

# Administrative Manual

## Electrical and Computer Engineering

The objectives of this manual are to document office standards and to provide administrative guidelines and procedures for Electrical and Computer Engineering (ECE). All policies and procedures established by the University of Kentucky are considered the minimal acceptable standard for employees of ECE. The guidelines documented in this manual shall be consistent with the University of Kentucky's policies and procedures. This manual will provide guidance, but is not intended to be all inclusive.

The ECE faculty and staff are expected to adhere to the standards and procedures set forth in this Administrative Manual. The manual is purposely written so as to avoid the restriction of creativity and originality while providing the guidance necessary to promote consistency. Suggestions for changes to these guidelines should be discussed with the Dean and/or the College Business Officer. Suggestions will be evaluated and adopted based on their applicability.

The policies and procedures that lie within the Manual will be reviewed on an annual basis.

**4/30/2014**

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## **I. UNIVERSITY AND ECE ADMINISTRATION AND ORGANIZATION**

### **A. Mission, Vision, and Values**

#### **Mission Statement**

- Develop graduates who are trained in the theory and practice of electrical and computer engineering and are prepared to handle the professional and leadership challenges of their careers.
- Develop research laboratories and centers of excellence that advance the art of electrical and computer engineering.
- Serve the commonwealth and the society at large with new products, services, and dissemination of the state-of-the-art technology.

#### **Vision Statement**

We aspire to make the Department of Electrical and Computer Engineering a community of scholars and knowledge seekers, where the best students and faculty from all over the world come and accomplish great things by advancing the art and applications of electrical and computer engineering. We seek to be a preferred choice of:

- students and practitioners seeking an engineering education
- employers hiring engineering graduates
- organizations seeking advanced engineering knowledge

#### **Values**

We support the values of the University, and in particular we value:

- academic excellence and freedom
- continuous improvement in our programs/processes
- success of our students and seek to know them personally
- professional development of our students and engineering practitioners
- the personal and professional development of our faculty and staff
- diversity among our students, faculty and staff and
- being a collaborative part of the University of Kentucky

## **B. University of KY Regulations**

### **University of Kentucky Governing Regulations**

Governing Regulations define the University, its structure, and the processes for appointing and approving administrative and academic personnel. They also define the tenure process and conditions of employment for faculty. Changes to the governing regulations must be approved by the Board of Trustees. <http://www.uky.edu/Regs/GR/>

### **Administrative Regulations**

Administrative Regulations define specific administrative functions and processes of the University. These are primarily regulations that have a University-wide impact. They also define many administrative committees. Changes to administrative regulations must be approved by the President. <http://www.uky.edu/Regs/AR/>

### **Business Procedures**

Includes processes related to the purchasing of goods and services, payroll activities, and accounting for financial transactions. Presents policy statements to aid in decision-making and procedural steps for implementation. Assists all University departments in handling their daily business transactions. <http://www.uky.edu/Regs/BPM/>

### **Human Resources Policy and Procedures**

Administrative policies related to human resource functions and the status of staff employees at the University. <http://www.uky.edu/HR/policies/>

## **C. Strategic Plan Link**

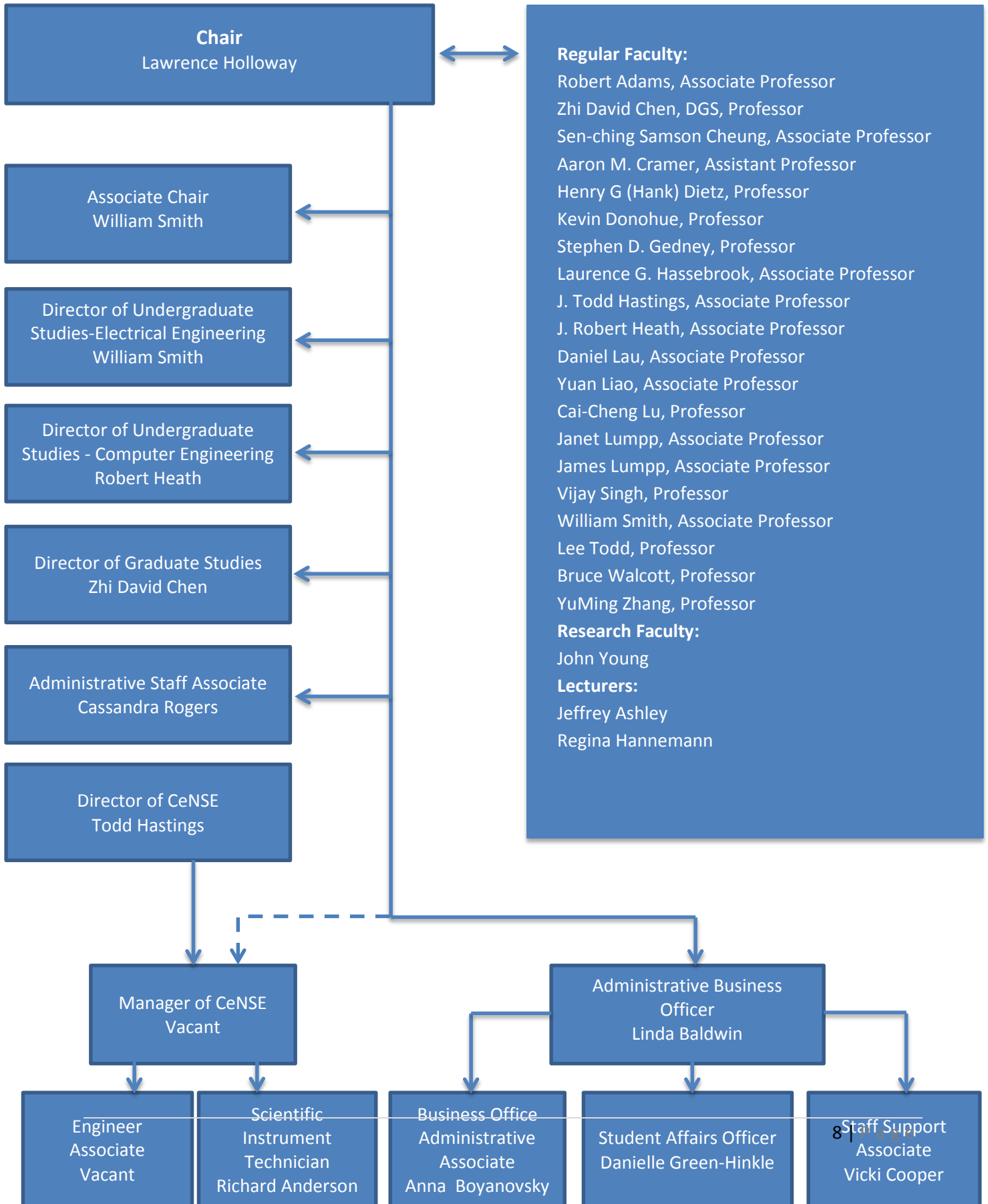
## **D. Chronology**

<http://www.engr.uky.edu/general/history.html>

## **E. Electrical and Computer Engineering Organization Chart**

<http://www.uky.edu/Regs/orgchart.htm>

## ELECTRICAL AND COMPUTER ENGINEERING DEPARTMENT





## F. Electrical and Computer Engineering Contact Information

Electrical and Computer Engineering  
 University of Kentucky  
 453 Anderson Tower  
 Lexington, KY 40506-0503  
 Phone (859) 257-8042  
 Fax (859) 323-3092

### **Administrative Contacts for ECE**

Lawrence E. Holloway, Chair	453E FPAT	323-8523 <a href="mailto:larry.holloway@uky.edu">larry.holloway@uky.edu</a>
William Smith, Associate Chair	467D FPAT	257-1009 <a href="mailto:william.smith@uky.edu">william.smith@uky.edu</a>
Cassandra Rogers, Chair's Administrative Support	453A FPAT	257-1834 <a href="mailto:cassandra.rogers@uky.edu">cassandra.rogers@uky.edu</a>
Vicki Cooper, Staff Support	453 FPAT	257-8042 <a href="mailto:vicki.cooper@uky.edu">vicki.cooper@uky.edu</a>
Richard Anderson, Technical Staff	558 FPAT	257-8397 <a href="mailto:richard.anderson@uky.edu">richard.anderson@uky.edu</a>

### **Business Office**

Linda Baldwin, Business Officer	453D FPAT	257-8670 <a href="mailto:linda.baldwin@uky.edu">linda.baldwin@uky.edu</a>
Anna Boyanovsky, Administrative Support	453B FPAT	257-4740 <a href="mailto:anna.lazarova@uky.edu">anna.lazarova@uky.edu</a>

### **Student Records**

Cai-Cheng Lu, Director of Graduate Studies	693 FPAT	257-1664 <a href="mailto:cclu@uky.edu">cclu@uky.edu</a>
J. Robert Heath, Director of Undergraduate Studies	467B FPAT	257-3124 <a href="mailto:jr.heath@uky.edu">jr.heath@uky.edu</a>
William Smith, Director of Undergraduate Studies	467D FPAT	257-1009 <a href="mailto:william.smith@uky.edu">william.smith@uky.edu</a>
Danielle Green-Hinkle, Student Affairs Officer	467E FPAT	257-8041 <a href="mailto:dgreenhinkle@uky.edu">dgreenhinkle@uky.edu</a>

### **Center for Nanoscale Science and Engineering**

(Center reports to Associate Dean for Research, staff reports to ECE)

Todd Hastings, Director	683 FPAT	257-3243 <a href="mailto:hastings@engr.uky.edu">hastings@engr.uky.edu</a>
Engineer Associate	45 ASTeCC	257-6401

### **Electrical and Computer Engineering Faculty**

Robert Adams, Associate Professor	685 FPAT	257-1775 <a href="mailto:robert.adams@uky.edu">robert.adams@uky.edu</a>
Jeff Ashley, Lecturer	565 FPAT	257-8049 <a href="mailto:jeffrey.ashley@uky.edu">jeffrey.ashley@uky.edu</a>
Zhi (David) Chen, Associate Professor	374 ASTeCC	218-6550 <a href="mailto:zhi.chen@uky.edu">zhi.chen@uky.edu</a>
Sen-Ching (Samson) Cheung, Associate Professor	217 DMB	218-0299 <a href="mailto:sen-ching.cheung@uky.edu">sen-ching.cheung@uky.edu</a>
Aaron Cramer, Assistant Professor	687B FPAT	257-9113 <a href="mailto:aaron.cramer@uky.edu">aaron.cramer@uky.edu</a>
Hank Dietz, Associate Professor	203 DMB	257-4701 <a href="mailto:henry.dietz@uky.edu">henry.dietz@uky.edu</a>
Kevin Donohue, Professor	201 DMB	257-4004 <a href="mailto:donohue@uky.edu">donohue@uky.edu</a>
Stephen Gedney, Professor	687C FPAT	257-3926 <a href="mailto:stephen.gedney@uky.edu">stephen.gedney@uky.edu</a>
Regina Hannemann, Lecturer	467 FPAT	257-5156 <a href="mailto:regina.hannemann@uky.edu">regina.hannemann@uky.edu</a>
Laurence Hassebrook, Associate Professor	219 DMB	257-8040 <a href="mailto:lgh@uky.edu">lgh@uky.edu</a>
Todd Hastings, Associate Professor	352 ASTeCC	218-6544 <a href="mailto:todd.hastings@uky.edu">todd.hastings@uky.edu</a>
Robert Heath, Associate Professor	467B FPAT	257-3124 <a href="mailto:jr.heath@uky.edu">jr.heath@uky.edu</a>
Lawrence Holloway, Professor	453E FPAT	323-8523 <a href="mailto:larry.holloway@uky.edu">larry.holloway@uky.edu</a>
Daniel Lau, Associate Professor	567 FPAT	257-1787 <a href="mailto:dllau@uky.edu">dllau@uky.edu</a>
Yuan Liao, Associate Professor	691 FPAT	257-6064 <a href="mailto:yuan.liao@uky.edu">yuan.liao@uky.edu</a>
Caicheng Lu, Professor	693 FPAT	257-1644 <a href="mailto:cclu@uky.edu">cclu@uky.edu</a>
James Lumpp, Associate Professor	569 FPAT	257-3895 <a href="mailto:jel@uky.edu">jel@uky.edu</a>
Janet Lumpp, Associate Professor	697 FPAT	257-4985 <a href="mailto:jlumpp@uky.edu">jlumpp@uky.edu</a>
Vijay Singh, Professor	683 FPAT	257-3243 <a href="mailto:vsingh@uky.edu">vsingh@uky.edu</a>
William Smith, Associate Professor	699 FPAT	257-1009 <a href="mailto:william.smith@uky.edu">william.smith@uky.edu</a>
Lee Todd, Professor	A141 ASTeCC	323-4241 <a href="mailto:lee.todd@uky.edu">lee.todd@uky.edu</a>
Bruce Walcott, Professor	221 DMB	257-1182 <a href="mailto:bruce.walcott@uky.edu">bruce.walcott@uky.edu</a>
Yuming Zhang, Professor	414P CRMS	323-3262 <a href="mailto:yuming.zhang@uky.edu">yuming.zhang@uky.edu</a>
John Young, Research Faculty	689 FPAT	257-1268 <a href="mailto:john.c.young@uky.edu">john.c.young@uky.edu</a>

## **G. Office Responsibilities & Assignments**

The individuals in Electrical and Computer Engineering operate as a team, with the understanding that certain tasks need to be performed and backup provided if necessary to ensure that office objectives are met. Below are descriptions of employee assignments by position, with indication of individual's names of those currently filled positions.

The administrative structure of the department includes the following:

### **Chair, Lawrence E. Holloway**

The Chair has executive responsibilities for Electrical and Computer Engineering. The Chair is responsible for the leadership and general management of the Department. The role of the chair is defined in the University of Kentucky ([\*Governing Regulations \(Section VII.B.5.\)\*](#))

### **Associate Chair, William Smith**

- Course scheduling
- Support undergraduate program, graduate program, and other departmental evaluations
- Oversee curriculum reviews
- Act on behalf of the chair in his absence

### **Director of Graduate Studies, Caicheng Lu**

Reviews applications for admission in EE program. Makes final admission decisions.

- Recruits prospective EE Master's and PhD students to program
- Assigns Teaching Assistants
- Oversees annual reviews, qualifying and final exams.

### **Director of Undergraduate Studies – Electrical Engineering, William Smith**

- Administer the EE undergraduate curriculum
- Work with recruiting new undergraduate students
- Support undergraduate program evaluations
- Advise transfer students

### **Director of Undergraduate Studies – Computer Engineering, Robert Heath**

- Coordinate the development and maintenance of a modern COE curricula meeting ABET requirements
- Responsible for the collection of applicable data for ABET reporting
- Advise students on course, curricula and career matters
- Meet with prospective students to answer questions related to curricula, careers in computer engineering and conduct tours of the department

**Administrative Services Assistant I, Cassandra Rogers**

- Develops and manages the department web pages, social media sites, and the ECE video monitor
- Plans and coordinates all department meetings and events including PEIK workshops and weekly student trips
- Assist chair with faculty recruitment, employment, promotion and tenure activities
- Maintains the Chair's calendar and travel arrangements

**Student Affairs Officer II, Danielle Green-Hinkle**

- Advises ECE students, and maintains student records
- Give guidance and assistance to ECE Directors of Undergraduate Studies, COE Director of Undergraduate Studies and EE Director of Graduate Studies
- Assist chair with faculty recruitment, employment, promotion and tenure activities
- Maintains the Chair's calendar and travel arrangements

**Administrative Staff Officer II, Linda Baldwin**

- Manages budget and financial operations and planning for the department, including projecting as a basis for financial decisions and review and approve all accounts payable transactions.
- Oversee human resource issues, including writing and updating JAQs, staff hiring, faculty DOE's, performance reviews and staff training.
- Process billings for service center and manage for all accounts receivables.
- Supervise clerical and accounting staff and student affairs position.

**Staff Support Associate II, Vicki Cooper**

- Responsible for faculty and student travel reimbursements and editing of faculty procurement cards.
- Assist the Director of Graduate Studies with applications, files, e-mail responses and recruitment activities.
- Assist with the CeNSE billing activity
- Assist or coordinate the planning of meetings and events for the department and GEMS
- Serve as receptionist for the ECE department

**Administrative Support Associate I, Anna Boyanovsky**

- Responsible for preparation of payroll documents and entering time records
- Assist with grant reconciliations and corrections
- Manage faculty database, prepare faculty appointment forms and visa applications
- Process financial documents as needed and serve as back up to the Business Officer.

### **Scientific Instrument Technician, Richard Anderson**

- Assist ECE faculty with the purchase of new equipment and consumable materials for lab operations
- Assist faculty with equipment maintenance and new equipment installation
- Responsible for safety, security and chemical hygiene for the ECE labs
- Manage inventory for all capital and non-capital equipment as well as space inventory

### **Engineer Associate**

- Responsible for the operation and maintenance of all vacuum equipment in CeNSE including training, operation, assistance and installation of vacuum equipment
- Interface with suppliers and vendors to procure consumable at the lowest possible costs
- Provide support for all other equipment in CeNSE with maintenance issues

## **II. General Information**

### **A. Calendar and Holiday**

#### **1. Academic Year Calendar 2014**

<http://www.uky.edu/registrar/registrar-academic-calendar>

#### **2. University Holidays**

New Year's Day

Martin Luther King Day

Memorial Day

Independence Day

Labor Day

Presidential Election Day (every four years)

Thanksgiving Day

Day after Thanksgiving

Christmas Day

*\*Additional bonus days may be announced by the President. Updates to the calendar can be found at <http://www.uky.edu/hr/hr-home/official-staff-holiday-schedule>.*

### **B. Safety**

The University of Kentucky would like to ensure that all of its employees are safe by managing environmental health and safety processes with the same strength and leadership skills as other fundamental processes. Employees are expected to take personal responsibility for their own safety and to help identify potential safety hazards so that they can be corrected. All potential safety hazards or risks should be reported immediately to your supervisor. COE employees are required to read the University of Kentucky's "Employee Safety Handbook" and adhere to the safety regulations therein. This can be found at

[http://ehs.uky.edu/docs/pdf/ehs\\_safety\\_handbook\\_0001.pdf](http://ehs.uky.edu/docs/pdf/ehs_safety_handbook_0001.pdf). In addition, ECE faculty, staff, and students are expected to participate in **COE annual safety training**.

### 1. Emergency Shelter

A number of weather resources have been developed for the UK campus to improve our preparedness and response to severe weather. At work, in case of a tornado warning, please seek shelter in your department's designated area. The safest place during such an event is the lowest floor away from windows. For detailed information about each building emergency shelter, visit <http://weather.uky.edu/stormready>.

### 2. Evacuation Plan and Location

In the case of fire or other emergency where evacuation is necessary, proceed immediately out of the building to your department's designated area which is in the courtyard next to the RGAN building under each of the seven pillars of the trellis.  
**Building Emergency Action Plan**

### 3. Emergency Closing

In case of an emergency closing or delay, all employees should follow the guidelines as announced by the University. ECE employees are NOT considered Plan B. In cases of severe weather where the University does declare an emergency closing, employees should use their best judgment in determining the safety to the work place. Employees who deem their travel unsafe should notify their supervisor by phone or email. Appropriate leave balances should be utilized.  
<http://www.uky.edu/HR/PlanFAQ.html>

### 4. E-Alert

It is recommended that all staff and faculty sign up for the E-mail alert system, the University alert system regarding weather emergencies, closings, etc.

### 5. University of Kentucky and COE Safety Numbers

Campus Police - 257-1616  
Office of Environmental Health and Safety - (859) 257-1376; Fax: (859) 257-8787  
UK Worker's Care (to report an employee injury - (800) 440-6285  
PPD Work Control Center (emergency calls) - (859) 257-3844

### 6. UK Comply-Line

The UK comply-line is used as a means of anonymous reporting to the University. The Comply-Line phone number is (877) 898-6072. The website can be located at <http://www.mycompliancereport.com>

## C. COMPUTERS

Everyone is responsible for becoming familiar with all University of Kentucky's computer usage policies. The following are links to policies. If at any point a violation to UK policy is identified, corrective action will occur.

**NOTE: capital equipment may not be permanently removed from University owned premises.**

**However, capital equipment may be temporarily removed upon written justification, proper approval, and notification of the Office of Controller and Treasurer. TO USE EQUIPMENT OFF CAMPUS, ALL EMPLOYEES ARE REQUIRED TO SUBMIT AN OFF CAMPUS FORM. (COMPUTERS, IPADS, LAPTOPS, OTHER EQUIPMENT)**

**THE FORM CAN BE FOUND AT: <http://www.uky.edu/eForms/forms/offcamp.pdf>**

Additional information can be found at: <http://www.uky.edu/UKIT/about.htm>.

- Policy Governing Access To and Use of University Information Technology Resources  
<http://www.uky.edu/regs/files/ar/ar10-1.pdf>
- [Policy Governing Computer Security and Resource Allocation](#) (\*PDF)  
[http://www.uky.edu/UKIT/files/Computer\\_Security\\_Policy\\_3.pdf](http://www.uky.edu/UKIT/files/Computer_Security_Policy_3.pdf)
- Patch Management and Virus Protection (\*PDF)  
[http://www.uky.edu/ukit/sites/www.uky.edu.ukit/files/Patch\\_Management\\_6.pdf#overlay-context=about/policies](http://www.uky.edu/ukit/sites/www.uky.edu.ukit/files/Patch_Management_6.pdf#overlay-context=about/policies)
- Electronic File Sharing Policy (\*PDF)  
<http://www.uky.edu/ukit/security/tools#peer>
- Microsoft Campus Agreement for Faculty and Staff  
<http://www.uky.edu/UKSoftware/>
- Password Policy  
<http://www.uky.edu/ukit/security/password-policy>

### **1. ECE Computing Department**

Lynn Tilley, Director of COE Computing, should be contacted on all computer related matters and purchases.

### **2. Computers**

Computing resources and information are provided to ECE employees to support the University's business functions. Any use of these resources that interferes with these functions or maligns or defames the image or reputation of the University of Kentucky is prohibited. Computers are to be used for the UK work function only. Please refer to the University of Kentucky's *Code of Conduct and Ethical Principles* in regards to use of University Property.

### **3. Computer Access**

The Department Chair, Center Director and Departmental Business Officer will approve and request access rights for the staff members. Although COE staff members have been granted access rights to University of Kentucky data, these access rights are to be used only when conducting University business and performing the duties of the position.

Any other use is strictly prohibited. Inappropriate use is subject to corrective action up to and including termination of employment.

#### **4. Computer Security**

The COE faculty and staff have many sensitive files. At the end of work day, all users should fully log off their computer to ensure no unauthorized access. It is recommended that employees set their workstation settings to utilize a password-protected screensaver.

#### **5. General Computer Usage**

Employees may use College computers for homework and personal work during lunch hour and rest periods, with their supervisor's approval. Any deviation from this policy must be approved by the employee's supervisor.

It is the policy of ECE that a faculty or staff member's e-mail account be suspended when it is determined that he/she is no longer an employee of the University. Upon request from the Department Chair, a retired faculty or staff member may be permitted to retain his/her email account. Requests should be routed through Lynn Tilley in COE Engineering Computing.

Retirees or former employees who are not performing official work for the department and the College of Engineering are prohibited from using College computing resources. This includes desktop workstations, network servers, and other computer-related resources.

It is the responsibility of Department Business Officer to notify Lynn Tilley that an employee has left the College. Lynn Tilley will then give the department adequate time to move any files that may be needed. After all files have been moved, the user account and directories will be deleted.

#### **6. Internet Usage**

It is the responsibility of every employee to follow acceptable standards when using the Internet. The University has established standards in the following document: *Policy Governing Access and Use of University of Kentucky Computing Resources* (<http://www.uky.edu/ukit/about/policies/>). COE employees should adhere to these standards and the departmental standards set forth in this policy. The following are some of examples of unacceptable Internet usage:

1. Web sites relating to pornography, militant extremist groups, gambling and illegal activities, and others deemed inappropriate by the dean.
2. Use of chat and newsgroups for purposes other than official University business.

The department has the right to limit and block any employee's Internet access in accordance with the University policy. Your usage may be monitored. During the lunch hour and rest periods, employees may use the Internet provided that they do not go to any sites that are deemed inappropriate by the University or department.

## D. Cell Phone Policy

UK's cell phone policy can be viewed at <http://www.uky.edu/EVPFA/Controller/files/BPM/Q-1-2.pdf>. In order for employee cell phones to be reimbursed, the following three criteria must be met.

1. The employee's job requires him/her to be readily accessible for frequent contact with the public or with University faculty, staff or students **and**
2. The employee's job limits his/her access to regular land-line telephones that would satisfy the required business communication needs; **and**
3. Monthly usage for business purposes is consistently **95%** or more of tier selected for cash allowance.

**Employees being compensated for cell phones that fall under item #3 above, need to review each monthly invoice to determine that the criteria of 95% has been met and must provide detailed monthly cell phone invoices to their business office. In addition, each phone call will need to be justified (per policy). If at any point the 95% usage has not been met, employees should contact their business office to discontinue payment or to reimburse COE for the monthly charges.**

## E. Media and Public Records Policies

The University of Kentucky Administration Regulation II-1.2-5 states that “the President is responsible for the oversight, planning and coordination of public relations programs for the University and for the coordination of public relations plans developed by the leaders for their sectors.” The University of Kentucky’s Public Relations staff is on-call 24 hours a day at (859) 257-3303 or through the UK paging operator at (859) 323-5321 in the event advice is needed. This media policy applies in the instances in which you are representing the University only.

### Media Contact

In the event you are contacted by a member of a Media Outlet, it is our policy not to comment or discuss issues. Your standard response should be to forward the individual to Public Relations for an appropriate response.

### Public Access

As a state funded University, all records within the University are available to the public.

## F. Office Standards

### 1. Conduct

All employees of ECE are expected to act in a professional and courteous manner to one another and to anyone contacting the department. Respectful and courteous communication (both verbal and written) with one another is a requirement for all



professional staff. ECE employees are expected to encourage and cultivate an atmosphere of teamwork.

Faculty and staff will be held accountable for behavior deemed to be unprofessional by the supervisor, Department Chair, Director, or Dean of the College of Engineering in accordance with HR Policy.

All staff members are expected to comply with the University's Code of Conduct and Ethics principles.

## **2. Attire**

A professional image is required. All ECE Administration employees are expected to dress in at least a business-casual manner and look professional at all times. Casual attire or blue jeans are permitted. Employees are expected to use their judgment if they attend meetings as to whether or not blue jeans or other casual attire are appropriate for the meeting they will be attending. If there are any concerns or if the employee needs guidance, they should discuss it with his/her supervisor.

References:

\* UK's Code of Conduct- <http://www.uky.edu/Legal/ethicscode.htm>

## **3. Office Hours**

The administrative unit of the Electrical and Computer Engineering department operates Monday through Friday, 8:00 a.m. to 5:00 p.m. Employees are generally expected to take their one-hour allotted lunch-time between the hours of 11:30 a.m. and 2:00 p.m. Deviations to these office hours must be approved by your supervisor in advance and in accordance with HR 70.0 policies and procedures.

## **4. Mail**

In ECE, mail is picked up once a day by a designated employee or student worker. It is distributed to the individuals mailbox located in the copy room. Outgoing mail should be placed in the "outgoing" mail box in the copy room.

## **5. Office Supplies**

Office supplies are located in ECE office. Request for supplies should be submitted to Cassandra Rogers.

## **6. Telephone Usage**

### *Long Distance Access Code*

College of Engineering/Administration employees will have an 8 digit long distance telephone code assigned to them. To make a long distance call, dial 9+ numbers. After the beep, enter your 8 digit code.

#### *Making Personal Long-distance Calls*

All personal long-distance telephone calls must be paid for by the employee with a personal credit card or calling card. The department's telephone bill may be monitored each month by the director and individual section managers.

#### *Collect Calls*

Collect calls cannot be accepted. An employee who has a family emergency should consult their department head about handling collect calls.

#### *Moving Phones*

Please do not move telephones from their current locations without contacting the Business Office. When 911 is dialed, emergency workers are notified via a database that is maintained by UK Communications regarding the exact building location and room number from which the call is generated. A database not updated could slow down emergency response time.

## **G. Inventory**

Definition of Capitalized Equipment: All nonexpendable movable equipment costing \$2,000 (\$1,000 for computers) will be capitalized and recorded in the Physical Facilities Inventory System.

In accordance with University policy and Commonwealth of Kentucky regulations, all equipment must be physically inventoried annually, and reported to Plant Assets Inventory, Office of the Treasurer by the assigned deadline. Annual Inventory will be conducted using scanners for verification and reconciling capital equipment posted in the fixed asset system. The online version of capital equipment inventory is located at <http://app.mc.uky.edu/ebars/UserLogon.aspx>. The user must have a login ID and password.

***Note: In the College of Engineering, ALL laptop computers MUST have an off-campus form on file in the appropriate department. This must be done, even if the computer is never removed from the office or UK's campus.***

All inventory sheets are to be returned to Connie Ecabert in the COE Business Office.

The following website can be used to find additional information on: EBARS, Lost and Stolen Equipment, G/L Codes to use, Fabricated Equipment, Capital Transfers, etc....

<http://www.uky.edu/EVPFA/Controller/files/BPM/E-12-3.pdf>.

#### **Types of Equipment Tags:**

1. Computer equipment purchased on UK's eBuy Dell web site will arrive from the factory with a J tag already attached.
2. All other equipment should be tagged with an "A" tag.
3. Equipment acquired with federal funds **AND** purchased under a WBS element

(2XXXXXXXXXX or 3XXXXXXXXXX) should be tagged with an additional Federal Funds tag from Plant Assets. (Not all WBS elements use federal funds)

## H. Minor Equipment

**Effective January 1, 2011**, all minor equipment will be tagged and entered into the eBARS system (this includes IPADS and other minor electronic items). Tags can be obtained by completing the minor inventory form at: <https://www.engr.uky.edu/crm>.

A current expense GL account must be used when the cost of moveable equipment does not exceed the capitalization amounts (Minor Equipment). Minor Equipment should be purchased using the following expense GL account.

- 540300 Office Furniture costing less than \$2,000 or computers costing less than \$1,000.
- 540301 Other Moveable Equipment costing less than \$2,000.

## I. Conference Room Scheduling

The following rooms can be scheduled by emailing Mary Watts or Laura DeCanto.

- Center for Manufacturing rooms 209, 220K, 414a
- RGAN room 387
- RGAN Commons (can only be used in the winter and summer breaks-not during the academic year- can possibly use weekends)
- Room 453 F can be reserved by contacting Cassandra Rogers at 7-1834

## J. Key Requests

Keys Request should be submitted to Richard Anderson. He will submit to Mary McBeath in the COE Business Office. Under no circumstances will a master key be issued. Sub-masters will be given to Department Chairs, Center Directors and Business Officers. The COE Business Office maintains a list of keys by department.

### *Surrendering Keys*

An employee is expected to surrender all keys to their business office upon the termination of employment with the department. It is the section manager's responsibility to ensure that employees turn in their keys when they terminate.

### *Off-Campus Procedures*

Off-campus employees should ask about obtaining keys at their particular location.

### *Keeping Keys Secure*

1. Keys are valuable and must be kept secure at all times. Do not leave keys hanging in your office door.
2. Do not allow others to borrow your keys.
3. Report a lost key and request a replacement through the appropriate business office.

## K. PARKING

<http://www.uky.edu/Parking/index.html>

**L. UK Regulations Library**

<http://www.uky.edu/Regs/>

Governing Regulations, Administrative Regulations, UK Senate, Professional Code of Conduct, HR Policy, Business Procedures Manual, etc

**M. RECORDS RETENTION**

The Commonwealth of Kentucky mandates by statute that all public records be retained or disposed of according to state guidelines. In 1994 the State Archives developed the first installment of a [model schedule](http://www.kdla.ky.gov/recmanagement/schedules/kyuniversitymodel.pdf) (<http://www.kdla.ky.gov/recmanagement/schedules/kyuniversitymodel.pdf>) for public records generated by state universities. The schedule calls for the timely destruction, or permanent preservation, of all University public documents. Please consult your Controller's Division Departmental "GreenBook" for questions regarding records management.

Listed below is a summary of the retention policy for financial records and personnel files.

**RECORDS MANAGEMENT POLICY**

**as of 8/16/11**

<b><u>Document</u></b>	<b><u>Minimum Length of Retention</u></b>
<b>Time Sheets/Absence Records</b>	<b>3 years</b>
<b>Personnel Files</b>	<b>5 years after the employee terminates</b>
<b>Payroll Labor/Salary Distribution Reports</b>	<b>3 years*</b>
<b>Travel Requests/Reimbursements/Vouchers</b>	<b>3 years*</b>
<b>Ledgers/DAV's/JV's/Requisitions/PO's</b>	<b>3 years*</b>
<b>Cash/Check Transmittals/Pro Card Receipts</b>	<b>3 years, if no audit; <u>or</u> 3 years after audit</b>
<b>Work/Job Orders</b>	<b>Destroy when maintenance is approved and completed</b>

*\*Before personnel file destruction, you must establish that these records were transferred to the UK Human Resources during the employee's years of employment.*

*\*Any document or record funded by a grant must be retained 3 years after submission of final financial report, closure of account, and audit, unless otherwise specified by the terms of the grant contract.*

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NOTES:

- A record is the same record with the same retention period whether it is in a hard copy format or an electronic format.
- The State University Records Retention Schedule is the university's guide for retaining records. It can be found at:  
<http://kdla.ky.gov/records/recretentionschedules/Documents/State%20Records%20Schedules/KYUniversityModel.PDF>
- After retention has been met (or because office storage space is limited), there are two options:
  - Transfer the non-permanent records to the offsite storage facility; or
  - Destroy via a locked UK recycle bin
- Contact Nancy DeMarcus in the UK Records Program at [uarp@lsv.uky.edu](mailto:uarp@lsv.uky.edu) in order to send records to the offsite storage facility or before the annual review period and non-permanent records destruction are considered.

## N. MOTOR POOL

Information regarding the Motor Pool can be found at  
[http://www.ca.uky.edu/fm/uk\\_motorpool.php](http://www.ca.uky.edu/fm/uk_motorpool.php).

### Rental Fleet

Please see [Vehicle Reservations](#) for types of vehicles and rates.

### Helpful information:

1. Who may drive a University of Kentucky Motor Pool vehicle? See **E-14-2** in the [UK Business Procedure Manual](#)
2. UK Motor Pool vehicle insurance policy: See **E-14-1** in the [UK Business Procedure Manual](#)
3. In addition to the Business Procedure Manual, the Motor Pool has the following regulations:
  - A valid drivers license is required to pick up a Motor Pool vehicle.

- An MVR (Motor Vehicle Record) release form must be on file with UK Risk Management.
- Pets are not allowed in Motor Pool vehicles unless a service animal.
- Smoking is not allowed in University vehicles.
- Drivers of the 12-passenger vans must be a certified van driver and meet the driver requirements outlined in the Business Procedure Manual. Additionally, 12-passenger van drivers **must** pick up the vehicle in person

#### Rental Fleet Accidents/Emergencies

If an accident or emergency occurs, please contact the Motor Pool 24/7 at (859) 257-3119 to report the incident and obtain help. In the case of an accident, the driver is responsible for filling out an accident report within 24 hours.

### III. HUMAN RESOURCES & EMPLOYMENT

#### A. New Employee Orientation

PROCESS: All University of Kentucky employees are required to attend University New Employee Orientation. The one-day orientation may be attended the first day of employment, or as soon as possible thereafter. Overall, the goals of this orientation are to:

- welcome new employees to the University;
- help new employees develop positive working relationships by building a foundation of knowledge about the University's history, mission, vision, values and culture;
- help new employees understand their roles and how their contributions help achieve University goals;
- provide information about University policies, procedures, benefits, and pay;
- offer resources, help, and growth for employees;
- help create a sense of excitement about an employee's new position.

During New Employee Orientation, important information pertaining to University policies, benefits, retirement, parking, UK safety, campus layout, and other vital information will be explained. The employee's supervisor will register the new employee for the University New Employee Orientation session at the link: <http://hr.uky.edu/TandD/classes/MS001.html>.

Information regarding the time, place, and parking for New Employee Orientation will be provided by the University Human Resources office. The Human Resources offices may be contacted at [www.uky.edu/HR](http://www.uky.edu/HR) or 859-257-2608.

New employees may submit employee benefits forms (e.g., healthcare, insurance, retirement forms) during orientation if this was not done through Human Resources prior to orientation. To complete the employee benefits forms, bring social security numbers, birth dates, and addresses for any dependents and beneficiaries.

Application for a UK main campus parking permit (if needed) and Federal Form I-9 may be completed at orientation as well. Federal and state withholding forms, an Authorization Agreement for Direct Deposit form for payroll, and a Drug-Free Workplace agreement will also be filled out by new employees on or before the first work day.

All University employees are required to participate in direct deposit of paychecks. An Authorization Agreement for Direct Deposit form is available in Human Resources (112 Scovell Hall, at the main campus payroll office (Room 340, Peterson Service Building) or online at <http://www.uky.edu/eForms/forms/dirdepos.pdf> ). A deposit slip or voided check for the bank account receiving the pay check deposit is required for completion of the Agreement for Direct Deposit form. Employees will receive documentation for each pay period that includes an indication of salary and deductions.

Employees are responsible for notifying the University Benefits office of an address change. Contact the Employee Benefits Office at 859-257-9519, 1-800-440-6285, or at [www.uky.edu/HR/benefits](http://www.uky.edu/HR/benefits) to report a change of address.

Supervisors of new employees should review the information pertaining to New Employee's Orientation and Follow-up Letter. Checklists to ensure new employees complete appropriate training and steps to provide a smooth new employee transition are available at: [http://hr.uky.edu/TandD/documents/neo\\_checklist.pdf](http://hr.uky.edu/TandD/documents/neo_checklist.pdf) and [http://hr.uky.edu/TandD/documents/neo\\_checklisttwoweek.pdf](http://hr.uky.edu/TandD/documents/neo_checklisttwoweek.pdf)

The checklists contain valuable information for orienting new employees. These related checklist forms should be completed and maintained in the employee's departmental file. Supervisors should complete these forms within two weeks of the employee's University New Employee Orientation.

The COE New Employee Checklist (see next page) will be completed for new employees, in addition to the UK Supervisor's Checklist, in order to help ensure appropriate intake processes are accomplished.

The COE Employee Out-Processing Checklist (see page 25) will be completed just prior to an employee's termination and departure, in addition to the UK Employee Separation Sheet, to ensure appropriate out-processing tasks are completed. Responsible parties are indicated on the forms. Completed forms should be kept in the employee's COE personnel file.

**UNIVERSITY OF  
KENTUCKY**  
College of Engineering

**New Employee Name**



**Department**

**Supervisor's Name**

***Section to be complete by Supervisor:***

<u>Checklist to be Completed by Supervisor</u>	<u>Date Completed</u>
<input type="checkbox"/> UK Orientation Scheduled	
<input type="checkbox"/> UK 1 <sup>st</sup> Day Supervisor's Checklist	
<input type="checkbox"/> UK 2 <sup>nd</sup> Day Supervisor's Checklist	
<input type="checkbox"/> COE Administrative Handbook reviewed with Employee	
<input type="checkbox"/> Computer Access – Engineering email account	
<input type="checkbox"/> Computer Assigned, if needed	
<input type="checkbox"/> Building Keys	
<input type="checkbox"/> Add Employee to UK and COE Directory	
<input type="checkbox"/> Assign Mailbox if needed	
<input type="checkbox"/> Instruct on how to use phone/voice mail	
<input type="checkbox"/> Assign Long Distance Code, if needed	
<input type="checkbox"/> Assign Copier Code, if needed	
<input type="checkbox"/> Professional Development Information	
<input type="checkbox"/> Order Business Cards, if needed	
<input type="checkbox"/> Order Name Tag/Name Plate, if needed	
<input type="checkbox"/> Office Supplies	
<input type="checkbox"/> Discuss Time Sheets and Due Dates, if needed	
<input type="checkbox"/> Procard training, if needed	
<input type="checkbox"/> Contact COE Business Office to determine other training needs	
<input type="checkbox"/> UK 2 week Supervisor's Checklist	
<input type="checkbox"/> Completed I-9 form to have citizenship & employment eligibility verified on or before the first day of work	
<input type="checkbox"/> Employee signs the UK Drug Free Workplace form after reading and having any questions answered	
<input type="checkbox"/> Completed the necessary personnel, payroll and tax forms	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	

Please list keys that are being assigned to employee:

Revised 10/21/2010



(College of Engineering) EXIT CHECKLIST

**Employee Name**

**Department**

**Supervisor's Name**

**Resignation or Termination Date**

**Section to be complete by Supervisor:**

Checklist to be Completed by Supervisor	Date Completed
<input type="checkbox"/> Written notice of termination or resignation	
<input type="checkbox"/> Phone code deleted and messages erased	
<input type="checkbox"/> Return all equipment (off campus computers, IPADS, etc....)	
<input type="checkbox"/> Return Parking Tag to Parking & Transportation	
<input type="checkbox"/> Ensure termination of employee's access to computer systems, email accounts, accounting, budget, payroll, personnel systems, etc...	
<input type="checkbox"/> Remove employees name from authorized signature lists, including payroll distribution, payroll voucher, checking accounts, security rosters, etc....	
<input type="checkbox"/> Remove employee from all email distribution lists and directories (on-line web page, phone book)	
<input type="checkbox"/> Procard Returned	
<input type="checkbox"/> Determine which keys the employee has had issued and either return to key shop or to the Business Office (contact the Business Office if you need to know the key numbers)	
<input type="checkbox"/> Prepare and submit UK Employee Separation Sheet indicating employees forwarding address for W-2 purposes.	
<input type="checkbox"/> Verify payroll annual leave and sick leave balances	
<input type="checkbox"/> Verify that all the employee's personal items have been removed from the office and any other work space.	
<input type="checkbox"/> If leaving the university, get UK ID card.	
<input type="checkbox"/> Remove name from all accounts (ledger sheets, etc...)	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	
<input type="checkbox"/>	

Please list keys that are being assigned to employee:

**1. Time Reporting-Staff**

The COE staff is expected to comply with Human Resources policy related to Attendance/Hours of Work (HR Policy and Procedure 70.0: <http://www.uky.edu/HR/policies/hrpp070.html>. Additional clarification specifically related is as follows:

- a. Staff members are expected to be present and performing the functions of his/her job during the hours of operation (Monday – Friday, 8 a.m. to 4:30 or 5:00 pm, depending on position hours). Exceptions to this include staff on reduced FTE schedules. Reduced FTE schedules must be reviewed and approved by the supervisor, the Department Chair or Center Director, and the Dean to ensure job responsibilities are met.
- b. Additional hours beyond the normal hours of operation are not uncommon for both monthly and biweekly staff. However, overtime for biweekly staff should be approved in advance by the supervisor. Overtime in excess of 10 hours in a given pay period should be approved by the Department Chair or Center Director and COE Business Officer. Full-time (hours/day) monthly employees are expected to work the hours necessary to accomplish the tasks they have been assigned. This may include elongated hours beyond the normal 8 hour day.

## **2. Notification of Absence**

Employees should contact their immediate supervisor via email or through phone with notification of absence from work for any reason. Notification should be done in advance when possible. If an absence is known in advance, the employee should prepare an absence form and submit to the appropriate supervisor. Note that some departments may require a phone call for absences that are not known in advance.

## **3. Making Up Time from Short Time Absences**

If any employee should miss short intervals of time from work, such as a Doctor's appointment, and chooses to make up the hours missed in lieu of taking Temporary Disability Leave (TDL), the following guidelines should be followed. This policy is at the discretion of the department and supervisor.

1. A request should be sent in advance when possible to your immediate supervisor.
2. The following should be included:
  - a. The reason for the absence
  - b. The time you leave for work
  - c. The time for return
  - d. The intended time(s) of the day you plan to work to make up for lost time
3. The employee will also be required to communicate if anticipated times for making up lost time do not work. A revised schedule for make-up time should be provided to your supervisor. If the employee is biweekly, the makeup time needs to be within the same pay period as the time missed and the approval and makeup schedule should be attached to the timesheet.

## **4. Vacation Policy- STAFF**

The University Vacation Leave Policy can be found at <http://www.uky.edu/HR/policies>.

The following is pertinent information regarding vacation from the HR Policy Manual (revision 6/7/06) HR Policy 80.0.

The University provides vacation with pay to any regular staff employee with a full-time equivalent (FTE) of .5 or greater. Vacations are to be scheduled at times that are convenient to the department and with consideration of the employee's preference.

Note: The University encourages an employee to schedule at least five days of vacation leave consecutively, resulting in at least one full week of meaningful time off.

#### **5. Vacation Allowances-STAFF**

Regular full-time employees in the following groups, and employed on or after 7/1/83, are provided annual vacation allowances as follows.

- IV. Any administrative and professional staff employee earns vacation as follows:
  - a. 15 days each year during the first five years of continuous service, and
  - b. 20 days each year during the sixth year and each year of continuous service thereafter.
- V. Any office or clerical, service and maintenance or technical and scientific staff employee earns vacation as follows:
  - a. 10 days each year during the first three years of continuous service;
  - b. 15 days each year during the fourth through the ninth year of continuous service; and
  - c. 20 days each year during the tenth year and each year of continuous service thereafter.

Note: The accrual rate is based on the established FTE for the position compared to the departmental normal work week. In cases where the scheduled work week is not consistent throughout the year, the pro rata percentage to full-time shall be calculated on an annualized basis.

## 6. Vacation Allowances-FACULTY

- a) *Nine-month faculty members do not receive vacation allowances.*
- b) *Any Ten-month, Eleven -month, or Twelve- month full-time faculty employees shall be entitled to twenty-two (22) working days of vacation leave with pay per assignment period.*
- c) *The twenty- two (22) days of vacation leave shall be credited annually to the faculty employee on the first day of the new fiscal year.*
- d) *With prior administrative approval, faculty employees may take vacation leave during the period in which they are eligible to take such leave. However, faculty with instructional responsibilities, which typically include responsibilities for advising and graduate supervision, shall be available to fulfill those instructional duties at least until after Commencement and until all reports have been made, and at least five (5) working days prior to the first day of class each semester, unless for special reasons leave is approved.*
- e) *Vacation leave, if used, shall be taken in the assignment period in which it is credited, or the vacation leave shall be forfeited.*

### **Exceptions**

When extraordinary business-related circumstances prevent a faculty employee from using his or her annual vacation leave, the faculty employee's chair may request permission to carry forward the unused vacation leave. A request shall be made in writing and requires the approval of the appropriate dean and the Provost. Final approval to carry forward unused vacation leave shall be granted by the Provost on a case-by-case basis. Circumstances warranting a decision to permit a faculty employee to carry over unused vacation leave must be related to work demands placed on the faculty member by his or her chair, the dean, or the institution and be clearly beyond those experienced in the normal course of employment.

## 7. Vacation Approval, Notification and SAP Entry

Vacation time must be approved in advance by the supervisor. Office coverage should be considered when approving vacation requests. Vacation requests should be sent request through "Employee Self-Service" tab in myUK. Prior to approval, supervisors should verify that the appropriate vacation balance is available or will be available at the time of the leave date. No vacation requests should be approved if balances are unavailable. Vacation requests should be given to your departmental business office. Approved requests will be kept in the department employee record for documentation purposes. No vacation leave should be keyed in SAP without documented supervisor approval.

## **8. Temporary Disability Leave**

Temporary Disability Leave (TDL) is available for regular employees with a full-time equivalent (FTE) of .5 or greater. It is the intent of this policy to provide leave for employees who have an illness or injury which prevents them from performing their jobs on a temporary basis, or to care for eligible family members within the guidelines of this policy (<http://www.uky.edu/HR/policies/hrpp082.html>) HR policy 82.0. Further information pertaining to UK's TDL and TDL insurance can be obtained from the Human Resources website.

Temporary Disability Leave (TDL), or sick leave often cannot be approved in advance if it is directly related to the employee's health. However, it should still be documented. For biweekly employee, this should be accounted for and documented on the timesheet and a University Absence Record. For monthly employees, this should be documented by a University Absence Record. TDL should not be recorded until documented approval is obtained.

*Unauthorized absence(s) are subject to corrective action up to and including employee termination.*

## **9. Family Medical Leave (FMLA)**

Extended Temporary Disability Leave or Family Medical Leave as detailed in HR Policy and Procedure 88.0 (<http://www.uky.edu/HR/policies/hrpp088.html>) should be reviewed by the supervisor. Employees and supervisors are expected to comply with the University's FMLA and TDL policies. Any employee who is out of the office due to illness for him/herself or an immediate family as defined by the FML policy for an extended period of time should be advised of FML policy and given the appropriate forms to begin the process. If additional assistance is required, supervisors should contact their department business office or the College business office and then HR when necessary.

## **10. Biweekly Time Sheet Review and Approval**

Biweekly Time Entry will be reviewed and approved by the employee's supervisor using the myUK Portal. The Department Chair, Center Director, or his/her designee will review the labor distribution after each pay period for biweekly and monthly employees to ensure the data transferred is consistent with the data appearing on the labor distribution report. Discrepancies will be investigated and discussed with the supervisor.

## **11. Telecommuting (Working from Home)**

The COE departments are staffed 8:00 a.m. to 5:00 p.m. on site. However, there may be situations which may require working from home. These should be exceptions to the rule and not the "normal" routine. If the employee requests to work from home for any portion of the day (again this should be the exception, not the rule), the employee should obtain advance approval (generally 24 hours in advance) from their supervisor AND either the Department Chair or Center Director. The employee should have an identified work plan to include specific tasks. This plan must be reviewed and approved by the supervisor and the Department Chair or Center Director. Checking email and phone

messages alone does not constitute “working from home”. Unapproved telecommuting time will require the employee to use the appropriate sick/vacation leave as approved by the supervisor (HR policy related to leave balances apply). Extreme situations, which may require an altered regular “at-office” work schedule, would be reviewed on a case by case basis in the context of work responsibilities, office need, and HR policy. **These extreme situations must be approved by the Dean. Requests should be emailed to Mary McBeath ([mcbeath@engr.uky.edu](mailto:mcbeath@engr.uky.edu)).**

## 12. Leave Balances/Absence Reports

Employees are encouraged to check their leave balances regularly utilizing the myUK self-service portal. Prior to approving vacation requests, supervisors should confirm leave balances with the department business officer or by utilizing SAP transaction PT\_50.

## C. Individual Assessment

In the context of Human Resources Policy and Procedure (HR Policy and Procedures 61.0, <http://www.uky.edu/Hr/policies/hrpp061.html>), Performance Evaluations are to be conducted by the supervisor in January/February of each year after the closing of the previous calendar year, utilizing the University’s Performance Evaluation Form.

- a. Employee Expectations: Employees are expected to keep their Performance Evaluation form updated with current responsibilities. Goals and objectives should be set and reviewed with the supervisor.
- b. Supervisor Expectations: Supervisors are to meet at least annually with employees to go over the previous year’s performance and to review the responsibilities, goals, and objectives for the new performance year.
- c. Once Performance Evaluations are completed, they should be signed by the employee, the supervisor, and the next level management. The Dean of COE may request a review of the PE’s before the supervisor discusses with the employee.
- d. The COE Business Officer will deliver all evaluations for the COE to Employee Records by the deadline set by Human Resources each year, to maintain confidentiality.

## D. Training and Professional Development

### 1. Training & Certification Courses

The University of Kentucky offers a number of training and certification courses to employees through the Office of Training and Development (<http://hr.uky.edu/TandD/welcome.php>). Classes are offered in areas of workplace skills, professional development, leadership, technology and certifications. Specific information can be found through the Office of Training and Development website.

**2. Employee Education Program (EEP)**

UK offers regular full-time employees a tuition waiver of up to 18 credit hours per year at any state-funded Kentucky college or university. Information regarding this program can be obtained through the Human Resources website at, [http://www.uky.edu/benefits/eep\\_overview.html](http://www.uky.edu/benefits/eep_overview.html).

**3. Professional Development**

The College of Engineering encourages continuing professional development. Employees are encouraged to seek out new training opportunities that will assist them in the performance of their job. Human Resource Development is an excellent source for training. Employees are encouraged to check the training course schedule before looking outside the University.

All COE Department Business Officers are encouraged to attend the College Business Management Institute (CBMI) offered by the Southern Association of College and University Business Officers (SACUBO). Requests to attend CBMI should be submitted to the supervisor. Office coverage should be considered when reviewing requests.

**E. 2013-14 Salary Scales**  
 (based on 1950 Annual Hours)

Grade	Salary Annual Min	Annual 1st Qrt	Annual Mid	Annual 3rd Qrt	Annual Max	~	Hourly Min	Hourly 1st Qrt	Hourly Mid	Hourly 3rd Qrt	Hourly Max
54	\$128,987	\$151,563	\$174,138	\$196,713	\$219,288		\$66.15	\$77.72	\$89.30	\$100.88	\$112.45
53	\$105,756	\$124,259	\$142,761	\$161,264	\$179,766		\$54.23	\$63.72	\$73.21	\$82.70	\$92.19
52	\$90,321	\$106,124	\$121,926	\$137,729	\$153,531		\$46.32	\$54.42	\$62.53	\$70.63	\$78.73
51	\$78,605	\$92,364	\$106,123	\$119,882	\$133,641		\$40.31	\$47.37	\$54.42	\$61.48	\$68.53
50	\$68,283	\$80,232	\$92,181	\$104,130	\$116,078		\$35.02	\$41.14	\$47.27	\$53.40	\$59.53
49	\$60,585	\$70,431	\$80,276	\$90,122	\$99,967		\$31.07	\$36.12	\$41.17	\$46.22	\$51.27
48	\$52,649	\$61,207	\$69,765	\$78,323	\$86,880		\$27.00	\$31.39	\$35.78	\$40.16	\$44.55
47	\$47,816	\$55,588	\$63,360	\$71,132	\$78,904		\$24.52	\$28.51	\$32.49	\$36.48	\$40.46
46	\$43,500	\$50,566	\$57,632	\$64,698	\$71,763		\$22.31	\$25.93	\$29.55	\$33.18	\$36.80
45	\$39,541	\$45,966	\$52,390	\$58,815	\$65,239		\$20.28	\$23.57	\$26.87	\$30.16	\$33.46
44	\$36,637	\$42,137	\$47,637	\$53,137	\$58,636		\$18.79	\$21.61	\$24.43	\$27.25	\$30.07
43	\$33,375	\$38,383	\$43,390	\$48,398	\$53,405		\$17.12	\$19.68	\$22.25	\$24.82	\$27.39
42	\$30,293	\$34,838	\$39,383	\$43,928	\$48,472		\$15.53	\$17.87	\$20.20	\$22.53	\$24.86
41	\$27,548	\$31,676	\$35,803	\$39,930	\$44,057		\$14.13	\$16.24	\$18.36	\$20.48	\$22.59
40	\$25,042	\$28,806	\$32,570	\$36,334	\$40,098		\$12.84	\$14.77	\$16.70	\$18.63	\$20.56
39	\$23,729	\$26,991	\$30,253	\$33,515	\$36,777		\$12.17	\$13.84	\$15.51	\$17.19	\$18.86
38	\$22,118	\$25,161	\$28,204	\$31,247	\$34,290		\$11.34	\$12.90	\$14.46	\$16.02	\$17.58
37	\$20,606	\$23,441	\$26,275	\$29,109	\$31,943		\$10.57	\$12.02	\$13.47	\$14.93	\$16.38
36	\$19,234	\$21,875	\$24,515	\$27,155	\$29,795		\$9.86	\$11.22	\$12.57	\$13.93	\$15.28
35	\$17,901	\$20,363	\$22,824	\$25,286	\$27,747		\$9.18	\$10.44	\$11.70	\$12.97	\$14.23
34	\$16,708	\$19,011	\$21,313	\$23,615	\$25,917		\$8.57	\$9.75	\$10.93	\$12.11	\$13.29
33	\$15,554	\$17,688	\$19,821	\$21,954	\$24,087		\$7.98	\$9.07	\$10.16	\$11.26	\$12.35
32	\$14,559	\$16,564	\$18,568	\$20,572	\$22,576		\$7.47	\$8.49	\$9.52	\$10.55	\$11.58



**F. Staff Overtime**

As a non-exempt (hourly) employee, you shall receive your normal hourly rate of pay for up to forty hours worked each week. Therefore, you shall receive your normal hourly rate of pay for time, up to two and one-half hours, which you may work in addition to your normal work week of thirty-seven and one-half hours. You shall receive the overtime rate for hours in excess of forty for any work week.

As a non-exempt employee, you shall be compensated for overtime in that you shall receive time and one-half your normal rate of pay for the hours you work in excess of forty hours. For budget purposes, your supervisor may adjust your scheduled work hours to accommodate previous overtime pay.

All overtime work shall be authorized in advance by the appropriate official. All paid time, except for accrued temporary disability leave, is counted as hours worked for purposes of computing eligibility for overtime. Unless authorized to work overtime, you may not work any hours in excess of your regularly scheduled work time.

*All overtime on general funds **MUST** be approved by the dean's office, in advance. Supervisors should send an email to the Business Office stating the name of the employee, dates of the overtime, and purpose*

Per HR Policy & Procedure 30.0, employees can be disciplined for working overtime if it has not been pre-approved. [More information on HR Policy and Procedure 30.0](#)

**G. Staff Overloads**

Information on Staff Overloads can be found at <http://www.uky.edu/Regs/files/ar/ar032.pdf>. All staff overloads must be approved in advance by the dean's office.

**H. Grievances**

Human Resources Policy & Procedures 7.0 describes the employee grievance procedure (<http://www.uky.edu/HR/policies/hrpp007.html>).

**I. Benefits**

The University of Kentucky administers a wide array of benefit offerings for UK employees and their families. Additional information can be found on their website at: <http://www.uky.edu/HR/benefits>.

**University Benefits Eligibility Grid**

Last Updated November 2013

Participant Group	UK Credit	Dental, Vision & Health	Life/AD&D	FSA Dep. Care	FSA Medical Care	Vol-untary Ben.	EEP	Vol. Retirement	Mand. Retirement	Well-ness	Worker's Comp.	LTD	HR Policy	Administrative Regulations
<b>I. Active Employees</b>														
Regular full-time and WEPP	x	x	x	x	x	x	x	x	x	x	x	x	93.1	AR3:1
Reg. .75 & above FTE.	x	x	x	x	x	x	x	x	x	x	x	x	93.1	
Post-doc Scholar	x	x	x	x	x	x	x <sup>#</sup>	x		x	x	x	93.1	AR5:1
Post-doc Fellow	x	x	x	x		x	x	x		x	x		93.1	AR5:1
Housestaff	x	x	x	x	x	x	x	x		x	x	x	93.1	AR5:4
Visiting Scholar		x						x			x		93.1	AR5:1
Regular part-time (.50 - .74)		x*		x	x			x		x	x		93.1	
Regular part-time (.40 - .49)		x*		x				x		x	x		93.1	
Temporary full-time		x*		x				x			x		93.1	
Temporary or Regular part-time <.20											x		93.1	
Temporary part-time >.20		x*		x				x			x		93.1	
On call											x		93.1	
Premium On call		x		x		x		x		x	x		93.1	
UK physicians w VA 8/8 assignment	x	x	x	x	x	x	x	x	x	x	x	x	93.1	
Central KY Management Systems CKMS		x	x	x	x	x	x					x		
<b>II. UK Retirees</b>														
Retiree (w/15 yrs. continual service)	x	x	x <sup>##</sup>							x			94.1.1,94.1.4	
Retiree (w/5 yrs. continual service)		x								x			93.1.6,93.1	
Phased Retirement	x	x	x	x	x	x	x	x	x	x	x	x		AR3:2
Retiree Spouse Survivor	1/2	x								x				
<b>III. Non-UK Employees</b>														
Civil Service Employees (CSRS)		V&D	x	x	x	x	x	x	x++	x	x			
House Directors		x												
VA employees						x								
<b>IV. UK Reg. FT Employees on Leave</b>														
Sabbatical- 1/2 or Full pay	x	x	x	x	x	x	x	x	x	x	x	x		GRx-11
FMLA	x	x	x	x	x	x	x	x	x	x	x	x	94.1.3,88.3.8	
Temporary Disability Leave w/pay *	x	x	x	x	x	x	x	x	x	x	x	x	94.1.3,88.3.8	
Temporary Disability Leave wout/pay *	x	x	x	x	x	x	x			x	x	x	94.1.3	
Worker's Compensation	x	x	x	x%	x%	x	x			x	x	x	94.1.5	
Flex Leave	x	x	x	x	x%	x	x			x	x	x	94.1.6,86.1.2.3	
LTD	x	x	x	x%	x%	x	x	x	x	x	x	x	94.1.1,93.1	GRx-13
Scholarly Leave	x	x	x	x	x	x	x	x	x%	x	x	x		
Educational Leave	x	x	x	x	x	x	x	x	x%	x	x	x		
Other Leave with pay	x	x	x	x	x	x	x	x	x%	x	x	x		
Other Leave without pay		x					x				x	x	94.1.3	
Military Leave with pay	x	x	x(life only)	x	x	x	x	x	x	x	x	x	75	
Military Leave without pay		x	x(life only)		x	x	x	x+	x+	x	x	x###	75.1.3	
Special Leave	x	x	x	x	x	x	x	x	x	x	x	x		
Temporary Leave is up to 90 days for staff and 6 months for faculty.														
* Must have sufficient payroll earnings to cover premiums to be eligible to purchase health, vision and dental insurance.														
#Eligibility for Post Doc Scholar's participation in the EEP program is not specified in the policy although participation is allowed.														
## Retirees with 15 years of service who were hired before 8/1/65 and who were covered by the old Prudential life insurance plan are eligible for \$5000 basic life insurance.														
### LTD eligible pursuant to military leave policy														

## **J. Worker's Compensation**

Any University employee who is injured or incurs an occupational disease or death, normally without regard to fault, as a result of University employment, is covered by the Kentucky Worker's Compensation Act, the University's Workers' Compensation Program, and the University of Kentucky Worker's Care Program Managed Care Organization.

### **Process**

Administration of the University's Worker's Compensation Program is a function of Employee Benefits.

- 1) Any work-related injury or hazardous exposure shall be immediately reported to the supervisor.
- 2) All work-related injuries or exposures shall be immediately reported by calling the Worker's Care Program at 1-800-440-6285.
  - a. When an employee returns to work, the supervisor or employee shall immediately telephone or send written notice to Employee Benefits. The report should include exact date and time the employee returned to work.
  - b. Failure to report a work-related injury or exposure within 3 days may result in denial of a claim and/or appropriate corrective action for the responsible employee and/or supervisor. For repetitive motion and similar injuries, the injury must be reported within 3 days of learning the injury is work-related.

### ***Post Accident Drug and Alcohol Screenings (NEW 7/1/11)***

- 1) The University of Kentucky is a Drug-Free Institution and requires drug and alcohol screening for all accidents or injuries sustained, except as specified in subsection 2 below:
  - a. During the conduct of the employer's business,
  - b. During work hours, or
  - c. Involving employer supplied motor vehicles or personal vehicles conducting University business, or
  - d. During an employment-related accident where there is a fatality of anyone involved in the accident, or
  - e. During an employment-related accident that causes bodily injury to the employee and/or another person, or
  - f. During an accident that requires a drug and alcohol screening by federal or state law including, but not limited to, drivers of Commercial Motor Vehicles.
- 2) The following types of injuries do not require post-accident drug and alcohol screenings, but are subject to reporting; these are the only exceptions under this policy:
  - a. Needlestick injuries while delivering direct patient care, or
  - b. Exposure to an airborne infectious disease, such as tuberculosis and influenza, or
  - c. Exposure to bodily fluids, such as blood, or
  - d. A documented, physical assault on an employee by a patient or visitor. Documentation, at a minimum, shall include an Incident Report.

3) Post accident drug and alcohol screening shall be administered within 2 hours, but not later than 8 hours, after the injury or accident occurs.

## **K. FACULTY SABBATICALS & ENTREPRENEURIAL LEAVE**

### **1. Sabbatical Leaves**

#### **College of Engineering Procedures**

To request a sabbatical, the faculty member submits to their chair a sabbatical proposal which may be contained in or attached to a memo. The proposal must include, at a minimum:

1. A well-developed sabbatical plan that describes how the leave will assist in the individual's professional development, and what benefits will accrue to the College as a result of the sabbatical.
2. Documentation of prior correspondence with the host institution(s) clearly stating whether or not the host institution(s) will be providing any financial support for the candidate during the sabbatical.
3. A signed sabbatical leave application (form attached).

The department chair forwards the proposal and signed application to the dean with their memo of endorsement, including a plan for the maintenance of instructional activities in the faculty member's absence and a clear explanation of any funds required to meet these obligations. With the dean's support, the sabbatical request is forwarded to the provost for approval.

The College of Engineering Sabbatical Leave Policy as well as the portion of Governing Regulation X which deals with Sabbatical Leave is attached as is the sabbatical leave application required by the provost.

All documentation should be sent to Mary Watts. She will enter the sabbatical as a Board Action in the Faculty Database and record in an Excel file.

SABBATICAL LEAVE  
APPLICATION

Name: \_\_\_\_\_ College: Engineering

Academic Title: \_\_\_\_\_

Dept/Graduate Center: \_\_\_\_\_

Period(s) of Leave: Check below the option for which you choose to apply:

- Fall 201\_ (full pay)                       Spring 201\_ (full pay)
- Full Year 201\_-201\_ (half pay)
- Fall 201\_ (half pay)                       Spring 201\_ (half pay)
- Divided leave\*

\*Please specify all periods (with dates) in 201X-201Y and subsequent academic years. These dates should add up to either one-half year at full salary or one full year at half salary.

Signature of Applicant/date. \_\_\_\_\_

I have reviewed and agree to abide by the restrictions on outside employment during sabbatical leave stipulated in GR X.B.2(d)(i).

*A faculty employee's signature on the sabbatical leave application form constitutes a legally binding agreement that, in the event the faculty employee does not return to the University of Kentucky for at least one year of service immediately following the sabbatical leave, the faculty employee will repay the University of Kentucky for compensation and fringe benefits paid to the individual during the sabbatical leave.*

## University Guidelines

### GR X- 11, 12 Sabbatical Leave

The purpose of sabbatical leave is to provide opportunities for study, research, creative effort, improvement of instructional or public service capabilities and methods, and related travel in order that the quality of each recipient's service to the University may be enhanced.

Faculty members who have full-time non-tenured or tenured appointments in the regular, special title, extension, or librarian series with the rank of assistant professor (or librarian III) or higher, are eligible for sabbatical leaves after six (6) years of continuous service in the rank of instructor (or librarian III) or higher at the University, or for sabbatical leaves under a different option after three (3) years of continuous service. All such sabbatical leaves shall be approved by the president or the president's designee.

After six (6) years of continuous eligible service, a faculty member may apply for one (1) year's sabbatical leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three (3) years of continuous eligible service, an appointee may apply for six (6) months' sabbatical leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary. Normally "continuous service" is interrupted by a sabbatical leave; that is, no service prior to a sabbatical leave may be credited toward eligibility for future sabbatical leave. However, in the event that it becomes necessary for an individual to postpone a sabbatical leave at the request of and/or for the benefit of the University or one of its educational units, the period of postponement shall be counted as part of the six (6) years of service necessary for the individual to again become eligible for sabbatical leave. The request for and/or agreement that the sabbatical leave be postponed shall be made in writing by the dean, and be approved by the provost. The request or agreement shall specify the period of postponement and the reason for it. In no case shall cumulative sabbatical leave be granted for a single period longer than one (1) full year at full salary.

Sabbatical leave shall not be used as a means of augmenting personal income. A recipient may not accept gainful employment during a sabbatical leave (for an individual on an academic year assignment basis, this does not include the period of May 16 through August 15; for an individual on a ten-month or eleven-month assignment basis, this does not include the period of vacation and the one (1) or two (2) months outside the assignment period each fiscal year; for an individual on a twelve-month assignment basis, this does not include the one-month vacation period) except as follows:

A fellowship, grant-in-aid, or government-sponsored exchange lectureship may be

accepted for the period of the leave if acceptance shall promote the purpose of the leave and is approved by the president or the president's designee. For those on one-year sabbatical leave, additional salary not to exceed one-half of the regular academic salary may be accepted for (1) work performed during the sabbatical leave on research projects administered by the University with funds from government or private grants or contracts when the terms of the grant or contract authorize the usage of such funds, and when the work to be performed is significantly related to the studies planned for the leave; (2) work on a research grant at another university; (3) research work in a government laboratory; or (4) work as a research professor or associate professor in another university. Any such arrangements pursuant to this paragraph must be approved by the president or the president's designee.

In neither of the above instances shall a recipient's total income, attributable to a sabbatical leave project, exceed the individual's regular academic salary. Sabbatical leave shall be granted with the understanding that the recipient, following the sabbatical leave, will continue service at the University for at least one (1) academic year.

## 2. Entrepreneurial Leave

GR, Part X, REGULATIONS AFFECTING EMPLOYMENT:

<http://www.uky.edu/Regs/files/gr/gr10.pdf>

This regulation is regarding an entrepreneurial leave for faculty employees who wish to take time off from their University position to pursue entrepreneurial activities. Faculty employees desiring to take entrepreneurial leave must submit a completed and signed Entrepreneurial Leave Form and all attachments. The leave must be recommended by the faculty employee's unit administrator and approved by the dean of the college and the provost. Specific terms and conditions for entrepreneurial leave are found in the Governing Regulation and the Entrepreneurial Leave Form. The form may be obtained from the Office of the Provost.

### (vii) Entrepreneurial Leave

The University encourages faculty employees to engage in entrepreneurial activities and strives to support the efforts of faculty who wish to commercialize their discoveries. Therefore, the pursuit of entrepreneurial endeavors is a valid reason for application for a faculty leave of absence.

The request for entrepreneurial leave, submitted by the faculty person to his or her unit administrator, shall be accompanied by a completed and signed Entrepreneurial Leave form and all attachments. The period of the leave shall not normally exceed one academic year. However, the leave may be extended for a second and final year by the provost upon the recommendation of the dean. The Entrepreneurial Leave form enumerates

additional terms and conditions of such leaves. The unit administrator shall review the proposal and forward the materials to the dean of the college along with their recommendation. The dean shall forward his or her recommendation to the provost for approval. Entrepreneurial Leaves shall be reported to the Board of Trustees. Time spent on entrepreneurial leave shall not apply toward eligibility for sabbatical leave or count as probationary period service unless the University is granting the leave and the individual accepting it agrees to the contrary. Time spent on entrepreneurial leave shall not otherwise be considered as an interruption of continuous service.

The Form may be obtained by contacting the Provost Office.

## L. College of Engineering Buy-out Policy

Faculty members may buy-out of teaching one or more courses each semester. To purchase release time, the faculty member should provide the following:

- At least 12.5% of the academic salary for each semester courses. Departments may use higher percentages, as long as the percentages are not varied between employees
- Note that overloads to teach courses will count against the 12.5%

Only under exceptional circumstances and with the dean's approval, will a faculty member be allowed to buy out of all semester instructional activity.

## M. Wethington Awards

The Wethington Awards program serves five purposes that are linked to our efforts to move the University toward national prominence:

- increase the number of applications to extramural funding agencies;
- increase the level of grant and contract funding;
- provide enhanced opportunities for graduate student and postdoctoral training;
- enhance the level of indirect costs revenue for redistribution and investment; and
- facilitate the recruitment and retention of research-oriented faculty.

Units may use *salary reimbursement funds* generated through shifting of general fund salary costs to extramural grants and contracts (*i.e.*, ledger 4 accounts). Units may not use salary savings funds nor may they use state funds budgeted for current operating expenses. Salary reimbursement funds for the Wethington Awards cannot be generated from salary amounts covered by **endowment or gift accounts**.

The University Guidelines are normally given to us in November. The buyouts must be paid by May 31. Faculty members need to contact their department chair if they are interested in receiving the award. The department chair will submit the appropriate documentation to the Business Office by email. A link to the current year's guidelines will be added at a later date.



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How To Calculate Wethington Awards: (Contact the Business Office if you would like a copy of this excel file.)

Note: You cannot receive an award on a class that you have been given buy-out funds, but then received an overload to teach the course. Also, the buy-out must be reduced by **any** overloads for teaching a course.

**NAME:**

<b>Salary</b>	131,000
% on Dept	50.00%
% on Grant	50.00%

Salary charged to Dept	65,500
Salary charged to Grant	65,500
<b>Total salary</b>	<b>131,000</b>

<b>Course Buy Out</b>	
# of Courses	2
Dept Rate used to Buy Out	0.125
<b>Cost to Buy Out</b>	<b>32,750</b>

Total Savings	65,500
Less Buy Out	(32,750)
<b>Amount to be split 50-50</b>	<b>32,750</b>

	<b>Department</b>	<b>Faculty Member</b>
Course buyout	32,750	
Split 50/50	16,375	16,375
<b>Total</b>	<b>49,125</b>	<b>16,375</b>

<b>Overloads</b>		
<b>Name</b>	<b>Amount</b>	<b>Reason</b>


Course BUY-OUT Information		
Course # and Name	Fall or Summer	

#### IV. BUSINESS PROCEDURES

The College of Engineering is in the process of creating a detailed Business Procedures Manual.

UK’s Business Procedures Manual should be used for a complete list of business procedures. Information listed in *this* manual is for items that are used frequently.

Business Procedures Manual (<http://www.uky.edu/EVPFA/Controller/BPM.htm>)

UK’s Forms Page (<http://www.uky.edu/eforms>)

##### A. Approvals

Business Function	Initiator	Approve/Signature	Final Approval/Signature
<b>DAV’s, JV’s</b>	Dept Business Officer		Dept Chair or Center Director
<b>Requisitions</b>	Dept Business Officer		College Business Officer
<b>Travel Reimbursements</b>	Dept Business Officer		Dept Chair or Center Director
<b>Travel Reimbursements: Dept Chairs, Center Directors, and Staff reporting to the Dean</b>	Dept Business Officer		College Business Officer on Behalf of Dean
<b>Independent Contractor Forms</b>	Dept Business Officer	Dept Chair or Ctr Dir	College Business Officer
<b>Procard Approvals</b>	Dept Business Officer	Cardholder	Dept Business Officer/ Chair/Director
<b>Procard Approvals: Dept Chairs, Center Directors, and Staff Reporting to the Dean</b>	Dept Business Officer	College Business Officer or Dean	College Business Officer on behalf of the Dean
<b>Cash/Check Transmittal-Income</b>	Dept Business Officer		Dept Chair or Center Director

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<b>Cash/Check Transmittal-Development</b>	Dept Business Officer/College Dev Officer	College Development Officer	College Business Officer
<b>New Acct Create Forms</b>	Dept Business Officer	College Business Officer	College Business Officer
<b>Scholarship Awards</b>	Christina Dillon		Dr. Rick Sweigard
<b>Scholarship SAG forms</b>	Dept	Christina Dillon	College Business Officer
<b>BT's/BR's</b>	College Business Officer		College Business Officer
<b>Position Funding</b>	College Business Officer		College Business Officer
<b>Position Creation</b>	College Business Officer		Human Resources
<b>Personnel Services</b>			
<b>Time Entry</b>	Dept	Supervisor	Dept Business Officer (Gloria Robinson for Administration)
<b>Absence Request</b>	Employee	Supervisor	Supervisor
<b>Staff-Hiring Approval</b>	Dept	College Business Officer	Dean/College Business Officer
<b>Staff JAQ's</b>	Department	College Business Officer	Human Resources
<b>Salary Recommendations</b>	College Business Officer	Dean/College Business Officer	Human Resources
<b>Staff Re-evaluations</b>	Dept	College Business Officer	Human Resources
<b>Staff PE's</b>	Supervisor	Supervisor	Dean
<b>Leave Requests-Staff</b>	Employee	Supervisor	Supervisor
<b>Leave Requests-Faculty</b>	Employee	Chair	Dean
<b>Overloads Faculty &amp; Staff</b>	Supervisor	Dean	Provost
<b>Faculty Offer Letters</b>	Dept	Dept Chair	Dean
<b>Academic Appt Forms</b>	Mary Watts	Dept Chair	Dean
<b>Teaching Assist</b>	Dept	Dept Chair	Dean
<b>Contracts</b>			
<b>Part-Time Faculty Contracts</b>	Mary Watts	Dept Chair	Dean
<b>Distribution of Effort Forms</b>	Faculty	Dept Chair	Dean
<b>Ledger Sheet Reconciliations</b>	Dept Business Officer	Dept Chair	Connie Ecabert for Gen Funds
<b>Faculty Database</b>	Dept	Mary Watts	Mary Watts
<b>Equipment Inventory</b>	Dept	College Business Office	Plant Assets
<b>Space Inventory</b>	Dept Chair	Eric Grulke/Monica	Dean
<b>Security Access</b>	Dept	College Business Office	College Business Office
<b>Keys</b>	Designated Dept Employee	Dept Chair	College Business Office

**B. Purchasing, Procards & Travel, etc...**

**In cases where the Procurement Card is allowed, it is the preferred method for payment. See Business Procedures Manual Section B-3-2-1.**

	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Accreditation Fees	X		X			Refer to BPM B-3-2-2
Advertising Services		X				Refer to BPM B-3-2-2
Ad Placement, newspaper, print, radio/TV	X					
Alcoholic Beverages -BPM 3-2-2			X			
Attorneys		X				
Auctions, Public		X				
Awards -Employees			XX	XX		Refer to BPM E 7 12Refer to BPM E

Awards -Students			X			Refer to BPM E-7-11
Banking Fees		X				Refer to BPM B-3-2-2
Books for departmental use, including reference books, workbooks and handbooks	X	X				Refer to BPM B-3-2-2
Building Rent/Lease Payments for off-campus facilities		X				
Capital Equipment -all items over \$2,000		X				Except for Preferred Vendor on Ebuy site
Capital Equipment -Computer Hardware (Preferred Vendor) -Ebuy	X	X				
Catering Services			X			
Cellular Phones and Service						Must be approved by Communication Services
	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Clinics, Doctors/Hospital for services rendered to UK patients when UK is unable to provide service			X			Refer to BPM - B-3-2-2
Coffee and other refreshments for offices and official University functions			X			Refer to BPM - B-3-2-2
Copiers and other office equipment, leased and rentals (See comments)		X				Excess copies can be paid by Procurement Card

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Consulting Services		X				
Copyrighted educational materials with no signed agreements	X	X				Refer to BPM - B-3-2-2
Custom and Tariff Fees			X			
Dry Cleaning and Laundry Services	X	X				
Dues for Memberships			X			Refer to BPM - B-3-2-2
Duplicating Services	X	X				
Entertainment Agreements			X			
Equipment Leases/Rental		X				
Equipment, Repairs and Service involving no signed contract or no maintenance agreement	X		X			Refer to Procurement Card Manual for proper usage.
Exhibit Space for Conventions, Conferences, Trade Shows/Meeting space/room	X		X			
Exhibit Fees	X		X			Refer to BPM - B-3-2-2
Express Mail Services (ie. FedEx, UPS, DHL)	X					
Flowers			X			Refer to BPM - B-3-2-2 and the Discretionary Expenditure Policy
	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Floor Covering Removal and/or installation		X				
Freight and other shipping costs	X		X			
Furniture	X	X				Refer to BPM E-12-1 University's Capitalization Policy
Gasoline card purchases made with authorized card			X			Refer to BPM - B-3-2-2
Gasoline (Bulk) for use in Physical Plant Division, Agriculture areas, etc.		X				
Gifts,excluding promotional items			X			Refer to the Discretionary Expenditure Policy
Government Fees			X			
Guests Expenses	X		X			Meals cannot be charged to the Procurement Card
Hazardous &/or Radioactive Materials						Approval required by Environmental Health & Safety Officer
Honorarium			X			
Kentucky Medical Services Foundation (KMSF) Payment			X			
Legal Services		X				
Library Books, Periodicals, Pamphlets, Subscriptions	X	X				Refer to BPM B-3-2-2
Mailing Lists	X	X				

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Maintenance Contracts		<b>X</b>				
Meals - Except employee meals while in travel status			<b>X</b>			Refer to Discretionary Expenditure Policy
Medical services rendered to patients, students, when UK Hospital is unable to provide the services			<b>X</b>			Refer to BPM B-3-2-2
	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Office Decorations			<b>X</b>			
Pagers and Paging Services						Must be approved by Communication Services
Patient Expenses for meals, lodging, etc.			<b>X</b>			
Personal Services Contracts		<b>X</b>				Contract and Proof of Necessity Forms must be completed and approved prior to work taking place. Refer to BPM B-4
Postal Charges, including stamps and electronic prepayment by meters			<b>X</b>			
Printing (Approved contractors only)	<b>X</b>	<b>X</b>				Refer to BPM B-10-3
Promotional Items		<b>X</b>				
Publications (reprints), pages or articles from professional journals professional journals	<b>XX</b>	<b>XX</b>				
Recruitment Expenses			<b>X</b>			
Refreshments for Workshops			<b>X</b>			
Refreshments for Department Use			<b>X</b>			Refer to BPM B-3-2-2 and the Discretionary Expenditure Policy
Refunds - Students and Patients			<b>X</b>			
Registration Fees Only - Conferences/Meetings/ Trainings	<b>X</b>				<b>X</b>	
Registration Fees - Conferences/Meetings/ Trainings with optional events			<b>X</b>		<b>X</b>	
Reimbursements to employees			<b>X</b>			Refer to BPM E-7-5
Relocation Expenses			<b>X</b>	<b>X</b>		Refer to BPM E-7-8
	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Rental of Equipment		<b>X</b>				
Rental of Equipment (Short Term)	<b>X</b>	<b>X</b>				Procurement Card if no written agreement is required.
Resale Items	<b>X</b>	<b>X</b>				
Research Subject Payments			<b>X</b>			
Royalty payments			<b>X</b>			
Scholarships, Fellowship payments to UK Students						Must be approved by Student Financial Aid Office

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Service Calls - (See Equipment, Repairs and Service)	X	X				
Speaker Fees			X			
Stipends and Grants to UK Students			X			
Storage, Temporary		X				
Students payments/cash disbursements			X			
Student orientation and reception activity expenses			X			
Subawards		X				
Subscriptions to newspapers, magazines and journals for Official University purposes	X		X			
Tangible Goods and Items (Less than \$5,000)	X	X				
	<i>Procurement Card</i> Purchases less than \$5,000 (Preferred Method)	<i>Requisition</i> through Purchasing	<i>Departmental Authorization &amp; Voucher (DAV)</i>	<i>Payroll</i>	<i>Travel Voucher</i>	<i>Comments</i>
Tangible Goods and Items (More than \$5,000)		X				
Temporary Help		X				
Training	X	X				Purchasing needs to review any Agreements
Transcription Services		X	X			
Transportation Services (Chartered Buses, Taxi, Aircraft, Watercraft, etc.)	X	X				Procurement Card if no written agreement is required.
Travel <b>Employees</b>	X		X		X	Refer to BPM - E-5-1 thru E-5-3
Travel - <b>Guests</b>	X		X			Refer to BPM - E-5-1 thru E-5-3
Travel - <b>Students</b>	X		X			Refer to BPM - E-5-1 thru E-5-3
Utility Payments	X		X			
Water for human consumption - bottled or cooler			X			Refer to BPM - B-3-2-2
Medical Supplies Patient Related with Cost Center (1058XXXXXX)		X				

1. Discretionary Policy

<http://www.uky.edu/EVPFA/Controller/files/dispolcy.pdf>.

2. Procurement Cards

The University of Kentucky Procurement Card (Procard) Program was implemented to increase the efficiency of the purchase and payment of small dollar transactions. Purchases on the Procard must adhere to the University's Price Contracts. **The Procard may not be used for any personal charges under any circumstances.**

**All procard users must be familiar with the University's PCI compliance plan. This plan is located at the following link. <http://www.uky.edu/EVPFA/Controller/pcidss.htm>**

**For details on procard procedures, please go to the attached link: <http://www.uky.edu/EVPFA/Controller/files/pay/CardholderManual.pdf>**

Within ECE, there are eighteen Procurement Cards (Linda Baldwin, Cassandra Rogers, Richard Anderson and 13 faculty have cards).

Linda Baldwin's card is used for such things as the gas cylinder rentals, UPS charges and purchases for the few faculty that do not have cards)

Cassandra Rogers's card is used for travel, student activities, workshops and meetings, and general office supplies.

Richard Anderson's card is used for supplies for instructional labs.

Todd Hasting's card is used for consumable supplies for the CeNSE lab.

The faculty use their procurement card for travel and to purchase consumable lab supplies for their funded research grants. The faculty submit their receipts and account numbers to the edit clerk twice monthly. The clerk edits the charges and the Business Officer reviews, approves and posts. The chair reviews and approves the Business Officers procurement card.

See Departmental Administrative Manual for other COE Department Procard Procedures.

**Forms**

- [Procard Application](#) (PDF)
- [Application Instructions](#) (DOC)
- [Dispute Form](#) (PDF)
- [Cardholder User Agreement](#) (DOC)

**Registration Forms**

- [FedEx](#) (PDF)
- [UPS](#) (PDF)
- [OfficeMax](#) (PDF)

**Cardholder Manuals**

- [Card Holder Manual/Policies](#) (PDF)



[Cardholder Editing Manual](#) (PDF)

[Cardholder Master Data Manual](#) (PDF)

**Procurement Card Policies**

[Restricted Purchases](#) (PDF)

[Procard Mass Deletion Schedule](#) (PDF)

**3. DAV's**

The DAV shall be used for the categories identified on the following website (<http://www.uky.edu/EVPFA/Controller/files/BPM/B-3-2-2.pdf>). The Purchasing Division must review and sign all contracts or agreements required by the vendor/contractor as a supplementary document to the DAV. Departmental employees or officials may NOT sign such supplementary agreements or contracts on behalf of the University except as expressly authorized in accordance with the [Contract and Transition Approval Authority \(AR 8:3\)](#). Transactions requiring the signing of contracts or agreements by University employees shall be forwarded to the Purchasing Division for their review and official university signatures prior to processing the DAV to the contractor.

Transactions and requirements that cannot be completed under the limits and categories of the procurement card or the DAV shall be processed via an on-line requisition in SAP.

DAV Numbers are unique to each document. A log of DAV numbers for ECE is maintained by the Business Office (on the Business Shared Drive). The Business office will assign a number to each document. The log shows the DAV Number, the vendor on the DAV, date issued, cost center, general ledger and other relevant data for tracking the DAV.

A DAV request for payments must be properly documented, including the purpose of the purchase. Original receipts and invoices must be included and approved by the delegated department authorizer.

For making payments usually under \$1,000, for goods and services from vendors:

1. For invoices for services or goods under \$1,000, provide the Business Office with a completed DAV. These should be placed in the Business Office mail box.
2. Linda Baldwin reviews the DAV and approves. A copy is kept in Anna Lazarova's office and the original is mailed to Accounts Payable.

**For ECE Departments:**

**The following is a list of expenditures that are paid on DAV, but require approval from the Dean's Office:**

- All Discretionary Purchases including
  - Gifts to Friends & Donors
  - Appreciation Gifts
  - Memorial
  - Special Occasions
  - Alcohol
- Employee Meals

- on Grants
- Faculty Recruitment
- Planning/Admin Meetings
- On-Campus Work Meals
- Memberships Dues (individuals)

Note: All promotional items must be purchased from approved vendors. A list of the approved vendors are located at: <http://www.uky.edu/Purchasing/pcts.html>

4. **Honoraria and Visiting Speakers**

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-3-2-3.pdf>

5. **Employee Meals (Require approval from Dean's Office)**

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-3-2-7.pdf>

6. **On-Line Requisitions**

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-3-3.pdf>

Used for acquisition of supplies, equipment, and services that cannot be purchased with the procurement card.

Major Equipment Purchases over \$200,000 must be on the legislatively approved budget (purchase, leased, lease-purchase).

7. **Single and Sole Source Purchases**

Single and sole source purchases and price contracts exceeding \$40,000 require justification. The responsible individual or department requesting the single or sole source shall complete the Single/Sole Source Justification Form and submit it to the Purchasing Division prior to the purchase. The Single/Sole Source Justification Form is located on the University forms page at <http://www.uky.edu/Purchasing/forms/ssapproval.pdf>.

8. **Personal Services Contracts**

Complete information on Personal Services Contracts can be found in the Business Procedures Manual.

A few things to note:

Contracts must be approved and issued prior to contract work being performed. Legislation in Frankfort states that any Personal Service Contract, \$10,000 or less, be reported to the Government Contract Review committee (GCRC) in Frankfort within 30 days of their effective date.

Contracts with a total dollar scope of \$10K or less need the one-page PSC contract form and needs to be reported to GCRC by the Purchasing Division within 30 days of the contract start date.

Contracts, which are greater than \$10K are contracted using the standard UK personal service contract document and a competitive solicitation through a Request for Proposal.

Additional information can be found at:

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-4.pdf>

## **9. Plant Funds**

Unexpended Plant Fund WBS elements shall be established for:

- all construction, renovation, repair, and replacement projects estimated to be \$100,000 or more;
- all construction, renovation, repair, and replacement projects funded by special state appropriations (e.g. deferred maintenance pools, state grants) and related matching funds, regardless of scope - for renovations of less than \$100,000, see E-3-2; and
- all major equipment purchases when an individual item costs \$200,000 or more - equipment costing less than \$200,000 per item should be purchased on departmental cost centers.

Procedures and additional information are in the Business Procedures Manual:

<http://www.uky.edu/EVPFA/Controller/files/BPM/E-3-1.pdf>

## **10. Computer and Computer Related Equipment**

All computers for COE Administration are purchased through Engineering Computing Services. An email with the supervisor's approval should be sent to the Business Office. The Business Office will forward to Lynn Tilley.

Note: Apple computers over \$1,000 cannot be purchased on the Procard. All computers over \$1,000, that are NOT DELL, should be purchased through the requisition process.

## **11. Surplus Property**

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-12.pdf>

## **12. Rebates**

<http://www.uky.edu/EVPFA/Controller/files/BPM/B-13.pdf>

Rebates associated with University purchases are the property of the University of Kentucky and may not be used for personal or non-University purposes. Rebates will generally be recorded as a reduction of expense to offset the cost of acquiring the original goods and/or services. The reduction of expense will be posted to the account originally charged with the purchase transaction.

### 13. Student Payments

Payments to students for scholarships, grants, tuition remission, tuition waivers and any portion of an assistantship that is not considered to be compensation must be credited to the student's account through the ProSAM financial aid system using a SAG form. Note: SAG forms are not required for units with ProSAM data entry access.

Fellowships provide students with monetary support, often both for tuition and a stipend. **The student in most cases has no obligation during the academic year other than making good progress in his or her academic research program.** Fellowship payments for tuition and fees must be paid following the policy stated above. Departments should make students aware that these payments could be considered taxable income by the Internal Revenue Service if used for nonqualified educational expenses.

Fellowship stipend payments must be processed through payroll and are not considered compensation. However, Student Financial Aid must be notified of the award prior to the first disbursement. Departments should make students aware that these payments could be considered taxable income by the Internal Revenue Service if used for nonqualified educational expenses.

#### **Payments for group student travel:**

If travel is part of a course curriculum or is to provide a supplemental educational experience related to a course, payments may be paid directly to the vendor by the department using the DAV form or procurement card **only** when:

- a) the fees for the travel are included in tuition or course fees, OR
- b) a special fee is paid directly to the department by the student.

Payments on behalf of students traveling as members of an athletic team, band or other group representing the University should be paid directly to the vendor by the department using the DAV form or procurement card.

The procurement card must **not** be used by departments to make payments on behalf of students for individual travel, organizational memberships or fees, subscriptions or any other type of expense except for group travel as noted above.

Additional information can be found at  
<http://www.uky.edu/EVPFA/Controller/files/BPM/E-7-14.pdf>

### 14. Treasury

- a) CASH and Check  
(<http://www.uky.edu/EVPFA/Controller/files/BPM/E-2-4.pdf>)

#### **UK's Deposit Policy**

- a. Deposits must be made with the Treasury Services in Lexington or the authorized depository bank in out-of-town locations according to the following policies:
  - (1) daily, if cash receipts accumulate to \$200, although more than one deposit a day is not required, plus
  - (2) each time during the week deposits accumulate to \$200 if receipts are less than \$200 per day, plus

- (3) on the last working day of the week if cash is on hand, plus
- (4) by 11 a.m. (Treasury Services) or the local bank's cut-off time (out-of-town locations) on the last working day of the month if cash is on hand. This is to insure that activity is included in the correct accounting period.

### **Check Deposit Preparation**

1. Prepare a check transmittal
2. Prepare a deposit slip and include the department number at the top if it is not already pre-printed. Do not list the checks singly. Put one total amount on the 3<sup>rd</sup> line of entry as well as the bottom and to the left.
3. Verify all checks are made to the order of the University of KY. Stamp or endorse the back of each check with the department name/number and UK's Restricted account number (4212788889).
4. Add all checks twice to verify the accuracy. Include this adding machine tape in the deposit envelope.
5. Place the checks, adding machine tape, and the first two copies of the deposit slip into an envelope labeled: PNC with the total amount and the department number listed. This envelope will not be opened and counted by the Treasury cashiers. It will go directly to the bank.

**TREASURY WILL PROVIDE DEPOSIT SLIPS AND ENDORSEMENT STAMPS. THE CASH TRANSMITTAL FORM IS ON UK'S FORM PAGE (WWW.UKY.EDU/EFORMS).**

Helpful Hints: <http://www.uky.edu/EVPFA/Controller/treasury.htm>

**COLLEGE POLICIES: Each department prepares and submits their cash and checks to Treasury. Note that all GIFT funds must be forwarded to Betty Hickey in the Development Office.**

### *b) Wire Transfers*

Please contact your departmental business office for instructions on wire transfers. The form can be found at: <http://www.uky.edu/eForms/forms/WireTransForm-iris.pdf>

Note: After April 1, 2011, paying banks will no longer be able to remit funds using the National City Bank routing number (RTN/ABA) for wire transfers (083000056). If you have not done so already, it is extremely important to contact all remitters/originators and provide them with the below PNC Bank wire instructions to ensure funds are credited to the correct University of Kentucky deposit account after this date.

Payment Type	ACH	Domestic Wire Transfer	International Wire Transfer
Receiving Bank	PNC Bank	PNC Bank	PNC Bank
RTN/ABA	041000124	041000124	041000124
Beneficiary	University of Kentucky	University of Kentucky	University of Kentucky
Beneficiary Account #	4212788889	4212788889	4212788889
SWIFT ID	N/A	N/A	PNCCUS33
Reference	Include additional remittance information with payment (e.g. grant number, invoice number or other additional information that UK can use to identify appropriate department)		

*c) Procedures for Credit Card Merchants*

Information can be viewed in the Business Procedures Manual (<http://www.uky.edu/EVPFA/Controller/files/BPM/E-2-11.pdf>)

**C. Capital Projects & Renovations**

*Unexpended Plant Fund Policy*

**Policy:**

Unexpended Plant Fund WBS elements shall be established for:

- all construction, renovation, repair, and replacement projects estimated to be \$100,000 or more;
- all construction, renovation, repair, and replacement projects funded by special state appropriations (e.g. deferred maintenance pools, state grants) and related matching funds, regardless of scope - for renovations of less than \$100,000, see E-3-2; and
- all major equipment purchases when an individual item costs \$200,000 or more - equipment costing less than \$200,000 per item should be purchased on departmental cost centers.

**Procedures:**

1. Establishment:

a. Three forms shall be completed for all projects and major items of equipment as follows:

- 1) Project Request Form (<http://www.uky.edu/eForms/forms/ProjectRequestForm-iris.pdf>) shall be completed for all projects and for major items of equipment and shall indicate the total scope and sources of funding for the project;

- 2) Capital Budget Form (<http://www.uky.edu/eForms/forms/CapitalBudgetForm-iris.pdf>) shall be completed to establish the budget for the project.
- 3) A journal voucher shall be completed using IRIS transaction code FV50 to transfer necessary funds to the project. Journal vouchers funding existing projects shall be completed and parked by the department for posting by General Accounting. When journal vouchers for new projects are created, the department will not know the WBS element number; therefore, these journal vouchers should be saved only. General Accounting will complete the journal voucher and post after the WBS element has been created.

*b. Forms shall be approved by the Department Chair or Center Director and submitted to the Business Office for approval. The Business Office will forward to the Provost 1 Office for final approval.*

**Additional information can be found in the Business Procedures Manual**  
(<http://www.uky.edu/EVPFA/Controller/files/BPM/E-3-1.pdf>)

## D. Fabricated Equipment

### **Purpose:**

Occasionally the University will find it necessary to fabricate specialized equipment within the University system due to lack of availability on the market. Typically when this occurs, several purchases which are individually below the capitalization threshold are made and charged to expense object codes. The result is that a valuable piece of equipment is created but not placed in the capital equipment inventory, and therefore, not insured.

When a department determines the need to fabricate an equipment item whose total cost will be \$5,000 or greater, and whose fabrication will cross fiscal years, a plant fund fabricated equipment WBS element should be established.

Note: Equipment having a total cost of **\$200,000** or greater requires legislative approval. Also note that the Business Procedures Manual has NOT been updated and still shows **\$100,000** as the limit.

All documents to establish a Fabricated Equipment account should be routed through the Business Office for approval.

Procedures to establish an account can be found at  
<http://www.uky.edu/EVPFA/Controller/files/BPM/E-3-3.pdf>.

## E. Journal Vouchers

JVs are the official document used to make entries between SAP funds, cost centers, internal orders and WBS Elements. JVs are typically used for four types of transactions:

1. Corrections related to previously recorded transactions;
2. Posting charges for goods or services rendered by a department for another University department when a satellite billing system is not used;

3. Journal entries to record accounting transactions such as accruals for accounts receivable and accounts payable and transfers between business areas;
4. Allocations of costs to accounts based on a reasonable, verifiable method.

Additional information and instructions can be found in the Business Procedures Manual <http://www.uky.edu/EVPFA/Controller/files/BPM/E-4-1.pdf>.

## V. Travel

(Employees are responsible for knowing UK's travel regulations.)

All business travel must be approved by the employee's supervisor. Business Travel may include conferences, workshops, or meetings. (Recruiters should notify their supervisor of their travel schedule.) Each employee is responsible for scheduling and arranging travel plans, including flight, hotel, and registration through the University Travel System. Dates, time, and special needs should be clearly stated to the supervisor in the planning phase and prior to booking any arrangements. ***Reminder... Airfare purchased with an alternate vendor will NOT be reimbursed unless a cost comparison is attached to the travel voucher. The cost comparison must be printed on the same day in which the ticket was purchased.***

Employees are responsible for maintaining records of all travel expenses that are to be reimbursed. Travel Vouchers should be prepared and submitted to the supervisor within 21 days of the trip. Additional information can be found at:

<http://www.uky.edu/EVPFA/Controller/files/BPM/E-5-1.pdf>

Note that any deviation from the Business Procedures Manual requires a "Request for Exception to Policy" form in order to process the document for payment. **Note that the College of Engineering no longer will process ANY "Request for Exception to Policy" forms for any staff of faculty member of the college. No exceptions.**

**Travel for Department Chairs, Center Directors, and Staff reporting directly to the dean, should be approved by the dean (these can be emailed to Mary McBeath to expedite approval).** Departments and Centers should submit the travel vouchers for the individuals listed above, to the Business Office.

Travel for the dean is submitted to the provost for approval.

In Administration, all travel should be pre-approved by the supervisor. This includes preparing a "Procard Log" form for estimated procard charges while in travel status (hotel, internet, airfare, etc...) Travel vouchers should be prepared by the employee and put in the mail box for the Business Office. The Business Office will review, assign a travel voucher number and approve.

### A. Funding Request

#### TRAVEL APPROVAL

- All travel, regardless of funding, must be approved by the employee's supervisor. Some departments within the College of Engineering require a prior approval



form to be submitted and approved. Engineering Administration uses the Absence Form, which is submitted prior to travel, as authorization.

- Absence Forms should be prepared and submitted to the supervisor prior to traveling. This form is the official documentation showing approved travel status/dates/location/contact information for the employee. The employee needs to complete section (7411) on the form- Official University Travel.
- All absence forms are kept in the employees personnel file in administration (for administration employees only). All other employee absence records are maintained in the business office in which the employee works.

## **B. Combining Business & Personal Travel**

**YOU MUST USE YOUR PERSONAL FUNDS FOR ALL TRAVEL EXPENSES! SEE BELOW.**

Please contact the Business Office if you have questions regarding any Travel policy.

In all cases that personal and business travel are combined on an airline ticket , a valid airfare cost comparison as defined in section VI.A.c below, must be secured for what the airfare would cost if the traveler were only flying on official UK business. This cost comparison must be attached to the travel voucher. Any personal choice that is included on an airline ticket regarding travel dates, destinations, detours, upgradeable fares, originating airports other than the traveler’s “work station” airport (for Lexington based employees, Louisville and Cincinnati airports are acceptable as well as Lexington’s), or any other personal choice, must be supported with a “business-travel-only” airline cost comparison.

**B. When combining personal with business travel, all travel expenses must be paid using personal funds, not with a University Procurement Card** or any other method using University funds; exceptions are:

1. Conference registration fees;
2. Lodging expenses for the nights related to the business purpose of the trip.

C. Any additional cost resulting from combining personal travel with business travel is the responsibility of the traveler and will not be reimbursed by the University.

D. The traveler must provide documentation substantiating that no additional costs are included in the expenses claimed for reimbursement. Otherwise, the expenses will be allocated on a pro rata basis between official University travel expenses and personal expenses.

## **VI. OTHER BUDGET AND FUNDING INFORMATION**

### **a) Budget Preparation**

Normally in January/February, Department Chairs are sent a list of “known” commitments for the following year. The Department Chairs confirm the amounts and submit additional requests for “off-budget” items. The Dean and Business Officer review the requests and the chairs are notified if approved or not. The recurring budget for the college is entered during the university budget preparation time, which is normally February – May.

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The Business Officer keeps a list of salary savings, recurring transfers, and nonrecurring transfers. This spreadsheet is updated continuously during the year. Throughout the year, COE faculty and staff members may request additional funding by using the form below.

For Business Office Use:

COLLEGE OF ENGINEERING

Dean's Funding Request

Date of Request:  Date Funding is Needed:

Department:

Requester:

Amount Requested:

Purpose:

Will departmental or other funds be committed? Yes No

If yes, please list sources and amounts

Dean's Comments



<b>X</b>	<b>X</b>
Department Chair/Center Director/Supervisor	Dean

**b) Budget Transactions and Revisions**

Budget Transfers and Revisions are prepared by the College Business Officer and approved by the Provost Budget Office. Nonrecurring commitment funding will be transferred the Departmental Dean’s Commitment Account.

**c) Cost/Fund Center Create Forms**

Cost/Funds Center forms to create/change/delete items are prepared by the College Business Officer. Please send requests to Connie Ecabert in the Engineering Business Office.

**d) HR Transactions Requiring Approval from the Dean and the Provost Budget Office: (Send all requests to the College Business Office)**

- a. Nepotism Requests
- b. Phased Retirement Requests
- c. Salary Recommendation Forms (New Hires, Lateral, Demotion, Re-evaluations, Transfers, Promotions) for over 20% of base, over the mid-point of the salary range, lateral transfers with increases
- d. Staff Overloads
- e. Job Analysis Questionnaires- JAQ (New Positions) on “state funds”

**e) Faculty Salary Adjustments/Retention Requests**

Recent and current university budgets have included designated pools for faculty retention, commonly referred to as “the fighting fund”. The justification for setting aside these funds is to minimize the loss of valued faculty who are being lost to competitive offers at other institutions at an unacceptable rate. The guidelines are intended to be consistent with that justification.

- a. Proposals for allocation of fighting funds for a faculty retention offer should be submitted to the dean by the department chair. The dean will then submit via email to the provost for approval.
- b. These funds may be used for salary and benefits only and for tenured or tenure-track faculty only.
- c. The funds are for making counter-offers against ACTUAL external offers. An offer from a lower-ranked institution is not as compelling as one from a higher-ranked one.
- d. Pre-emptive offers are considered exceptional, and apply only when a highly valued faculty member is actively being recruited by a well-ranked department.

The chair/dean will need to make a case for both “highly valued” and “actively being recruited”.

- e. After a college has exhausted its annual allocation from the fund, proposals may be submitted for appropriation from the following year’s allocation or from the provost’s reserve. In such cases, higher expectations will be applied with regard to both the value of retention and the risk of departure.

#### **f) Diversity Incentive Funding**

##### **Guidelines from the President Effective from 2008 – present**

**Objective:** The University will aggressively recruit and retain faculty and staff to create an even more diverse campus community.

**Eligibility:** Although the Diversity Incentive Fund is open to all qualified individuals, consideration will be given to the following categories of race-ethnicity as defined by the U.S. Department of Labor, Office of Federal Contract Compliance Programs Manual. (Black, Hispanic, African Indian-Alaskan Native)

In addition, an individual who is a new hire to the University and has one the following full-time appointments: Regular Faculty (not Research Title), Lecturer, Librarian, Administrator (Executive, Administrative, and Managerial)

##### **Amount of Funding:**

\*Requests will be processed as received.

\*Tenure track faculty and librarians – funding will be made available for the annual state-supported salary.

\*Lecturer and Senior Lecturer: Funding will be made available for the annual state-supported salary.

\*Administrator- : Funding will be made available for the annual state-supported salary, up to \$60,000.

\*The cost of all benefits will not be a part of the allocation from the minority incentive funding program.

\*The term is one year. At the department’s request, the incentive funds may be provided over a two-year timeframe.

\*Approval- Units submit request to the Provost with the official start date. If approved, the request is sent to the University Budget Office for coordination and review. The University Budget Office submits to the VP for Institutional Diversity for final consideration and approval. The Budget Office will notify the appropriate person of the results and will process a non-recurring transfer to the appropriate unit.

**f) Ledger Sheet Reconciliations**

A committee has been formed to establish a procedure to standardize ledger sheet reconciliations. This section will be updated when finalized. Currently, each department reconciles their accounts and obtains approval from the Department Chair or Center Director.

**g) Fixed Price Residuals**

The University Policy on fixed-price agreements (AR 7.3) allows a residual cash balance to be transferred into an unrestricted general fund discretionary cost center (ledger 3) set up specifically or Fixed Price Residuals (FPR). Additional Information can be obtained from the [Administrative Regulations \(AR 7.3\)](#).

**VII. GRANTS**

Associate Dean for Research: Dr. Eric Grulke ([egrulke@engr.uky.edu](mailto:egrulke@engr.uky.edu))

Grants Officer: Jason Hardin ([jhardin@engr.uky.edu](mailto:jhardin@engr.uky.edu))

Conflict of Interest Form: <http://www.uky.edu/eForms/forms/discfin.pdf>

Other OSPA Forms: <http://www.research.uky.edu/ospa/forms.html>

**College of Engineering: Grant Procedures**

- g) Prior to submission, prepare an Internal Approval Form. This is an electronic process submitted through MY UK. Jason Hardin will automatically receive a copy electronically.
- h) Contact Jason Hardin to discuss solicitation and budget.
- i) Complete the Application Package. After completion, email entire package to Jason for review. The completed package needs to be sent to Jason at least 3 days prior to deadline.
- j) Note that the package needs to include a **Conflict of Interest form**. All signatures need to be obtained and HARD copy given to Jason Hardin or you can attach to the e-AIF form.
- k) After Jason reviews, he will send the application to OSPA for submission. (**Note that Jason does not submit the application.**) You can contact OSPA to determine if your application has been submitted. If FASTLANE (NSF) is used for submission, you will receive an automatic confirmation email.

**NOTE:**

As a rule, The College of Engineering does not cost share when not mandatory.

If cost sharing is required, the department chair and Dr. Grulke need to approve prior to submission to Jason Hardin.

Examples of approved cost share are academic year release time and in-kind match from industry or 3<sup>rd</sup> party sources.

### VIII. COLLEGE OF ENGINEERING EMPLOYEE PROCEDURES CONFIRMATION

The COE Procedures is not a contract. An Employee's success is based on clear expectations matched with personal accountability regarding the procedures. COE core values are reflected throughout, and it is incumbent on each employee to contribute to a positive and productive work environment. Other vital information is contained in the University of Kentucky Staff Handbook and is available online at [www.uky.edu/HR](http://www.uky.edu/HR) or through the UK Human Resources Office.

The signature below acknowledges the employee is aware of COE procedures and the University of Kentucky policies and procedures. Every COE employee must make a copy of this page. Sign and date the copy to acknowledge awareness and responsibility of these items. Submit the signed COE Employee Procedures Confirmation to the COE Business Office to file in their Personnel File.

**A copy of the COE Employee Procedures was received by me on the date indicated. I am aware of the COE procedures and University of Kentucky policies and procedures and understand I am responsible for reviewing them.**

**Print name legibly:** \_\_\_\_\_

**Employee title:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_