance has not been reached. The President will take the steps he deems necessary to review the grievance and will issue a final and binding decision through the supervisor to the party bringing the grievance.

Because problems are best resolved on an individual basis, the conflict resolution procedure may only be initiated by individual employees and not by groups of employees. Final decisions on individual grievances will not be precedent-setting or binding on future grievances unless they are officially stated as The Sullivan University System policy.

Information concerning an employee grievance is to be held in confidence. Employees, Supervisors, department heads, and other members of both faculty and administration are to investigate and discuss a grievance only with those individuals who have a need to know about it or who are needed to supply necessary background information.

Time spent by employees in grievance discussions with their supervisors during their normal working hours will be considered hours worked for pay purposes. Faculty members who are pursuing grievances must do so outside of their normal classroom hours and teaching assignments.

Situations involving serious misconduct can be handled more directly and in such situations, the above steps may be bypassed.

No one will be retaliated against for filing a good faith complaint under this procedure.
RESPONSIBILITIES AND POLICIES FOR FACULTY
(FULL-TIME AND ADJUNCT).

Every faculty member plays an important role as both a member of the instructional staff as well as a counselor and friend to students. It is the obligation of each instructor to:

1. Provide full information to students regarding course objectives, texts, and materials required for the courses he teaches.
2. Recognize individual differences in the classroom situation and adapt instructional techniques accordingly.
3. Be available for student consultation and participate in formal Advisor Group activities as requested.
4. Maintain accurate records of student attendance and academic achievement.
5. Assist students with study problems.
6. Refer students to appropriate staff, office or resource person for information, guidance, financial planning assistance, first-aid, placement, etc.
7. Communicate as quickly as possible with the students’ advisor, Dean or Director of Education, or Director regarding students in danger of failure.
8. Attend scheduled faculty, department, and committee meetings. These meetings may be scheduled at times before or after normal teaching or work hours.
9. Support extra-curricular activities.
10. Further professional development by keeping alert to changes within his field and by extending professional training.
11. Not engage in work outside the institution which interferes with proper fulfillment of duties.
12. Maintain formal student grade policies and records for classes taught, and issue midterm and final grade reports to the designated official within the time frame specified.
13. Be present in the classroom at least 5 minutes before and after classes. This will require arrival 10-15 minutes prior to the beginning of the school day or evening.
14. Conduct all classes for the entire scheduled period of time.
15. Complete all grade reports, i.e., incompletes, etc. within the set time limit.

16. Assure that institutional equipment and property is treated appropriately and report broken or damaged equipment to the college office immediately.

17. Enforce regulations in the student handbook and student dress guidelines.

18. Participate in graduation ceremonies as scheduled.
PROCEDURES FOR EMPLOYMENT OF FACULTY

1. Faculty members are employed on the basis of need in the instructional program of the institution. Full-time or adjunct faculty employment and continued employment also depend on either temporary or continuing needs for additional faculty. For benefit purposes, a full-time faculty employee teaches a minimum of 20 credit hours including day and evening classes during each quarter of the year and works at least 1,000 clock hours during the year of service.

2. Potential faculty members are located through the current resumes on file, through recommendations of faculty or staff, and from employment advertisements in appropriate media sources.

3. Resumes, along with college transcripts, are requested from each faculty applicant. These documents are reviewed and matched with position requirements. References from the prospective faculty member’s most recent employment will be requested. It is the responsibility of the Location Director or Academic Dean to contact these references and make appropriate notations on the prospective faculty member’s resume.

4. Interviews with prospective faculty members are arranged with the Location Director or Academic Dean. After these interviews are concluded, recommendations for employment are made to the President by the Dean and/or Location Director, which will include a description of: (a) the position, (b) the term of employment, (c) the teaching responsibility, and (d) the salary. Each recommendation must be supported by a resume, official transcript (if available) and other appropriate documents.

5. After the employment interview is complete and the new faculty member has been officially notified of his appointment to the faculty, the following steps are to be completed:

   (a) Personnel Status Report (PSR) and documentation related to the hiring process (completed employment application, resume, etc.) are forwarded to the Human Resources Representative at the campus.

   (b) The Human Resources Representative at the campus will issue a new-hire packet to the supervisor. This packet will contain, at a minimum, the following documents: The ACICS, SACS and/or State Board information sheets or other pertinent information required by certain boards; W-4 and other appropriate tax forms; Appropriate insurance forms; I-9 form to demonstrate eligibility for US employment. The supervisor should ensure timely completion of these forms and then submit them to the Human Resources representative.
(c) A signed contract. Each contract is to be signed by the faculty member and an authorized representative of The Sullivan University System (one copy goes to the Sullivan University System office, one to the Location Director or Division Head, and one to the faculty member). All faculty are employed subject to the written contract terms.

(d) A resume, official transcript(s) and any other documents required for accreditation compliance for the applicable program and campus should be completed and forwarded to the individual responsible for assuring accreditation compliance at the campus location.

The above items all become a part of the faculty member’s permanent employee file.

NOTE: If an official transcript is not immediately available, the faculty member has 30 days to secure one. Full employment and distribution of future payroll checks depend on its prompt receipt.

Reasons which may result in initial hiring prior to an official transcript being available may include: emergency replacements, out-of-country educational credentials, etc; acceptable in an emergency situation will require a copy of the transcript which must be validated with an official transcript(s) normally within a 30-day period. The preferred procedure is to have an official transcript available during the pre-employment interview.

6. The following activities, materials, and information are to be provided for each new faculty member:

(a) A syllabus for each class to be taught.

(b) Texts for each scheduled class, along with teacher’s manuals, etc.

(c) A daily schedule indicating his responsibility in teaching, faculty meetings, attendance on campus, etc.

(d) A tour of the facilities.

(e) Introduction to other faculty members.

(f) Instructions for accessing this faculty/staff manual.

(g) Lesson plan books, roll books, etc.

(h) A benefits packet (available from the Human Resources Representative at the campus) - full-time faculty only.

(i) An explanation of the program of evaluation and review. Copies of students’, Dean’s, and Director’s evaluation and an explanation of the procedures.
(j) Schedule of pay.

(k) Catalog, Student Handbook, and other appropriate documents.
1. Full-time faculty work under the terms stated in contracts which are issued by the Academic Dean with the approval of the Location Director, and final approval of The Sullivan University System’s Executive Vice President or President. The contract stipulates the amount of salary, the terms of the agreement, the time frame included and other basic information. Full-time faculty receive their salary in installments on the fifteenth and on the last day of each month.

2. Part-time faculty members are employed on the basis of a contract or appointment notification on a quarterly basis, as dictated by the needs of the institution. Continued employment is neither guaranteed nor implied. Part-time faculty are paid on either an hourly or per class basis. Part-time salaried faculty members will receive their quarterly salary in equal installments on the fifteenth and the last day of each month in the quarter taught.

3. Faculty members are expected to honor the terms of their contracts as stated and agreed to at the date of signing. Conversely, The Sullivan University System will honor all terms of the same agreement as signed and witnessed. As professional educators, faculty members realize that plans are made for and educational obligations entered into with students who attend. Any action or activity which diminishes the educational program can lead to serious educational harm to the student, which may, in turn, affect his or her ability to acquire satisfactory employment after graduation.

4. Faculty members who are under full-time contract continue to receive their regularly scheduled semi-monthly payments during school breaks. If a faculty member has given insufficient notice of resignation (as defined by contract) at the end of a quarter, he or she will not receive compensation for the break period.
FACULTY BREAKS

Faculty members are provided the normal breaks provided for students. Faculty members are expected to conform with ending and beginning class times and may not extend breaks at the expense of class time or dismiss a class earlier than the regularly scheduled class time.
USE OF LIBRARY/RESOURCE CENTER MATERIALS

The Library/Resource Center serves all students, faculty, and staff. Books, magazines, and audiovisual materials relating to the instructional programs of the institutions are obtained, catalogued, and circulated. The Librarian/Resource Center staff assist instructors in providing class visits to the library/resource center, and helps with research projects, book lists, and bibliographies. These activities should be cleared with the Librarian/Resource Center staff in advance. Arrangements for use of audio-visual materials must also be made in advance and equipment must be returned promptly.
FACULTY EVALUATION AND MERIT PAY

1. Each full and part-time faculty member is evaluated by the Dean or Director of Education or his representative at regular intervals during the academic year. The review may include the following areas: observation of classroom instruction; student evaluation of classroom instruction; evaluation of teaching materials (i.e., class objectives, syllabi, tests, handouts, etc.); self-evaluation; service to the institution other than classroom teaching; evaluation of student advising; and evaluation by colleagues.

2. Faculty evaluation by students normally takes place during the 8th or 9th week of the quarter and may take place two or more quarters during a year.

   Exceptions are made for mid-quarter class starts and for one-half quarter classes. Evaluations for such classes take place during the fourth week of classes.

   Students complete an evaluation form for each of their classes. A copy of the form used is attached.

3. The results of the students’, Dean or Director of Education’s, and Location Director’s evaluations of full-time faculty members are utilized together in determining potential merit pay raises for the year. The following value is assigned for each evaluative tool:

   Students’ Evaluation: 40%
   Dean/Director of Education: 40%
   Director’s Evaluation: 20%
   100%

   The following values are assigned for evaluative tools within the College of Pharmacy:

   Students’ Evaluation: 40%
   Department Chair: 40%
   Dean: 20%
   100%

   The total cumulative results of these three evaluations determine the amount of allocated merit raises for the next year.

   Sullivan University faculty are evaluated with a standardized instrument that measures teaching competence and, where applicable, research, scholarship, committee service, etc. The use of the form and any recommendation for salary adjustment based on the results is allowable and does not conflict with this system policy. The Sullivan University policy may be found in the Sullivan University Faculty/Staff Manual published on the university’s Intranet.
TERMINATION OF FACULTY

1. **Origin of Complaints:**
   Complaints regarding a faculty member may originate from any one of several sources. These complaints are to be directed to the Location Director or Academic Dean. The Academic Dean works in cooperation with the Location Director and may not make unilateral decisions in regard to faculty termination; termination is normally the responsibility of the Location Director.

2. Faculty members may be terminated according to the written terms and conditions of the contract, and for any of the following causes, all of which are subject to the grievance procedure outlined in Section 44 of this manual (not an all inclusive listing):
   
   (a) Poor attitude toward students.
   
   (b) Poor attitude and/or disloyalty toward the institution.
   
   (c) Incompetence or indifference in regard to teaching subject matter.
   
   (d) Irregular or poor attendance for teaching assignments.
   
   (e) Not adhering to material as outlined in the course syllabus. Failure to comply with institutional guidelines, policies and/or procedures.
   
   (f) Lack of cooperation with college administration and/or other faculty.
   
   (g) Physical incapacity which seriously diminishes the ability to teach such that the faculty member is unable to perform the essential functions of his or her job.
   
   (h) Student complaints and/or other complaints.
   
   (i) Any other act or attitude which lessens the effectiveness of the teaching-learning process at the institution.

3. All written communications in regard to the question of faculty disciplinary action and/or termination are to be signed by both the Location Director and the faculty member and kept in the faculty member’s permanent file.

4. While it may not be the fault of the faculty member, the institution reserves the right to terminate a contract if insufficient enrollment is generated to support that contract.
5. Faculty are discouraged from establishing personal relationships with students. Dating students is prohibited.

6. There is no implied automatic renewal of faculty contracts. All contracts have ending dates which presuppose the end of both parties obligations to each other.
CRITERIA FOR COURSE SYLLABI

A syllabus is to include the following:

1. Title including the class number, name, and credit hours.

2. A brief, general description of the class, not to exceed one paragraph.

3. A listing of specific student achievement goals sought in the class, avoiding generalities such as “creating an awareness.” The goals should be measurable and, therefore, need to be carefully thought out as to how they are stated.

4. A statement of the organization of the class. This is a “roadmap” to the course and should describe how the goals will be reached. It may be organized topically, chronologically, or by a combination of these methods.

5. The method of evaluating how the class objectives will be measured is contained in the individual instructor’s class outlines. This includes information concerning the kinds and frequency of tests and other evaluative devices.
DEFINITIONS OF LETTER GRADES

1. A student who earns an “A” grade is one who in most instances:
   
a. Demonstrates outstanding scholarship and understanding of the designated subject area. Demonstrates achievement of specific knowledge and skills.

b. Evidences an understanding and appreciation of the fundamental concepts of the subject area.

c. Goes beyond the goals established for the class in achievement and contribution. Independently applies knowledge and skills to new situations. Does assignments thoroughly and accurately.

d. Achieves well-rounded growth in relation to the goals established.

e. Frequently demonstrates originality and initiative. Gives leadership in class activities.

f. Expresses himself clearly and effectively.

g. Evidences unique perception and depth of study in the field.

2. A student who earns a “B” grade is one who in most instances:

   a. Demonstrates above-average scholarship and achievement in the designated subject area. Is above average in mastery of specific knowledge and skills.

   b. Does his assignments less thoroughly and accurately than the “A” student but with above-average quality. Occasionally contributes creatively. Usually applies knowledge and skills independently.

   c. Shows some leadership in class activities. Demonstrates some originality.

   d. Usually expresses himself clearly and effectively.

   e. Is capable of advance work in the field.

3. A student who earns a “C” grade is one who in most instances:
a. Demonstrates average scholarship and achievement in the designated subject area (in comparison to the total college population).

b. Is responsible and participates in class activities. Evidences normal growth in relation to his capabilities and skills.

c. With help, applies knowledge and skills to new situations.

d. Frequently requires individual direction and supervision in order to complete his work.

e. Achieves subject matter sufficient to enable him to proceed to advanced work in the subject, but is not capable of extensive advanced work.

4. A student who earns a “D” grade is one who in most instances:

a. Is below average in mastery of the knowledge and skills established by the course of study.

b. Seldom completes an undertaking without teacher direction and encouragement.

c. Seldom applies knowledge and skills to new situations.

d. Evidences little growth other than that developed through class association. Rarely demonstrates originality and initiative.

e. Has difficulty expressing himself adequately.

f. Generally fails to make up the work he has missed if absent.

g. Is likely to be unsuccessful in advanced work in the field.

5. A student who earns an “F” grade is one who in most instances:

a. Does not fulfill the course requirements as established by the course of study.

b. Infrequently completes assignments and generally fails to make up work he has missed if absent.

c. Does not or cannot apply knowledge and skills to new situations.

d. Rejects teacher assistance and leadership. Does not demonstrate originality and initiative.

e. Generally does not take part in class activities.

f. Does not express himself adequately.
g. Is not capable of advanced work in the field without extensive remedial work.

h. Has excessive absences exceeding the total allowed in the student handbook and is dropped by the instructor.

i. Fails to attend “Plus Friday” help opportunities.
GRADE ASSESSMENTS ON WITHDRAWALS

1. **W Grade** – Is given to all students who withdraw during the first seven weeks of the quarter. Work may be either passing or failing. A “W” grade is not calculated in the cumulative grade point average.

2. **WF Grades** – A “WF” grade is given to a student who withdraws after the seventh week of the quarter. Work may be either passing or failing. WF grades are calculated in the grade-point average and carry no quality points.

3. In order to accurately determine a student withdrawal and to be sure it is officially noted, faculty are to work closely with the administration to be sure each student withdrawal (either official or unofficial) is properly indicated and reported and that a “W” or “WF” is only assigned upon official notice from the proper administration official; otherwise, an “F” grade will be issued. Last dates of attendance must be noted in grade books and on withdrawal notices.

It is the responsibility of each faculty member to obtain, and conversely for the administration to properly pursue and verify, the student’s withdrawal status for proper recording and grade assignment.
Any employee may recommend a change in policy to his supervisor. Likewise matters of importance not covered by the manual should be brought to the attention of his supervisor, or by completing the “Deficiency of Policy Solution/Recommendations” form.
SOLUTION/RECOMMENDATIONS

Name: ___________________________ Location: ___________________________

1. The following situation is the result of a deficiency in policy:
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________

2. There (is/is not) an existing policy. (Attach a copy of existing policy if applicable.)

3. The policy should cover or be changed to cover these key points:
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________

4. A policy or a change in policy will accomplish these results:
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________

5. Recommended action:
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________
   _________________________________________________________________

Send completed form to:
  Melissa Lowe
  Director of Human Resources
  The Sullivan University System
  P.O. Box 33-308
  Louisville, KY 40232
SAFETY

Safety is to be given serious consideration in planning and performing all Sullivan University System activities.

All injuries occurring in the workplace, or in the course of performing a work assignment, should be reported to your manager immediately and an incident form completed. Anything that needs repair may be a safety hazard and should also be reported. Below are some general safety rules. Your supervisor or department head may post additional safety procedures in your department or work areas:

1. Avoid overloading electrical outlets.
2. Use flammable items, such as cleaning fluids, with caution.
3. Report to your manager if you or a co-worker become ill or are injured.
4. Smoke only in designated outside smoking areas.
5. Ask for assistance when lifting heavy objects or moving heavy furniture.
6. Keep cabinet doors, file and desk drawers closed when not in use.
7. Wear or use appropriate safety equipment as required in your work.
8. Start work on any machine only after safety procedures and requirements have been explained (and you understand them).
9. Wear appropriate personal protective equipment in designated areas or when working on an assignment which requires their use.
10. Keep your work area clean and orderly and the aisles clear.
11. Stack materials only to safe heights.
12. Watch out for the safety of fellow employees.

Driving

Specific rules pertain to employees who drive company-owned vehicles and/or are required to drive in the course of performing the functions of the job. All such employees must maintain a valid driver’s license and satisfactory driving record at all times. Employees operating personal vehicles in the course of their employment must also maintain personal automobile insurance.

The Sullivan University System will run a driving record check on employees driving on behalf of SUS upon hire, and periodically thereafter. In addition, all employees who regularly operate a company-owned vehicle and/or or whose position requires driving a personal automobile two or more days per week on company business, will be required to participate in defensive driving training.
Employees who operate company vehicles and/or drive on behalf of SUS, must adhere to the following safety rules:

1. Cellular telephones and similar electronic devices are not to be used while operating automobiles.
2. All passengers in the automobile must wear a seatbelt at all times the vehicle is in operation.
3. The use of alcohol or illicit drugs prior to or during operation of the vehicle is prohibited.
4. The use of radar detectors or similar equipment is prohibited.
5. No hitchhikers are allowed in company vehicles or while driving on company business.
6. All traffic laws and regulations are to be adhered to. Employees must notify the company of any citations received while operating a company vehicle and is personally responsible for fines and costs associated with such citations.
7. Company owned or leased vehicles must not be used for towing of other vehicles, trailers, or any other equipment or vehicle for personal use; personnel towing equipment or trailers for business purposes are responsible for ensuring appropriate safety precautions and towing limitations of the vehicle are observed.
8. Only authorized employees of SUS are permitted to drive company-owned vehicles. Use of such vehicles by other persons must be approved by management and, in all instances, must be at least twenty-one years of age.

Failure to adhere to these and other rules relating to safety will be considered serious infractions and could result in disciplinary action, up to and including termination.
USE OF COMPUTER SOFTWARE, ELECTRONIC MAIL AND INTERNET

It is the policy of The Sullivan University System to provide for the work related computing needs of its faculty and staff. The systems, machines and networks used to this end must be used primarily for business purposes and protected from misuse and unauthorized access.

Software

Copyright Issues: The Sullivan University System legally licenses the use of software from many vendors and developers. It does not own the related software or documentation. Unless specifically authorized in writing from the vendor or developer, no one has a right to copy this software or documentation. According to US copyright law, illegal reproduction of software can result in civil damages of as much as $100,000 and criminal penalties including fines and imprisonment.

Downloading and Installation Issues: To prevent The Sullivan University System’s information network from being compromised in any way, the unauthorized downloading and installation of software is prohibited. All software that is to be installed and used for any function or application must have proof of legitimate purchase and licensing where necessary. Software must be approved and installed by authorized personnel.

Hardware

SUS Provided Equipment: The Sullivan University System will make every attempt, where possible, to provide appropriate information processing equipment to its staff and faculty. The equipment provided is the property of SUS and consists of, but is not limited to, any appliance used for electronically obtaining and distributing information. This policy also encompasses all classroom equipment used for instruction. Tampering with, removing or modifying any equipment without previous authorized consent will lead to disciplinary action. Exceptions to this policy exist only if the equipment is used for the instruction of configuring and maintenance of such equipment and is supervised by an authorized individual.

Personal Equipment used on SUS Property: Should an employee decide to employ their personal computer equipment or hardware within the realm of any of the SUS locations, he does so at his own risk. The company is not responsible for any damage, loss or maintenance of such equipment.

Network Connectivity

The Sullivan University System provides network connectivity to informational sources both internal and external to the company. These networks are the direct property or are leased through SUS and are for business purposes only. These networks include, but are not limited to, both wired and wireless connectivity and can carry but are not limited to, data, voice and video
information. Where appropriate, employee connectivity to these networks is provided using hardware and software provided by SUS.

If an employee uses personal hardware that is not the property of SUS (i.e. a personal computer or hand held device), it must conform to the SUS standards and have proper authorization prior to making a connection to the SUS network. SUS will provide appropriate protective and communication software for a secure connection, but will not be liable for any damage or maintenance this may cause the connecting device. If any personal device is found connected to the network without proper authorization or connection, the owner will be asked to remove said device.

Electronic Messaging and Communications
Electronic messaging consists of but is not limited to: E-Mail, Voice-Mail, Chat, texting, instant messaging, and faxing. All messaging systems and the information that is transmitted and stored within them that are supplied by The Sullivan University System are property of SUS. Electronic messaging is to be used primarily for business purposes and not for an employee’s personal interests or personal business.

All members of the staff and faculty and all students are supplied company E-mail addresses and access to the system. This is the official and exclusive means of electronic communication within the company. Because only company account generated E-mail messages can be internally verified as being sent and/or received, it is the responsibility of each faculty and staff member and each student to check his/her company E-mail messages on a regular basis. Receipt of a message in a company E-mail account is considered notice of its contents. Failure to read any message received in a company E-mail account without a valid excuse will not excuse ignorance of or non-compliance with its contents.

SUS emails are expected to maintain a professional appearance with respect to color, font, and content. As such, only the employee’s name, job title, and contact information should appear in the email signature; quotes and taglines are not appropriate to include in SUS email communications. A legal disclaimer, provided by the corporate human resources office, may be included in the email signature. Likewise, a standard white email background should be used, as opposed to a background color or graphics.

All electronic correspondence by, between and among staff, faculty and students relating to the company’s business must be conducted using the company’s E-Mail system and not any third party E-mail account, including but not limited to:

- A faculty member must use both the faculty member’s and the student’s SUS E-mail accounts. A student must use both the faculty member’s and the student’s SUS E-mail accounts, as well.
- Electronic communications related to online learning conducted on the Angel Learning Management System must be conducted through the faculty member’s and the student’s SUS E-mail accounts, to ensure that tracking and retention policies and practices are consistent.

Generally, email accounts will be immediately deactivated upon separation of employment. In the instance of adjunct faculty, accounts will be automatically deactivated in the second consecutive quarter in which the faculty member is not actively teaching, unless campus leadership or SUS determine an earlier deactivation date is appropriate. If it is determined to be
advantageous to extend email access beyond this time for an adjunct instructor, the senior academic leader or campus director may submit a written request for consideration to the system human resources office.

**Internet**

Access to the Internet has been provided to employees for the benefit of SUS and its employees and students. Therefore, every employee has a responsibility to maintain the image of SUS and to use the Internet in a productive and useful manner.

Employees who use connectivity provided by SUS to access the Internet consent to having their Internet transmissions and retrievals accessed and monitored by the company. Internet searches, transmissions, and retrievals should be business-related.

Personal use of the Internet is not permitted during an employee’s workshift. Similarly, no sexually oriented information or images may be sent, displayed, or received. The Internet should not be used for personal gain, such as soliciting or operating a non-company business. Use of the Internet must not interfere with the SUS network or the work of others.

The SUS provided Internet connection is not to be used for personal entertainment. The viewing and/or downloading of movies, downloading and listening to music, and accessing and using other peer-to-peer Internet sites can have an adverse effect on the available Internet bandwidth. Bandwidth usage is monitored by the IT Services group on an ongoing basis.

**Social Media**

The Sullivan University System recognizes that social media can be an effective tool for exchanging information and raising the visibility of SUS. The rise of social media enables the university to share with the world what is happening on campus, but more importantly lets us hear directly and immediately from students, faculty, staff, parents, fans and friends about what is important to them.

For the purposes of this policy, social media means any facility for online publication and commentary, including without limitation:
- Social networking sites (e.g. Facebook, LinkedIn, Foursquare),
- Micro-blogging sites (e.g. Twitter),
- Video and photo sharing websites (e.g. Flickr, YouTube),
- Blogs and wiki's (e.g. Wikipedia),
- RSS feeds, and
- Forums and discussion boards.

This policy is applied to the Sullivan University System Social Media materials, communications or sites on the SUS Intranet, global Internet and World Wide Web (Web) that are funded by, produced on behalf of, directly associated with, or officially representative of SUS, its programs, services and/or employees.

Each individual is personally and solely responsible for the content he or she publishes on social media. Social media publication or commentary, whether deliberate professional engagement or casual conversation, carries similar obligations to any other type of publication or commentary.
Any conduct by members of the SUS community that is considered illegal or in violation of organizational policy in the real world (i.e. offline) is also illegal or in violation of the policy when it occurs online.

Although members of the SUS community are entitled to express personal opinions, they also have responsibilities to not violate company policies and to not affect operations negatively. Social media can significantly impact personal, professional and organizational reputations. For these reasons, members of the SUS community who use social media should follow the best practices provided in this policy.

Use of Social Media at Work
Work-related use of social media by members of the SUS community (including student workers) includes activities that:

- Involve maintenance of an official, SUS-authorized social media presence as a required part of the individual’s regular job duties; or
- Directly support an individual’s SUS-related work goals (e.g. seeking sources for information).

Acceptable use of social networking during office hours is defined as the positive promotion of the Sullivan University System, its programs, faculty, staff and students and/or services by communicating with prospects, clients and/or those professionals within your field. If there is no value-added to SUS, no Return on Investment (ROI) or Return on Objectives (ROO), then your networking time should be conducted on your personal time. All other uses of social media are considered personal use. Personal use of social media may occur only during personal time and in strict compliance with governing laws and policies.

Institutional Use
SUS maintains an official presence on several social media platforms (e.g. Facebook). These accounts are considered to be extensions of the SUS website and are managed by Sullivan University System’s Creative Communication department.

A unit (i.e. a division, department, office, or other entity or individual directly associated with or under the authority of the University) may establish a separate social media presence only with proper authorization from the unit supervisor and from the Director of Creative Communications. The Creative Communication department maintains the listing of social media accounts used to officially represent the University and its various units.

Before establishing a separate social media presence for a business unit, the supervisor and Director of Creative Communication must first evaluate whether the unit would be better served by working with the Creative Communication Department to utilize the organization’s primary social media presence. Important considerations include the purpose and goals for using a separate social media presence, the targeted audience, available resources and the content to be shared.

By creating its own social media presence, a unit must be prepared to take on the responsibilities of managing it, monitoring it, and keeping it updated.
Each social media presence established for official purposes must:

- Receive prior authorization from the appropriate supervisor(s) and from Director of Creative Communications;
- Be included on the official social media listing maintained by the Creative Communications department;
- Be associated with a SUS email address that is monitored regularly;
- Use only official SUS logos/images for profile photographs;
- Follow appropriate naming conventions that clearly identify the relationship to SUS;
- Note in the profile or bio that it is an official presence of the unit;
- Include as much SUS contact/profile information as possible (address, phone number, fax, etc.);
- Have privacy settings set as open as possible yet still within the social rules of the community;
- Be used to positively support SUS and its mission;
- Be monitored by at least one faculty or staff member who will regularly monitor the site, identify any problems and take action when necessary; and
- Be accessible at all times to a supervisor who, for management and emergency purposes, must retain related login/ID information and passwords. All passwords/login information must be current and sent to the Director of Creative Communications.

Those authorized to use social media for official purposes agree to follow the best practices provided in this policy and to adhere to the following guidelines:

- Post only content that is accurate, legal, and in compliance with SUS policies.
- Post only content that is provided and/or approved by authorized SUS faculty or staff members.
- Correct errors immediately and note corrections within the original post.
- When appropriate, reply to questions and comments or forward them to appropriate staff or faculty members in a timely manner.
- Do not allow any other individual to use your identification for posting or viewing comments.
- Delete posts or comments that clearly violate SUS comment guidelines.

All posts or comments made on official SUS social media accounts are subject to review, editing, and removal by SUS. The viewpoints, opinions, and actions expressed in comments are those of the individuals themselves and may not reflect SUS policies or positions. Links to external websites or external content does not imply SUS endorsement.

To ensure social media exchanges are informative, respectful, and lawful, SUS does not allow content or links to content that is:

- Illegal. Laws that govern use of privacy, copyrights, trade secrets, etc., will be followed.
- Disrespectful. Comments that include personal attacks, profanity, racist, sexist, threatening, hateful, derogatory, or vulgar content will be removed.
- Off-topic. Unrelated or irrelevant comments or those promoting or selling a product or service will be removed.

Employees are prohibited from social media activity, whether it be for personal or professional use, that includes posts or comments about coworkers or supervisors or the organization that are
vulgar, obscene, threatening, intimidating, harassing, or a violation of SUS policies against discrimination, harassment, or hostility on account of age, race, religion, sex, ethnicity, nationality, disability, or other protected class, status or characteristic. Any such violations by students are also subject to disciplinary action and will be managed in accordance with policies and procedures outlined in the Student Handbook.

**Violations**

SUS owns the computer technology and the information transmitted and stored within the system. Employees are prohibited from using e-mail, electronic messaging, the Internet, or other parts of the employer’s system to transmit confidential or privileged information or trade secrets outside of SUS without prior written permission. Employees have no expectation of privacy or confidentiality in any of their messages or Internet activities which may be monitored and are subject to inspection at any time.

Offensive or vulgar electronic messages such as messages that contain harassing comments are strictly prohibited, in conformity with the existing SUS policies against harassment and discrimination.

Employees may not attempt to use passwords or otherwise gain access to any SUS computer account, coworkers’ e-mail, electronic messages or computer files without prior authorization.

Any employee who abuses the privilege of SUS-facilitated access to electronic messaging, the Internet or any of the above stated policies will be subject to corrective action up to and including termination. If necessary, SUS reserves the right to advise appropriate officials of any legal violations.
OWNERSHIP OF INTELLECTUAL PROPERTY

Intellectual property usually refers to creations of the mind, such as literary works; artistic works; designs; inventions; as well as symbols, names and images used in commerce. Under the Copyright Act of 1976, “a work prepared by an employee within the scope of his or her employment” is considered to be a “work made for hire.” Examples of a work made for hire include courses and instructional material that you develop for The Sullivan University System.

Under the Copyright Act, all works made for hire are considered to be authored by The Sullivan University System. Accordingly, The Sullivan University System owns all rights in those works. Without The Sullivan University System’s written permission, you may not use any work belonging to The Sullivan University System for your own personal benefit, for the benefit of any subsequent employer, or for the benefit of any other person or entity. Violations of The Sullivan University System’s copyrights may subject you to criminal and civil liability.
COMPANY PROPERTY

An employee is expected to exercise care in his or her use of company property and to use such property only for authorized purposes. Negligence in the care and use of company property may be cause for disciplinary action including up to and including suspension and/or dismissal. Unauthorized removal of company property from the premises or its conversion to personal use will be considered cause for suspension and/or dismissal, and may result in criminal charges.

Company property issued to an employee must be returned at the time the employee terminates employment or when the employee’s department head or his or her designated representative requests its return. The company assumes no responsibility for loss or damage to the personal property of an employee.
FACULTY RESPONSIBILITY AND AUTHORITY IN ACADEMIC AND GOVERNANCE MATTERS

Faculty members do not participate in or have any responsibility for and authority over governance matters of The Sullivan University System. In Section I, The Sullivan University System’s History and Philosophy of the Faculty/Staff Handbook states:

“The Sullivan University System (SUS) is governed by its Board of Directors and the day-to-day operations are the responsibility of the Executive Officers.”

Governance of the system is given to the Board of Directors with day to day operational responsibility and authority given to the Executive Officers.

Academic deans, program directors and department chairs of Sullivan University participate as members of the Academic Council and participate in limited committees such as the Curriculum Committee. Academic directors and department chairs of all other SUS Institutions are also actively engaged in the development and review of curriculum and other academic matters. Faculty at all SUS schools are also presented with the option to become involved in many committees which significantly impact the academic institutions of the system, such as academic councils, curriculum committees, faculty retreat committee, and so forth. Faculty, in concert with administrators, have primary responsibility for the content and quality of curriculum in their respective disciplines.
ACADEMIC FREEDOM

The schools within The Sullivan University System are primarily teaching institutions and normally do not expect faculty to conduct research. However, research is emphasized for graduate programs and faculty. This policy shall apply to all manners of academic freedom, whether instructional or scholarly. The Sullivan University System used as a model for its academic freedom policy a portion of a statement made by the American Association of University Professors (AAUP).

The Sullivan University System believes academic freedom is fundamental within the academy and as such, carries with it duties correlative with rights.

ACADEMIC FREEDOM

a. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.

b. College and university teachers are citizens and members of a learned profession. When they speak, write or publish original research as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educators, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution unless authorized to do so.

If you, as a faculty member of a Sullivan University System institution, have a grievance regarding your academic freedom, please utilize the official Grievance Procedure found in section 44 of the current SUS Faculty Staff Manual.
CONFLICT OF INTEREST

Board of Directors members and employees of The Sullivan University System shall make every reasonable effort to avoid a conflict of interest. Even an appearance of conflict of interest should also be avoided. Conflict of interest (or the appearance thereof) is when a reasonable person will conclude from the circumstances of an action by the Board of Directors or employee that the interests of The Sullivan University System are compromised by personal interest. Board of Directors and employees should avoid actual or apparent conflict of interest between The Sullivan University System obligations and outside activities.
FREEDOM FROM UNDUE INFLUENCE

The governing, policy making, and control of The Sullivan University System are vested exclusively in the Board of Directors. The Board of Directors possesses such other authority as is granted by the “Responsibilities of the Board of Directors of Sullivan University System.” The Board of Directors is unalterably opposed to undue influence or domination of any kind or character in the affairs of any institution in The Sullivan University System.
FERPA for Sullivan University System Employees

What is FERPA?

The Family Educational Rights and Privacy Act of 1974 (FERPA) affords students certain rights concerning their student educational records. Students have the right to have some control over the disclosure of information from the records. Educational institutions have the responsibility to prevent improper disclosure of personally identifiable information from the records.

Student and Parent Rights Relating to Educational Records

Students have a right to know about the purposes, content, and location of information kept as part of their educational records.

Students have the right to gain access to and challenge the content of their educational records. FERPA was not intended to provide a process to be used to question substantive judgments that are correctly recorded. The rights of challenge are not intended to allow students to contest, for example, a grade in a course because they felt a higher grade should have been assigned.

No one will have access to nor will the University disclose any information from a student educational record without the written consent of the student with the following exceptions: institution personnel, officials of other institutions in which the student is seeking enrollment; persons or organizations providing the student financial aid; accrediting agencies carrying out their functions; authorized representatives of the federal and state governments for audit and evaluation of federal and state programs; persons in compliance with a judicial order; and to persons protecting the health and safety of students and other persons during an emergency. All of the exceptions are permitted under the Act.

Directory Information

At its discretion, The Sullivan University System may provide directory information in accordance with the provisions of FERPA. Students may withhold this information by notifying the Registrar in writing within two weeks after the first day of class each quarter. Requests for nondisclosure and authorization to withhold directory information must be filed annually with the Registrar.

Directory information includes:

- Name
- Address
- Degrees and awards received
- Previous educational agency or institution attended
• Telephone number
• Date and place of birth
• Major field of study
• Participation in officially recognized activities and sports
• Weight and height of members of athletic teams
• Dates of attendance

**Responsibilities as a Faculty or Staff Member**

As an employee of The Sullivan University System, you may be authorized to have access to student records. The confidentiality, use and release of student records are governed by FERPA. Your utilization of this information also depends on the nature of the duties and responsibilities associated with your position. In general, all student information must be treated as confidential. Even public or directory information is subject to restriction on an individual basis. Unless your job involves release of information and you have been trained in that function, any requests for disclosure of information, especially outside the University should be referred to the Registrar’s Office.

Other than directory information, no other information about a student may be released without written consent of the student. Such items as grades, test scores, social security numbers, gender, ethnic background, and class schedules may never be released to anyone other than the student. This includes parents or guardians. In no case should a student’s information be released by phone.

**Special “Don’ts” for Faculty**

To avoid violations of FERPA, do not:

• Use the entire social security number of a student in a public posting of grades
• Ever link the name of a student with his/her social security number in any public manner
• Leave graded tests in a stack for students to pick up by sorting through the papers of all students
• Circulated a printed class list with student name and social security number or grades as an attendance roster
• Discuss the progress of any student with anyone other than the student without the consent of the student
• Provide anyone with lists of students enrolled in your classes for any commercial purpose
• Provide anyone with student schedules or assist anyone other than university employees in finding a student on campus

This document is not all inclusive of the entire 34 CFR Part 99. Contact the human resources department for a copy of this regulation in its entirety.
Sullivan University College of Pharmacy
Faculty/Staff Manual Addendum

College of Pharmacy Vision Statement
The Vision of the Sullivan University College of Pharmacy is to establish an institution that is committed to the principles of:
- Excellence in Education
- Service to the Community, and
- Quality Care for the People in the Commonwealth of Kentucky

College of Pharmacy Value Statement
The Sullivan University College of Pharmacy values:
- The worth and dignity of every human being
- The importance of physical health as it relates to the health of the entire person
- Dedication to provide quality service
- Honesty and Integrity in all activities
- Excellence in research and patient care

College of Pharmacy Mission Statement
The Mission of Sullivan University’s College of Pharmacy is to prepare General Practitioners and Clinical Scientists who will be able to:
- Provide outstanding, ethical, and empathetic pharmacy care
- Serve the health care needs of the community, a diverse population, and the individual patient
- Expand the scope of practice of pharmacy in community settings, hospitals, managed care facilities, and government agencies
- Be compassionate patient advocates and leaders in their communities, professional associations, and scholarly research through:
  - Student-centered pedagogical experiences enriched with services and professional extra-curricular activities
  - Cutting edge education with highly qualified faculty in a modern facility
  - Symbiotic and synergistic inter-professional collaboration in education, practice and research
  - Strong commitment to life-long education and participation in professional associations
  - Proficiency in technology and pharmacy informatics
  - Communication with and understanding of diversity and those from other cultures

College of Pharmacy Faculty Promotion Guidelines
I. Promotion Procedures
a. Sullivan University is a non-tenure institution. Each faculty member, after five years of service, may be considered for promotion to the next academic rank.
b. The application can be initiated during the last quarter prior to the eligible year.
Promotion to the next rank is solely based on merit and accomplishment; seniority will not be considered in the decision process.

c. The promotion process can be initiated by the respective Department Chair or it can be initiated by the faculty member to the respective Department Chair. The Department Chair will review the application for promotion and forward it to the Dean who will then review the application and initiate (if appropriate) the formation of a promotion review committee (the respective Department Chair will not serve on the committee; he/she will serve as a conduit to facilitate the transfer of necessary documents relevant to the promotion review process or by exception…see Section II.c.).

d. The promotion review committee will make their recommendation regarding the promotion to the Dean, who will make the decision regarding the promotion request.

e. Should the faculty member believe the decision was not justified, he/she can:
   i. file an appeal to the University’s Executive Vice President/CEO within five working days after receiving the result (in writing) from the Dean. The Executive VP/CEO will investigate the facts of the case and will respond in writing to the faculty member within 10 working days. Should the faculty member still believe the decision is not justified, he/she can
   ii. file an appeal to the Sullivan University System Executive Vice President within five working days of receipt of the written decision of the Executive VP/CEO. The System Executive VP will investigate the facts of the case and will respond in writing within 10 working days. Should the faculty member still believe the decision is not justified, he/she can
   iii. file an appeal to the Sullivan University System President within five working days of receipt of the written decision of the System Executive VP. The System President will investigate the facts of the case and will respond in writing within 10 working days. The decision of the President is final.

f. All material submitted to the promotion review committee should be substantiated with appropriate documentation such as published articles, letters of acknowledgement, and the like. The faculty member should also submit their portfolio of accomplishments accumulated since employment with the College.

g. All votes taken during the promotion review process will be by secret ballot and will require a majority vote to finalize the decision.

II. Composition of Promotion Review Committee
a. The promotion review committee will be composed of five members, two from the faculty member’s respective department, two members from the other departments and the Vice President of Academic Affairs of the University.
b. The respective Department Chair will select members of the promotion review committee. The voting process will be by secret ballot. Department chairs will not serve on promotion committees. No voting members will hold an academic rank lower than the rank being reviewed for the applicant.

c. In cases where there are not sufficient senior faculty to serve on the committee, Department Chairs will be allowed to serve on the promotion committee.

III. **Criteria for Promotion**

The criteria which will be taken into consideration for promotion as part of the faculty portfolio include:

a. **Teaching performance**
   - a. Defined by the quantity and the quality of teaching
   - b. Innovation in teaching and assessment
   - c. Improvement in teaching techniques and teaching skills
   - d. Self-assessment

b. **Scholarly activities and professional involvement**
   - a. Presentations at local, regional and/or national/international professional meetings/conferences
   - b. Publication in peer-reviewed journals
   - c. Workshop presentations at local, regional and/or national/international professional meetings/conferences
   - d. Professional consultations, professional involvement
   - e. Original research
   - f. Grant funding
   - g. Book reviews, publication
   - h. Officer or chair of professional associations

c. **Service to the College, the University, and the Community**
   - a. Participation in College and University activities
   - b. Participation in community service

d. **Clinical performance – for Pharmacy practice faculty**
   - a. Develop a model practice site
   - b. Serve as a role model for students
   - c. Promote and expand the profession
   - d. Be a team player among peers

IV. **Weighting of Criteria** (based on the amount of time involved)

A. **Basic Science faculty**

1. Teaching 65%
2. Scholarly activities and Professional involvement 25%
3. Service to the College, the University, and the Community 10%

B. **Clinical and Administrative Science faculty**

1. Teaching (didactic and experiential) 45%
2. Clinical performance 35%
3. Scholarly activities and Professional involvement 10%
4. Service to the College, the University, and the Community 10%

C. Clinical faculty
   1. Clinical performance 65%
   2. Teaching (didactic and experiential) 25%
   3. Scholarly activities and Professional involvement 5%
   4. Service to the College, the University, and the Community 5%

V. Minimum qualifications for full time faculty
   a. Instructor in Pharmacy
      Does not hold a terminal degree in the field or is working toward completion of the terminal degree. Based on the criteria noted above, has the potential to become a good academician for the College.

   b. Assistant Professor
      Holds a terminal degree (or is nearing completion of the terminal degree) within his/her field of expertise. Based on the criteria noted above, demonstrates the potential to become a good academician for the College.

   c. Associate Professor
      Holds a terminal degree in it the field of expertise. Based on the criteria noted above, has demonstrated the potential to become a good academician for the College.

   d. Professor
      Holds the terminal degree in the field of expertise. Based on the criteria noted above has demonstrated the potential to become a good academician for the College. Receives recognition from peers regarding her/his accomplishments. Has a sustained record of achievement in all criteria for promotion.

VI. Minimum qualifications for clinical faculty
The clinical faculty members are not Sullivan University College of Pharmacy employees; however, they participate in the teaching and precepting of Sullivan University College of Pharmacy students.

   a. Clinical Instructor
      Does not hold a terminal degree in the field or is working toward completion of the terminal degree. Based on the criteria noted above, has the potential to become a good academician for the College.

   b. Clinical Assistant Professor
      Holds a terminal degree (or is nearing completion of the terminal degree) within his/her field of expertise. Based on the criteria noted above, demonstrates the potential to become a good academician for the College.

   c. Clinical Associate Professor
Holds a terminal degree in the field of expertise. Based on the criteria noted above, has demonstrated the potential to become a good academician for the College.

d. **Clinical Professor**

Holds the terminal degree in the field of expertise. Based on the criteria noted above has demonstrated the potential to become a good academician for the College.

Receives recognition from peers regarding her/his accomplishments. Has a sustained record of achievement in all criteria for promotion.

---

**College of Pharmacy Vacation Policy**

It is the policy of The Sullivan University System to provide for paid vacations for full-time employees. Employees are encouraged to use their vacation annually. The following policy is specific to the College of Pharmacy and does not apply to other schools or divisions of the system.

Vacation for all full-time non-teaching employees of the College of Pharmacy will be governed by The Sullivan University System policy as outlined in Section 21 of the Faculty/Staff manual.

All full-time teaching administrators in the College of Pharmacy will receive vacation at a rate equal to four weeks per year. Teaching administrators are considered to be those individuals whose job descriptions require teaching at and, therefore, the employee cannot easily be classified as faculty or staff. In the first year of employment four weeks of vacation will be credited to the employee on the first day of employment. If the employee’s employment terminates before the end of the first year the employee will not be paid for unused vacation time. In subsequent years four weeks of vacation will be credited to the employee on the anniversary of the first day of employment. Unused vacation may not be carried forward into the next anniversary year. The maximum vacation balance a full-time faculty employee can accumulate is four weeks or 160 hours. Employees of the College of Pharmacy who teach within The Sullivan University System as an adjunct faculty member and not within the course of their full-time employment do not fall into this classification.

Full-time faculty employees of the College of Pharmacy will receive vacation at a rate equal to six weeks per year. In the first year of employment six weeks of vacation will be credited to the employee on the first day of employment. If the employee’s employment terminates before the end of the first year the employee will not be paid for unused vacation time. In subsequent years six weeks of vacation will be credited to the employee on the anniversary of the first day of employment. Unused vacation may not be carried forward into the next anniversary year. The maximum vacation balance a full-time faculty employee can accumulate is six weeks or 240 hours.

During the year in which employment of a full-time faculty employee or full-time teaching administrator terminates, vacation earned will be prorated based upon hours worked during the year of termination at the rate of twenty hours per month for full-time faculty and 13.33 hours per month for full-time teaching administrators. For example, if a teaching administrator’s anniversary date is January 1 and employment terminates on March 31, with no leaves of
absence, then s/he will be considered to have earned one week (40 hours) of vacation. If an employee has taken vacation exceeding that which has been earned prior to termination, the Company may require the employee to agree in writing to reimburse the company for unearned leave taken and authorize the amount to be deducted from the employee’s final compensation. If an employee has taken less vacation than has been earned, s/he will be compensated for the remaining days of vacation except for the first year.

Vacations for all College of Pharmacy employees are subject to the approval of the Dean. With the Dean’s written approval, the employee may take the vacation days one day, one week, or all weeks at any one time. It is the responsibility of the employee’s supervisor to keep records of the vacation days used by each employee. The employee should notify the supervisor of his request for vacation day(s) as far in advance as is practically possible so that it may be submitted to the Dean for approval. It is the supervisor’s responsibility to resolve conflicts should multiple employees request the same vacation periods when these employees should not, for the good of The Sullivan University System, be gone at the same time.

If a paid holiday falls within the period during which an employee is taking a vacation, the employee shall receive an extra day of vacation in lieu of the holiday. Vacations are paid at the rate the employee was making immediately prior to the vacation period.
If this is your first time reading the manual please go back and download the Statement of Understanding and turn in to the location HR Representative. Please do this within 10 days of your date of hire.

Thank you!