

University of the
Southwest
Staff Handbook
2017

ACKNOWLEDGEMENT FORM

I have received a copy of University of the Southwest's Staff Handbook and understand that it contains some of the rules and regulations of University of the Southwest. I acknowledge that I have read and understand its contents, including but not limited to, the policy prohibiting harassment and the complaint procedure to report harassment. I understand that the information in the Handbook represents guidelines only and University of the Southwest reserves the right to modify this Handbook or amend or terminate any policies, procedures, or employee benefit programs, whether or not described in this Handbook, at any time. I further acknowledge and understand this Handbook is not a contract, express or implied, guaranteeing employment for any specific duration.

Employee Signature

Date

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Our Heritage

INTRODUCTION

This handbook has been prepared to provide all employees not designated as teaching faculty with the procedures and policies under which University of the Southwest operates. (Teaching faculty should refer to the current Faculty Handbook.) It will give you basic policy information only. Nothing in this handbook is intended to constitute or create a contract or guarantee the employment or duration of employment of any person. Should you have any questions, feel free to discuss them with your immediate supervisor, or the Assistant Vice President of Human Resources and Regulatory Compliance (Assistant VP of HR and RC).

Each employee of University of the Southwest is a valuable part of the overall educational process. Our purpose is to provide quality education for our students in the context of the University mission. The manner in which you carry out your responsibilities will contribute to the spirit and efficiency of the University.

STATEMENT OF ETHICAL STANDARD

Administrative and support staff are crucial to guarantee the effective and smooth-running operation of the University. In support of the University's instructional mission, the staff makes every attempt to encourage and enhance student learning.

Administrative and support staff recognize that their employment at University of the Southwest carries with it special responsibilities:

- to act in the execution of their duty in such a way as to set the highest standard.
- to demonstrate a well-developed work ethic committed to getting the job done.
- to demonstrate a caring attitude toward fellow workers and students based upon the Christian faith.
- to demonstrate through support the policies and programs of the University.

Understanding that all staff members are at will employees and can be terminated at any time for any reason, failure of an employee to carry out these special responsibilities or conduct or work performance by an employee which is detrimental to the work of the University of the Southwest constitutes grounds for termination.

UNIVERSITY OF THE SOUTHWEST MISSION STATEMENT

University of the Southwest is a Christ-centered educational community dedicated to developing men and women for a lifetime of servant leadership by emphasizing individual faith, responsibility, and initiative.

- Teaching at University of the Southwest adheres to belief in God, in the Bible as the inspired Word of God, in Jesus Christ as the Son of God, and in the separation of church and state.
- University of the Southwest strives for excellence in academic curriculum, campus life programming, and student activities in a supportive educational community where

UNIVERSITY OF THE SOUTHWEST MISSION STATEMENT (Continued)

freedom of thought and expression is honored and the demonstration of faith in acts of service is encouraged;

- At University of the Southwest, students are instructed and mentored by a faculty and staff who demonstrate Christ-centered values and maintain an environment where students can live and work cooperatively, valuing the multiple cultures from which they come; and
- As a community of initiative, University of the Southwest challenges graduates to become enterprising members of our society contributing to the common good by advocating and participating in the productive commerce of free enterprise, the constitutional privilege of self-government, and the practical contributions of community service.

Employment

ANTI-DISCRIMINATION POLICY

University of the Southwest is an independent University. While emphasizing a curriculum of liberal arts, a primary stress is upon Christian values and character and free enterprise principles.

University of the Southwest is an equal opportunity employer and employs without regard to race, age, disability, religion, color, sex, national origin, or any other basis prohibited by local, state, or federal law. Employment decisions, including, but not limited to, recruiting, selection, hiring, training, transfer, promotion, termination, compensation, and benefits will be based upon an individual's qualifications with all personnel actions administered without regard to race, age, disability, religion, color, sex, national origin, or any other basis prohibited by local, state, or federal law. USW will make reasonable accommodations for qualified individuals with known disabilities as required by law unless doing so would result in an undue hardship, safety risk, or health risk.

It is the responsibility of all Directors and Senior Administrators to see this policy is carried out in their areas; however, the overall responsibility for planning and implementing this policy is assigned to the Assistant VP of HR and RC. The Assistant VP of HR and RC serves as the Affirmative Action Officer for the University and has specific responsibility for coordinating the University's non-discrimination efforts in regard to employment to comply with applicable employment laws and regulations. Inquiries regarding USW's non-discrimination policies and practices may be directed to the following:

Veronica Torrez
Assistant VP of HR and Regulatory Compliance
University of the Southwest
6610 N. Lovington Hwy.
Hobbs, NM 88240
(575) 492-2146

CONDITIONS OF EMPLOYMENT

As a condition of employment, staff members employed by the institution shall be made aware of the Mission statement of the University, and shall agree to uphold it through their work and through their professional and private lives.

The job title, employment start date, initial salary and other conditions of appointment shall be stated in writing and signed by both the representative of the University and the individual accepting appointment. Nothing contained in this written document shall be construed as creating an employment contract. Any staff member's employment may be terminated at any time, for any reason.

DRUG-FREE WORKPLACE/DRUG TESTING/DISEASE OR ILLNESS TESTING

It is the policy of the University to create a drug-free workplace. The use of controlled substances is inconsistent with the behavior expected of employees, subjects all employees and visitors to our facilities to unacceptable safety risks, and undermines the University's ability to operate effectively

DRUG-FREE WORKPLACE/DRUG TESTING/DISEASE OR ILLNESS TESTING (Continued)

and efficiently. In this connection, the unlawful manufacture, distribution, dispensation, possession, sale, or use of a controlled substance in the workplace or while engaged in the University's business off the premises is strictly prohibited. Such conduct is also prohibited during non-working time to the extent that in the opinion of the University, it impairs an employee's ability to perform on the job or threatens the reputation or integrity of the University.

Employees who violate any aspect of this policy may be subject to disciplinary action up to and including termination. At its discretion, the University may require employees who violate this policy to successfully complete a drug abuse assistance or rehabilitation program as a condition of continued employment. The University reserves the right to require employees to undergo appropriate tests designed to detect the presence of alcohol, illegal drugs, or other controlled substances (i) prior to being hired by the University, and (ii) where the University has reason to believe an employee may be under the influence of any of these substances. Refusal to consent to such tests may result in disciplinary action up to and including termination.

Employees may be required to take certain medical examinations, at the university's expense, when such examinations relate to a bona fide occupational requirement involving one's ability to perform job related functions and is consistent with business, school, or academic necessity. Such medical examination requirements must be reasonably and rationally related to the employment activities and responsibilities of a particular employee or a particular group of employees rather than to all employees.

A medical examination involving a human immunodeficiency virus related test will be required only when the absence of HIV infection is a bona fide occupational qualification for the job in question, and the test is necessary to ascertain whether an individual is currently able to perform the duties of a particular job in a reasonable manner without presenting a significant risk of transmitting the virus to others, and no reasonable accommodation short of requiring the test exists.

EMPLOYMENT PROCEDURES

- Contact the Assistant VP of HR and RC immediately upon knowledge of a vacancy or new position by completing a **Vacancy/ New Position Form and attaching a job description**. Please send an electronic version of the job description to Assistant VP of HR and RC if it has been updated.
- Forward the **Vacancy/New Position Form to the CFO**. The CFO must approve the salary range before any other action can be taken.
- All advertising will be coordinated by the Assistant VP of HR and RC. The Assistant VP of HR and RC and search contact individual will meet to make sure all necessary info will be in the ad. The Assistant VP of HR and RC will post the position announcement internally for five days. The announcement will also be posted on University of the Southwest's website. At the

EMPLOYMENT PROCEDURES (Continued)

time the announcement is posted on the website, the announcement will also be placed in the Hobbs newspaper and/or any additional media with a small ad which will refer interested candidates to the website. No salary information will be posted in ads. Inquiries regarding salary range will be referred to the Assistant VP of HR and RC. **Approved Purchase Request is required for all position ads.**

- All resumes and information on the position will come through the Assistant VP of HR and RC. The Assistant VP of HR and RC will acknowledge receipt of application materials from each applicant and will forward copies of information to search contact individual. The chairman of the search committee will keep the Assistant VP of HR and RC advised on progress of meetings, campus visits, etc. When candidates call the University, the Assistant VP of HR and RC will need to know the progress of the search so questions can be answered in a professional manner.
- The on-campus interview schedule should include a brief session with the Senior Administrator and the Assistant VP of HR and RC for a general presentation of employee benefits. All appointments for the interview schedule should be made by the search committee. Avoid language during the interview process which might imply a contractual relationship with the employee; such as, “You have job security as long as you perform well”.
- When selection of the candidate for the position is made, contact the Assistant VP of HR and RC immediately to begin the background investigation. All application materials must be returned to the Assistant VP of HR and RC along with an **approved PR for the investigation**. Upon completion of the background investigation, the Assistant VP of HR and RC will advise the supervisor of the results so the supervisor may contact the applicant.
- Prior to orientation with the Assistant VP of HR and RC, the supervisor will go through the job description with the new employee. The employee’s signature will indicate acceptance of the job description requirements.
- A **Staff New Hire Form** should be completed upon acceptance of the position by the new employee and delivered to the Assistant VP of HR and RC within 24 hours of acceptance.
- A brief report from the search committee/supervisor is required to close the position stating the reasoning behind each applicant’s approval.
- A letter of appointment will be sent from Assistant VP of HR and RC to the successful candidate and their orientation appointment will be scheduled. Letters will also be sent to the remaining candidates to inform them of the University’s decision. The chairman of the search committee is responsible for announcing the new employee to the campus by way of a campus wide email. The Personnel Office will sponsor a reception to introduce the new hire.

EMPLOYEE CLASSIFICATION

A full-time employee works at least forty (40) hours per week each week of the year with the exception of the vacation period or an equivalent of at least 2,080 hours per year. All full-time employees are eligible for benefits.

Employees working less than forty (40) hours per week, but more than twenty-nine (29) hours per week, are considered eligible for medical insurance only as per the Affordable Care Act. All other benefits are not extended to employees working less than forty (40) hours per week.

EMPLOYMENT

All staff members of the University are at will employees. Accordingly, a staff member's employment may be terminated by the University at any time for any reason, with or without cause or notice or any right to a hearing. The University may at any time verify information related to the employment process.

EMPLOYMENT OF RELATIVE (NEPOTISM)

The University recognizes personal relationships among its faculty and staff based on kinship or marriage can be a deterrent to impartiality or have negative effects by appearing, in the eyes of others, to be a deterrent. The purpose of the following policy is to reduce the probability of actual or perceived subjectivity in management actions affecting University personnel.

In filling staff vacancies, it is the policy of the University to select from available qualified candidates the applicant who is deemed to be best qualified for the position and whose employment is most likely to advance the University's mission. Any such applicant who is married to, or becomes married to, or is a child, sibling, parent, in-law, or other relative by blood or marriage of another member of the staff may be employed in any department at the University except the one in which the related individual works.

Requests for exception to this policy must be forwarded for consideration and action by the President.

EVALUATIONS

University of the Southwest evaluates employee performance annually. Staff evaluations are due in the Assistant VP of HR and Regulatory Compliance's office by May 31 of every year. A copy of the evaluation will be given to the employee and a copy will be placed in the employee's personnel file.

This establishes the formal review to allow employees and supervisors an opportunity to directly discuss aspects of performance. This time can be a very positive opportunity for feedback. Salary increases, determined on a merit basis, will be considered annually within budgetary restraints.

E-Verify

University of the Southwest participates in E-Verify. Federal law requires the University to verify the identity and employment eligibility of all persons hired to work in the United States.

EXIT INTERVIEW

The employee is responsible for scheduling an appointment with the Assistant VP of HR and RC for an exit interview before the last day of employment. During the exit interview, provisions for insurance continuation and other benefit issues will be discussed. An employee will not be considered having completed job responsibilities without the exit interview. This will protect the employee's right to understand continuation of benefits and other necessary federal and state regulations. At this time the employee will also be required to return all keys and other University property.

KEY REQUESTS

Employees requiring keys must fill out a **Key Requisition Form** and submit it to their supervisor. Upon approval, keys will be purchased and distributed by the Campus Steward. Employees must also fill out a **Purchasing Form** for payment of key reproduction service. Keys must be turned in upon termination of employment and may not be transferred to another employee. Under no circumstances are employees to have their own keys made for University use.

ORIENTATION PROCEDURE

On the first day of employment, the new employee must schedule an appointment with the Assistant VP of HR and RC for an orientation. The following items will be included in the orientation interview:

- 1) State and federal income withholding forms will be completed.
- 2) Employee information sheets and forms for payroll use will be completed.
- 3) If applicable, the University's fringe benefit program will be explained.
- 4) A copy of the Staff Handbook will be given to the employee.
- 5) Issuance of employment-related items (e.g., long distance code, parking permit) as applicable.

It is the employee's responsibility to inform the Assistant VP of HR and RC of any change in personal status. Change of name, address, marital status, birth of children, withholding exemptions, telephone number, and insurance beneficiary are some examples. Keeping one's personal information up-to-date enables campus personnel to reach the employee in an emergency, forward mail, properly maintain insurance and other benefits, accurately compute payroll deductions, and correctly produce administrative reports.

PERSONNEL RECORDS

The University maintains a central personnel file on each staff member. Personnel records including resume, letters of recommendation, employment application, performance evaluations and any letters of achievement or discipline constitute the basic personnel file. In the case of department directors, deans and administration appointments the official transcripts of all collegiate and graduate work must also be on file.

Security for the personnel files requires that access is limited to immediate supervisors and the officers of the institution. The employee is permitted to examine the content of his/her file upon request in the presence of an authorized University representative. Information may not be removed from a personnel file.

PHYSICAL EXAMINATIONS/DISEASE OR ILLNESS TESTING

At the time of employment, the prospective employee may be required to take a physical examination in order to verify the ability of an employee to perform job-related functions. If such a requirement is requested, it is for the employee's own protection as well as fellow workers. This will ensure that the employee does their work safely and efficiently. In addition, an employee could be requested to take a physical examination at any time during their employment with University of the Southwest at the University's request in order to verify the ability of an employee to perform job-related functions. If requested, the physical examination will be paid for by the University. The requirement for a physical exam will be totally at the discretion of University of the Southwest in order to verify the ability of an employee to perform job-related functions.

Employees may be required to take certain medical examinations, at the University's expense, when such examinations relate to a bona fide occupational requirement involving one's ability to perform job related functions and is consistent with business, school, or academic necessity. Such medical examination requirements must be reasonably and rationally related to the employment activities and responsibilities of a particular employee or a particular group of employees rather than to all employees.

A medical examination involving a human immunodeficiency virus related test will be required only when the absence of HIV infection is a bona fide occupational qualification for the job in question, and the test is necessary to ascertain whether an individual is currently able to perform the duties of a particular job in a reasonable manner without presenting a significant risk of transmitting the virus to others, and no reasonable accommodation short of requiring the test exists.

PROMOTION/TRANSFER PROCEDURE

The University supports filling job vacancies from within whenever qualified employees are available. Promotions and transfers will be approved when conditions are mutually agreed upon between the departments involved and when it is beneficial to the University.

PROMOTION/TRANSFER PROCEDURE (Continued)

When a vacancy occurs, the position may be posted on the campus for (5) working days. An employee who is interested in being considered for promotion opportunities or a transfer should first discuss his/her interest and qualifications with the respective Senior Administrator. If, after this discussion, there is mutual agreement that there should be further interviews, the employee's supervisor will be informed before such arrangements are made.

Promotion/transfer dates shall be arranged at a time mutually agreeable to the two departments involved. A staff member's indication of interest in an opening will not affect the current position of the staff member.

RESIGNATION

Should an employee find it necessary to resign from employment at University of the Southwest, that employee should present a letter of resignation to the immediate supervisor with a copy to the Assistant VP of HR and RC. It would be appreciated if the resigning employee would give as much notice as possible.

Health, dental, and/or vision insurance eligibility cease as of the last day of the month in which the employee last works.

TERMINATION

If an employee is dismissed, the final check shall be issued within five (5) calendar days pursuant to applicable law. If an employee resigns, the final check is due and payable the next regular payday.

BACKGROUND INVESTIGATION POLICY

Applicants considered for employment with University of the Southwest including, but not limited to, substitutes, volunteers and temporaries, are subject to work history, education history, and reference investigations. Positions including budgetary responsibilities will undergo a credit investigation. Employees handling large amounts of money will be periodically repeated. Each such application may be subject to a criminal background investigation, to be paid for by University of the Southwest, as a condition of further consideration for employment.

All offers of employment are contingent upon the satisfactory completion of background investigations.

Criminal convictions shall not automatically bar an applicant from obtaining employment with the University of the Southwest, but may be the basis for refusing employment. All negative findings will be discussed with the applicant as required by the Fair Credit Reporting Act.

BACKGROUND INVESTIGATION POLICY (Continued)

Criminal background checks, as described above, may also be conducted upon each contractor or contractor's employee, to be paid for by University of the Southwest, if the contractor or contractor's employee has unsupervised access to students. In such cases, contracts shall be subject to the satisfactory completion of background checks. Any third party using the campus will be required to provide the same level of investigation as the university requires for a similar position. All persons living on campus but not employed by the University will be investigated.

University of the Southwest may also conduct the referenced background investigations of incumbent employees if it becomes aware of facts, circumstances, or conduct that give rise to a reasonable suspicion that undisclosed aspects of the employee's background might disqualify him or her to continue in employment with the University of the Southwest. Investigations will be repeated on all employees should their job responsibilities increase.

The University's AGREEMENT, AUTHORIZATION, WAIVER, AND RELEASE Form shall be attached to all applications for employment and shall be signed by applicants prior to being considered for employment.

Compensation

HOURS OF WORK

The normal work week is 40 hours, which allows for the scheduled needs of the particular department involved. For most offices the work week will be Monday through Friday; however, exceptions will depend upon the needs of a particular department. The standard workday is 8:00 a.m. to 5:00 p.m. with an hour per day for lunch. A department which must vary from this standard must have the approval from the Senior Administrator who oversees that department.

An employee who is absent from work is responsible for notifying his supervisor of the reason for the absence and when he/she will return to work. Failure to report absence from work within one hour after the start of the workday on the first day of absence will result in corrective action. Habitual tardiness will also be a matter for corrective action.

OVERTIME

The Federal Wage and Hour laws mandate that all non-exempt employees who work in excess of forty hours per week will be paid overtime pay (i.e., one and one-half time) for those hours in excess of forty hours.

For the purpose of calculating overtime, the work week begins on Monday and ends the following Sunday. Overtime calculations are based on actual hours worked. Holiday and paid leave are not included in overtime determinations. Employees using a time clock to record their work hours will be allowed a ten minute rounding allowance for practical administrative purposes.

Since the University believes time off for leisure is important, an employee will be asked to work overtime only when absolutely necessary. Unless specifically authorized by the supervisor, an employee is not permitted to work overtime.

If an employee is paid on an hourly basis, they will receive overtime pay for hours worked over 40 hours per week at one and one-half times the regular rate. **Overtime worked in one week cannot be averaged by working fewer hours in a corresponding week to obtain the minimum 40 hours standard.** Any hours worked in excess of forty hours per week must have a completed **Overtime Approval Form**. This form must be submitted with the employee's time sheet.

Overtime hours must be **PRE-APPROVED** by both the Department Director and the Senior Administrator responsible for the department. Employees may not accumulate time off (comp time) for excess hours worked. Overtime pay is not included in the university budget. The Department Director, Dean or Division Chair must prepare a **Budget Revision Form** in order to fund the approved overtime and have the form approved by the Senior Administrator.

PAY PERIODS

All non-exempt staff (i.e., subject to the *Fair Labor Standard Act*) will be compensated on a semi-monthly basis. On the 16th and last business day of each month, payroll will be disbursed to non-exempt staff eligible for payment via automatic deposit to the financial institution(s) of their designation.

All exempt staff (i.e., exempt from the *Fair Labor Standard Act*) will be compensated on the last business day of each month. Payroll will be disbursed to exempt staff eligible for payment via automatic deposit to the financial institution(s) of the employee's designation.

If a payroll date coincides with the weekend or a holiday, payment will be disbursed on the last business day prior to the scheduled pay date.

PAY STUBS

Some payroll deduction descriptions are self explanatory, but some may be confusing. The following is an abbreviated list of the most common descriptions.

AFLAFT – AFLAC (Aftertax)
AFLPRE – AFLAC (Pretax)
DFLEX – Dependent Care Flexible Spending Account
DNTECM – Dental – Employee/Child Monthly
DNTECS – Dental – Employee/Child Semi-Monthly
DNTEFM – Dental – Employee/Family - Monthly
DNTEFS – Dental – Employee/Family – Semi-Monthly
DNTEOM – Dental – Employee Only - Monthly
DNTEOS – Dental – Employee Only – Semi-Monthly
DNTESM – Dental – Employee/Spouse - Monthly
DNTESS – Dental – Employee/Spouse – Semi-Monthly
HFLEX – Health Care Flexible Spending Account
HLTECM – Health – Employee/Child - Monthly
HLTECS – Health – Employee/Child – Semi-Monthly
HLTEFM – Health – Employee/Family - Monthly
HLTEFS – Health – Employee/Family – Semi-Monthly
HLTEOM – Health – Employee Only - Monthly
HLTEOS – Health – Employee Only – Semi-Monthly
HLTESM – Health – Employee/Spouse - Monthly
HLTESS – Health – Employee/Spouse – Semi-Monthly
MEALS – Taxable Meals
OTHER – Other Withholding
RETIR% - Retirement %
RETIRE – Retirement Fixed Amount
UNDWAY – United Way Contribution

PAY STUBS (Continued)

PAY CODES:

CELL\$ - Cell Phone Business Expense Reimbursement
HRLY – Hourly Pay
OVLN – Overload Pay
OVLNAB – Overload Pay for 8 week term
OVTH – Overtime Pay
SALM – Salary – Monthly
SICKM – Sick – Monthly
VACM – Vacation – Monthly
SALS – Salary – Semi-Monthly
SICKS – Sick – Semi – Monthly
VACS – Vacation – Semi – Monthly

TIMESHEETS/TIME REPORTS

All full-time employees paid on an hourly basis must complete a time report each pay period. All part-time employees must complete a timesheet or timecard weekly. Timesheets/timecards for part-time employees are due every Friday. Time reports for semi-monthly employees are due every payday. Semi-monthly time reports consist of days 1-15 and days 16 through the end of the month. Time reports submitted after the due date will be paid the following payday.

Time reports should be updated on a daily basis. Daily entries must include starting and ending work times. Holidays, and authorized sick leave, vacation leave, personal days and any other leave must be documented on the time report. The type of leave should be listed in the space provided for listing of times, and the amount of accrued leave utilized should be listed in the space provided for listing hours worked. If an employee's leave is not authorized, or there is no accrued leave available, '0' should be listed in this space.

Timesheets and time reports must be submitted to the Director of Payroll for payroll. They must be signed by the employee, and by the employee's immediate supervisor. **Recording time for another employee or falsifying a time report may result in disciplinary action up to and including termination of employment. It is the responsibility of the employee and the supervisor to submit time documents to the Director of Payroll in a timely manner.**

All exempt employees must complete and have their supervisor approve an **Exempt Employee Leave Report** each month. This report is due to the Director of Payroll on the 10th of the following month. A notification will be sent to any employee who has not submitted the report by the 10th of the month with a copy of the notification sent to the employee's supervisor and Senior Administrator. The assumption will be made that all accrued paid leave has been used during the month if a form is not submitted within 48 hours from the time of the delinquent notice.

Employee Benefits

CONDOLENCE POLICY

The University will fund the cost of a gift in memorial (i.e. flowers, memorial brick, etc) for the death of an employee's spouse, child, parent or grandchild. A department representative should contact the Personnel Office with the necessary information when a member of the department is so affected. The Assistant VP of HR and RC will be responsible for ordering all gifts in memorial.

The University will also fund the cost of a gift (flowers, plant, etc) for employees admitted to the hospital for time periods exceeding 24 hours. A department representative should contact the Assistant VP of HR and RC with the necessary information. The Assistant VP of HR and RC will be responsible for ordering the gift.

EMPLOYEE BENEFITS

Enrollment: New employees have the opportunity to enroll in insurance plans within the first 15 days of employment (initial enrollment period). At the time of orientation, the Assistant VP of HR and RC will explain the plan options and discuss the cost of each. If an employee chooses not to enroll during the initial enrollment period they lose their right to enroll in the plans except during the annual open enrollment period. During open enrollment, employees may make changes to plans. The plan choices cannot be changed until the next open enrollment period without the occurrence of a qualifying event (i.e. death, birth, marriage, loss of coverage due to employment changes, etc.). Any qualifying event change to health coverage must be directly related to the nature of the event.

TUITION WAIVERS/ENROLLMENT IN UNIVERSITY COURSES

The University supports the ongoing professional and personal development of its employees; therefore, full-time employees of the University of the Southwest are eligible for 100% tuition waiver of **undergraduate and graduate** tuition upon the first day of service for any term for which the date to add classes has not passed. This benefit applies to two courses per term for graduate classes and three for undergraduate classes. Tuition waiver eligibility requires the student to meet the academic standards outlined in the Financial Aid Satisfactory Academic Progress Policy. Employees can obtain a copy of the policy from the Office of Financial Aid or the USW website.

Employees and dependents are required to apply for grants through FAFSA in order to receive any tuition waiver for undergraduate tuition. The tuition waiver is for tuition costs that exceed all other grants awarded.

The awarded tuition waiver may be eligible for tax deductions as allowed by the Internal Revenue Code. (See www.irs.gov for information on educational tax deductions.) Graduate tuition benefits that exceed the allowable IRS tuition waiver annually may be susceptible to additional federal taxation (please consult an accountant if this applies to your situation). Graduate tuition waivers for spouses and dependents are considered a taxable benefit and will be treated accordingly. Undergraduate tuition waivers are not treated as a taxable benefit.

TUITION WAIVERS/ENROLLMENT IN UNIVERSITY COURSES (Continued)

An employee's enrollment in class(es) should not inordinately affect his/her job responsibilities. To receive the tuition waiver, employees should complete the **Request for Tuition Waiver Employee Form** and submit the form to the immediate supervisor. The form should include the names and times of courses for which the employee plans to enroll, and an indication of how the employee will fulfill his/her work obligations during the enrollment period. The immediate supervisor will forward the form, along with a recommendation, to the Senior Administrator. Final approval rests with the Senior Administrator. Tuition waivers do NOT cover the cost of any fees, textbooks, room or board. The waiver applies to tuition only. A special fee will be assessed for any course in which the employee's enrollment results in additional compensation to the instructor (i.e. internships, directed studies, etc.) or direct costs to the University of the Southwest (i.e. curriculum fees, etc.).

Spouses/Dependents

Spouses and dependents, as defined by the Internal Revenue Code, of full-time employees of the University of the Southwest will be eligible for 100% waiver for undergraduate and graduate tuition upon the first day of service for any term for which the date to add classes has not passed.

Dependents are defined as those individuals eligible to be claimed as dependents for income tax purposes. The employee must complete a **Request for Tuition Waiver Dependent /Spouse Form**. The number of credit hours for which an employee's spouse and/or dependent may receive tuition waiver will not be limited except by the University's academic requirements as stated in the catalog. Tuition waivers do NOT cover the cost of any fees, textbooks, room or board. The waiver applies to tuition only. A special fee will be assessed for any course in which the dependent's enrollment results in additional compensation to the instructor (i.e. internships, directed studies, etc.).

Undergraduate & Graduate/Employee, Spouses & Dependents

Enrollments for which tuition is waived are not included in determining whether a class has sufficient enrollment to be offered since that decision is based upon tuition sufficient to pay direct costs for the class. Any individual requesting a tuition waiver must submit a completed tuition waiver form to the appropriate person as indicated on the request form. The Registrar will register the student in classes as the class attains sufficient enrollment to offer the class for the semester. Students receiving a tuition waiver may not be included in the determination to offer a class at the university unless the student is willing to forego the tuition waiver. The Registrar's Office will notify the Office of Financial Aid upon registration and the tuition waiver will be applied to the student's account. Students receiving tuition waiver are not eligible for other forms of institutional aid, with the exception of institutional work-study and/or resident assistantships, pending student's eligibility and available funding.

Directed Studies

In special circumstances, tuition waiver will be granted for Directed Study courses as follows:

Pre-approval must be given by the faculty member, division chair and the Provost in accordance with policies established by the Provost.

TUITION WAIVERS/ENROLLMENT IN UNIVERSITY COURSES (Continued)

The amount of the tuition waiver will be decreased by the compensation paid to the faculty member for the Directed Study.

The student will be responsible for all fees in accordance with the general policy.

Tuition Benefits upon Termination of Employment

A full-time employee who terminates or is discharged from employment with the University will cease to be eligible for any tuition waiver benefits for any term in which the date to add or drop a class has **not** passed. (This includes spouses and dependents). The date for adding or dropping a class will be the determining date for eligibility of full tuition waiver during any semester in which a full-time employee terminates or is discharged from employment with the University of the Southwest. Full tuition waiver will be granted if the date to drop a class for the current term has passed prior to the effective date of the employee's termination or discharge from employment.

FAMILY MEDICAL LEAVE

University of the Southwest complies with the *Family Medical Leave Act* (FMLA) of 1993.

Employee Eligibility: Individuals that have been employed by the University for a total of twelve (12) months and have worked at least 1,250 hours over the previous twelve (12) months are eligible for leave as defined by the FMLA of 1993.

Leave Entitlement: Eligible employees are entitled to twelve (12) workweeks of unpaid leave during any 12-month period for one or more of the following reasons:

- the birth and care of the newborn child of the employee;
- placement with the employee of a son or daughter for adoption or foster care;
- to care for an immediate family member (spouse, child or parent) with a serious health condition; or
- to take medical leave when the employee is unable to work because of a serious health condition.
- "Any qualifying exigency" arising out of the fact that the spouse, son, daughter, or parent of the employee is on active duty, or has been notified of an impending call to active duty status, in support of a contingency operation.
- An eligible employee who is the spouse, son, daughter, parent, or next of kin of a covered service member who is recovering from a serious illness or injury sustained in the line of duty on active duty is entitled up to 26 weeks of leave in a single 12-month period to care for the service member.

The 12 month period will be measured backward from the last date an employee used any FMLA leave.

Spouses employed by the same employer are jointly entitled to a combined total of 12 workweeks of family leave for the birth and care of the newborn child, for placement of a child for adoption or foster care, and to care for a parent who has a serious health condition.

FAMILY MEDICAL LEAVE (Continued)

Leave for birth and care or placement for adoption or foster care must conclude within 12 months of the birth or placement.

Subject to FMLA provisions, provisions of this handbook, and approval of the Senior Administrator, employees will be required to use their available accrued paid leave to cover some or all of the FMLA leave. This means you will receive your paid leave and the leave will also be considered protected FMLA leave and counted against your FMLA leave entitlement.

Maintenance of Health Benefits: Group health insurance coverage will be maintained for employees on FMLA leave, assuming coverage was in place before the leave was taken. Prior to going on FMLA leave, the employee should make arrangements with the Director of Payroll for remittance of his/her health insurance premiums.

Job Restoration: Upon return from FMLA leave, the University will restore the employee to his/her original job or to an equivalent job with equivalent pay, benefits and other terms and conditions of employment.

Under specified and limited circumstances where restoration to employment will cause substantial and grievous economic injury to its operations, the University may refuse to reinstate certain highly paid “key” employees after using FMLA leave during which health coverage was maintained. A “key” employee is a salaried eligible employee who is among the highest paid 10 percent of employees.

Use of FMLA leave will not result in the loss of any employment benefit that the employee earned or was entitled to prior to use of FMLA leave, not be counted against the employee under a “no fault” attendance policy.

Failure to return to work within the timeframe stipulated by the statute may be interpreted as voluntary separation.

Notice and Certification: Employees seeking to use FMLA leave are required to provide the University 30-day advance notice of the need to take FMLA leave when the need is foreseeable and such notice is practicable. Employees are required to fill out a **Family Medical Leave Employee Request Form** and submit to the Senior Administrator.

At its discretion, the University may require employees to provide:

- medical certification supporting the need for leave due to a serious health condition affecting the employee or an immediate family member;
- second or third medical opinions (at the University’s expense) and periodic recertification; and
- periodic reports during FMLA leave regarding the employee’s status and intent to return to work.

Further Information: Employees wishing to utilize FMLA leave are encouraged to consult the entire statute. For more information, contact the nearest office of the U.S. Department of Labor, Wage and Hour Division.

TUITION EXCHANGE PROGRAM

A tuition waiver exchange program for children of full-time employees operates through the Council of Independent Universities. For further information contact the Assistant VP of HR and RC or visit the website at www.cic.org.

FLEXIBLE BENEFIT PLAN

University of the Southwest offers full-time employees the option of assigning specific salary amounts under Section 125 of the IRS code which will not be taxed by federal, state or FICA taxes. There are two options under this benefit:

- health care expenses
- dependent care expenses

Insurance premiums for health, dental, and vision coverage may be payroll deducted before taxes. Employees may also shelter pre-tax dollars for reimbursement of health and dependent care expenses.

BEREAVEMENT LEAVE

Full-time employees will be granted up to five (5) days paid leave in the event of the death of a member of the immediate family in order to attend the funeral and/or take care of final arrangements. The immediate family consists of a staff member's spouse, children, children-in-law, parent, parent-in-law, or grandchild.

Staff members will be granted up to three (3) days paid leave in the event of the death of a grandparent, brother, sister, brother-in-law, or sister-in-law of either the staff member or his/her spouse in order to attend the funeral and/or take care of final arrangements.

GENERAL LIABILITY

The University carries general liability insurance to protect it and the public from any damage or injury due to the negligence of the University, or its representatives. In case of such damage or injury, the Vice President for Financial Services/CFO should be notified immediately. No staff member or supervisor is authorized in any manner to assume or admit liability for and/or on behalf of the University.

HEALTH/DENTAL/VISION INSURANCE

Health coverage is available to all employees and their dependents who work more than twenty-nine (29) hours per week. Dental and vision coverage are available to full-time employees and their dependents. The University may pay a portion of the premium. The Assistant VP of HR and

HEALTH/DENTAL/VISION INSURANCE (Continued)

RC should be contacted for this information. If the employee elects coverage, he/she will be responsible for any premium amounts not paid by the University.

Application for this insurance must be made within the first fifteen (15) days of employment. The effective date of coverage is the first day of the month that follows the date of employment.

Continuing health/dental/vision insurance coverage is available through COBRA for employees who leave employment with the University.

Health/dental/vision insurance will continue until the last day of the month in which the employee's last day of employment occurs.

Premiums are paid by the employee through payroll deduction.

HOLIDAYS

A calendar of officially recognized holidays to be observed by staff will be developed and distributed each fiscal year by the Assistant VP of HR and RC.

Normally full-time employees are granted the following holidays with pay:

1. New Year's Day
2. Martin Luther King, Jr. Day
3. President's Day
4. Good Friday
5. Memorial Day
6. Independence Day
7. Labor Day
8. The Monday – Friday that includes Thanksgiving Day
9. The Monday – Friday that includes Christmas Day (or precedes Christmas Day if Christmas Day falls on a weekend).

The list of paid holidays may be expanded or contracted at the discretion of the President. Additionally, the administration may elect to close the campus for additional days (e.g., at Christmas or Spring Break).

Generally, when a scheduled holiday falls on Saturday, the holiday will be observed the preceding Friday; and if a holiday falls on Sunday, the holiday will be observed the following Monday (with the exception of New Year's Day, which will be observed the preceding Friday if it falls on a Sunday).

Staff appointees should refer to the list of holidays distributed by the Assistant VP of HR and RC, and not the student holidays as published in the University catalog.

JURY DUTY/WITNESS DUTY

The University grants leave of absence for full-time employees with pay for time spent on jury duty or witness duty. A copy of the subpoena is required. Employees are allowed to keep any compensation received while on jury duty.

Employees appearing in court on their own behalf as a plaintiff or as a defendant must utilize accrued leave or take leave without pay.

LIFE INSURANCE

University of the Southwest provides term life insurance to all full-time employees at no cost to the employee. The life insurance can be continued upon resignation from University of the Southwest by contacting the life insurance company. This will be explained in the EXIT INTERVIEW with the Assistant VP of HR and RC.

LONG TERM DISABILITY

For full-time employees who suffer disabling illness, disease or injury, there are provisions for continuation of partial compensation through a long-term disability plan. A copy of this plan is available at the time of orientation with the Assistant VP of HR and RC. The University fully pays for this coverage. This coverage does not include job-related illness, disease or injury. Such conditions are covered by Worker's Compensation Insurance.

MATERNITY LEAVE

See *Family Medical Leave Act*.

MILITARY LEAVE

Staff members who elect to return to work following extended military active duty are granted full reinstatement rights at no loss of seniority or benefits, as specified by law. Staff on military leave may request use of accrued vacation leave. In the absence of accrued leave, the staff member will be placed on leave without pay.

MOVING EXPENSE POLICY

Employees relocating to University of the Southwest will be reimbursed one-half of the moving cost, if a commercial carrier provides the services. If employees move themselves, they will be reimbursed the total tax deductible one-way cost of the move provided the amount paid is not greater than one-half the cost of the lowest bid of a commercial firm, (3 bids are required), In either case, reimbursement for total moving expense will not exceed 10% of the employee's base salary.

MOVING EXPENSE POLICY (Continued)

Deductible moving expenses include only the reasonable expenses of:

- Moving household goods and personal effects from the former home to the new home.
- Traveling (including lodging) from the former home to the new home.

Deductible moving expenses do not include any expenses for meals and must meet the distance test. The distance test is met if the new job location is at least 50 miles farther from the employee's former home to the new home.

University of the Southwest will reimburse moving expenses after the Employee's move. Advancements are not given for any reason.

MOVING POLICY - TEMPORARY HOUSING

New employees relocating to Hobbs from outside the area may have the option to live in an apartment located on the USW campus for a period not to exceed 60 days subject to apartment availability. The fair rental value for use of the apartment will be taxable to the employee in accordance with federal and state tax law. A \$350 cleaning and damage deposit will be due prior to the employee moving in to the apartment. At the end of the 60 days, the employee may submit an application to request ongoing rental of the apartment at the current rental rate. Employees granted temporary housing must vacate campus apartments no later than five working days prior to students returning to campus. All applications for use of the apartments will be considered by the University Administrative Team.

PERSONAL LEAVE

Personal leave of six days per fiscal year is available for personal business affairs. These days are available upon completion of six months of employment.

Personal leave must be requested in advance and submitted to employee's supervisor for approval.

Unused personal leave is lost after May 31 each fiscal year.

RETIREMENT PLAN

All employees are eligible to participate in the University retirement plan with GuideStone. All employees will be eligible to make voluntary employee contributions upon employment. The University's contribution will begin after the completion of 1,000 hours of work for all eligible employees. Highly compensated employees and adjunct faculty members are not eligible for the University's contribution.

SICK LEAVE

Sick leave is provided by the University so that an employee's salary may continue when illness or injury, including disability from pregnancy and/or childbirth, precludes an employee's attendance at work.

Full-time staff, whose regular workweek is at least forty (40) hours, shall earn sick leave at the rate of four (4) hours for each month of service.

Although sick leave essentially applies to illness of an employee, it may also be granted on two occasions other than illness of the employee:

1. For illness in the immediate family. The "immediate family" is defined as spouse, children, parents, and grandchildren.
2. For work time an employee misses due to health check-ups (i.e., medical and dental appointments).

Whenever possible, the employee should notify his/her immediate supervisor in advance of absences related to illness. At the very least, the employee should contact the supervisor within one hour after the employee was scheduled to begin work. Sick leave is not to be used as vacation time or to extend vacation time. Employees are not required to use sick leave for absences due to a work-related injury or for an absence related to any injury attributable to employment elsewhere for which compensation is or has been provided under the Workers' Compensation Act. In granting sick leave benefits, the University reserves the right to require satisfactory evidence of an employee's illness or injury.

Exempt employees report sick leave on the **Exempt Employee Leave Report Form** that is turned in monthly to the Director of Payroll. Non-exempt employees report sick leave on the semi-monthly time reports that are turned in each payday of the month.

The University of the Southwest employee sick leave is allowed to accumulate up to a maximum of 520 hours for use in illnesses or injuries as described above. The University provides long-term disability coverage for employees with extended illness or injury.

Unused sick leave will not be payable to the employee upon termination of employment.

SOCIAL SECURITY AND INCOME TAXES

The University is required by law to withhold federal and state income taxes, and social security taxes from the pay of all employees. Form W-4, Employees Withholding Exemption Certificate, must be completed and turned in to the Director of Payroll before payroll payments are made.

UNREPORTED ABSENCES

The University team is incomplete without each employee; thus the University naturally expects each employee to be here when scheduled to work. The University does not expect the employee to come

UNREPORTED ABSENCES (Continued)

in if there is illness, but the University does expect the employee to telephone their supervisor as soon as possible to let them know.

All absences from assigned duty must have the written authorization of the immediate supervisor. Absences not authorized by this policy will be subject to disciplinary action.

Staff members, who anticipate an absence from assigned duty, must secure authorization prior to being absent from duty.

Staff members who have an unanticipated absence from assigned duty must within one hour of assigned start time seek authorization for unanticipated absence from duty.

Failure to obtain prior authorization or failure to seek authorization for unanticipated absence will result in disciplinary action.

The first infraction of this policy will result in a corrective action discussion between the staff member and the supervisor. A memorandum of record of this discussion will be placed in the staff member's personnel file.

The second infraction of this policy will result in a formal corrective action with the staff member, the immediate supervisor and the Senior Administrator. A memorandum of record of this discussion will be placed in the staff member's personnel file.

The third infraction of this policy may result in immediate termination.

This policy does not apply to absences due to a worker's compensation injury or accident.

VACATIONS

Full-time staff members will earn vacation leave at the rate of 6.667 hours (10 hours for Senior Administrators) for each month of service. Staff members who have been employed with the University for ten (10) consecutive years of full-time service will earn vacation leave at the rate of 10 hours (13.333 hours for Senior Administrators) for each month of service. Staff members who have been employed with the University for twenty (20) consecutive years of full-time service will earn vacation leave at the rate of 13.333 hours for each month of service.

The purpose of the vacation benefit is for the employee to take time away from their jobs. Employees must use accrued vacation within one year following the fiscal year in which it is accrued; any unused leave will be **LOST** after one year. The date for determining the start of the one year period will be June 1st. (i.e. Any vacation accrued as of June 1, 2004, must be used by May 31, 2005. Any accrued time not used by May 31, 2005, will be forfeited.) The immediate supervisor must approve requests to use accrued vacation.

Exempt employees report vacation leave on the **Exempt Employee Leave Report Form** that is turned in monthly to the Director of Payroll. Non-exempt employees report vacation leave on the semi-monthly time reports that are turned in each payday of the month.

WORKER'S COMPENSATION

The University carries workers' compensation insurance as required by law. It is the responsibility of the employee to report **all work-related injuries** to his/her immediate supervisor and the Assistant VP of HR and RC **immediately**. Injuries must be reported even when medical attention is not sought or if the injury appears to be minor. In the event that medical attention is required, employees should contact the Assistant VP of HR and RC first. In the case of an emergency, medical treatment should be sought first, and then notification of the Assistant VP of HR and RC as soon as possible.

A report must be filed to the insurance company within ten (10) days of the injury. **Incident Injury Report Forms** are available in each building on campus or by contacting the Assistant VP of HR and RC. The form must be submitted to the Assistant VP of HR and RC immediately upon completion by injured employee.

DONATED LEAVE/CATASTROPHIC LEAVE BANK

Employees may donate up to two days per fiscal year of accrued vacation and/or personal days to a pool of accrued leave to be administered as follows:

Up to 16 hours accrued vacation and/or personal days may be donated to the Catastrophic Leave Bank each fiscal year. (In the initial year of the plan, donations may be made on November 15th with the university making the initial one-time donation of 16 hours.) Donating employees must complete a **Donated Leave Form** acknowledging that accrued leave donations are irrevocable. If an employee is going to be forfeiting accrued vacation and/or personal days at the end of the fiscal year, USW may automatically donate a maximum of 16 hours to the Catastrophic Leave Bank from the forfeited balance of the employee.

A committee will be appointed by the administrative team to review applications submitted by eligible employees for awards from the Catastrophic Leave Bank (CLB). In order to provide information to the committee and facilitate the meetings, the Assistant VP of HR and RC will be present at all committee meetings. Once the committee has made a recommendation, the Assistant VP of HR and RC will review the recommendation. The recommendation, along with any recommendations from the Assistant VP of HR and RC, will be provided to the President for final approval or disapproval.

Eligible employee is defined as an employee who is currently eligible to accrue vacation, personal and sick leave and has used all forms of accrued leave prior to submitting an application to the committee.

CLB may only be awarded for medical catastrophes of either the employee or a member of the employee's immediate family as defined in the SICK LEAVE policy. A catastrophic and unanticipated illness or injury is defined as a mental or physical condition over which the employee or immediate family member (as defined in the sick leave policy) had no reasonable control, requires the continuing services of a licensed medical practitioner for a prolonged period of time, forces the employee to exhaust all accrued sick leave, vacation leave, as well as their personal day and, as a result, renders them unable to perform the functions of their job and/or compels absence from work for the purpose of immediate family care giving. Documentation from a medical doctor is required as part of the application. A statement of support or non-support from the employee's supervisor must also

DONATED LEAVE/CATASTROPHIC LEAVE BANK (Continued)

accompany the application. Employees requesting a withdrawal from the CLB must complete a **Donated Leave Form**.

Employees who are eligible to receive payment in the form of long-term disability or worker's compensation benefits will not be eligible for benefits from the catastrophic leave bank.

CLB awards by the committee are limited to the total hours in the CLB. Award recommendations may be in hourly increments. Each individual award is limited to 40 hours; however, an employee may reapply for additional 40 hour awards by providing the required application documentation each time.

Privileges and Services

CAFETERIA DISCOUNT

Full-time employees will receive a discount in the cafeteria. Employees should contact the Food Service Manager to learn the current employee discount.

FAREWELL FUNCTIONS/FAREWELL GIFTS

In recognition that termination of employment is directly related to the business of the University, the University will fund an approved farewell function (departmental lunch, etc.). The nature and cost of the function should take into consideration the position and length of service of the employee.

The University will also fund the cost of an appropriate farewell gift for employees serving the University for 20 or more years.

All farewell functions and gifts being funded by the University must be approved, in advance, by the Senior Administrator with the cost of the approved function charged to the department of the departing employee or Senior Administrator.

CHAPEL

All campus offices will be closed during chapel. All full-time employees are expected to attend Chapel service each week. The time spent at Chapel will be with pay.

MEETINGS

At the direction of supervisors, employees are required to attend specified meetings as part of their job responsibilities.

CAMPUS MAIL PROCEDURES

The University Post Office is located in the Student Center and operates from 9:00 a.m. until 3:00 p.m.

The University Post Office processes and distributes intercampus mail, mail of University-related material external to the campus, and personal mail to parties external to the campus.

Intercampus mail envelopes are available for distribution of material on campus. Employees should use these envelopes, or otherwise appropriately secure the material, and deliver it to the Post Office for distribution.

University-related material to be mailed to parties external to the campus should be appropriately addressed and secured in University stationery, or other envelopes with an indication of the cost center to be charged. This mail must be delivered to the Campus Post Office no later than 2:00 p.m. of the day the individual wishes the mail to be processed by the United States Postal Service (U.S.P.S.). If

CAMPUS MAIL PROCEDURES (Continued)

the United States Postal Service has not picked up outgoing mail prior to the close of business, the Mail Services Coordinator will arrange for delivery to the U.S.P.S. central location prior to the final scheduled pickup from that site.

Personal mail to parties external to the campus may be delivered to the University Post Office for pickup by the U.S.P.S. Personal mail must be properly secured, addressed, and stamped for delivery by the individual sending the mail. The University, or its representatives, assumes no responsibility for personal mail delivered to the University Post Office for delivery.

The correct mailing or shipping address for you or your department should include your name and correct assigned campus box number (# _ _ _). (See samples below.)

University of the Southwest
Mailroom Coordinator
6610 N Lovington Hwy # 300
Hobbs, NM 88240-9129

University of the Southwest
John Doe
6610 N Lovington Hwy # 300
Hobbs, NM 88240-9129

TELEPHONE SERVICE

Telephone service is available on campus for business use by faculty and staff. A business use long distance code will be assigned by the Assistant VP of HR and RC at the time of orientation. **Personal long distance calls are prohibited.**

ATHLETIC/CAMPUS EVENTS

Providing that students and customers are not neglected, full-time employees are encouraged to attend up to thirty (30) minutes each of any particular on-campus athletic event or campus activity at the discretion of the immediate supervisor and Senior Administrator.

DEPARTMENTAL & CAMPUS CELEBRATIONS

Providing that students and customers are not neglected, employees are permitted to attend departmental celebrations (birthdays, anniversaries, etc.), which are scheduled at the discretion of the Senior Administrator. These events should be voluntary and funded by the employees of the department hosting the event. Celebrations should last thirty (30) minutes or less if held during work hours.

The University funds a reception to welcome new employees as they join University of the Southwest. The Assistant VP of HR and RC organizes and communicates the date and time of these receptions.

The University funds a university-wide Christmas party each year. The University budget does not permit the use of University funds for any additional Holiday celebrations.

SERVICE AWARDS

Recognition of all University of the Southwest staff employees with 10 years of consecutive service (and every 5 years thereafter) will be awarded a gift of appreciation.

Development **Policies**

DEVELOPMENT

The University seeks financial support from a wide range of prospects. Operating gifts to the University account for more than 10% of the annual budget. Gifts from alumni, trustees, friends, foundations, and businesses all help support the expense associated with educating our students. The Office of the President works to secure Annual Fund gifts to meet approved operating expenses, secures capital funding to underwrite construction and projects outlined in the strategic plan, and encourages endowment gifts to provide for ongoing support to the University's efforts.

To assist with donor relations, the following is requested of all staff:

- All solicitation of gifts to the University shall be approved beforehand by the President of the University.
- Inquiries from current donors or prospective donors should be politely directed to the Office of the President.
- The Office of the President will prepare all requests for funds from individuals, businesses, or foundations, as well as prepare any periodic reports as required. Where the funds are expended in a specific program area, the appropriate department staff involved will be a part of the development of the proposal and required reports.
- All gifts must be recorded, receipted, and acknowledged through the Office of the President.
- All requests to secure gifts for non-budgeted items will be considered by the Office of the President. Departments that are interested in exploring such requests are encouraged to speak in advance with the President of the University.

PUBLIC AND MEDIA INFORMATION

University of the Southwest is responsible for communicating with a wide range of audiences. Internal audiences include students, faculty, and staff. External audiences include parents of current students, alumni, donors, other friends of the University, potential students, and the general community.

Our message to all groups must be timely, responsive to inquiries, and fully representative of the position of the University.

The Development and External Relations Coordinator is responsible for the coordination of all communications from the University.

To help facilitate these relationships and to ensure we present all information in the most timely fashion, the following is requested of all employees:

- Inquiries from any media outlet should be politely directed to the Public Relations Office. Through a discussion with the reporter(s), the Public Relations staff will either respond directly to the inquiry or will identify and talk to those who are most appropriate to respond to the specific

PUBLIC AND MEDIA INFORMATION (Continued)

request. No staff member should allow themselves to be drawn into a discussion with a reporter during the initial call as this may become part of the interview and story the reporter opts to use when submitting the information.

- All staff members are encouraged to contact the Public Relations Office with stories that may appear even slightly newsworthy. Depending on the item, there may be news value locally or, in the case of student news, in his/her hometown. To a degree, our Public Relations Office is like any news organization: we can only cover and share what information we are provided.
- Requests for publicity for *planned* functions should be made as early as possible. A sample of planned events include: lecture series, summer sports camps, registration, commencement, student awards, senior honors, and other events. Securing the best advertising, public service placement, design and placement of advertising materials, and the chance to appear on radio or television public service programs can take up to several months of planning.
- Breaking news information should be shared immediately. This could include such news as the debate team or choir winning a competition, SIFE placing in a regional or national event, a student winning an academic award, or major gift being given to the University. If we cannot share this information within the news cycle, then media outlets are not likely to pick it up as they strive only to present current information.
- All requests for printed materials will be coordinated by Public Relations. The office has been assigned the responsibility of maintaining the appearance and content of all official publications.
- The website is the University's electronic front door. More than half of today's students have their first contact with a university through its website. The University's Public Relations Office will work with departments to update pages on a quarterly basis.

USE OF UNIVERSITY NAME, LOGO, SEAL

Use of the University name, logo, and seal has special importance to the campus community. Its use, placement, color, size, and even typeface ensure a consistent look for University of the Southwest.

The Office of the President has the task of ensuring the proper use of the University name, seal, and logo. All anticipated uses of these items for any publication, announcement, media guide, advertisement, clothing, etc., must be approved by the Office of the President prior to publication.

Unapproved uses will be brought to the attention of the Senior Administrator responsible for the area in question for appropriate action.

Questions regarding the use of the name, logo, and seal should be made to the Development and External Relations Coordinator or to the Office of the President.

Employee **Communications**

CAMPUS CALENDAR

The day, time and location for any program should be registered on the University calendar by the Campus Events Coordinator and **communicated to the switchboard**. All activities such as social club meetings, extra classroom sessions and field trips must be scheduled to avoid conflicts.

The official calendaring of activities is coordinated by the Campus Events Coordinator. No activity of the University is considered to be approved until it has been placed on the calendar.

CHANGE OF ADDRESS

Any change of home address or telephone number shall be reported to the Assistant VP of HR and RC for distribution to other offices.

CHANNELS OF COMMUNICATION

The staff member's immediate contact is the assigned supervisor. All problems and questions pertinent to the respective department should be handled at this level. The supervisor is responsible to the Senior Administrator. Matters concerning that respective department or program should be handled at this level. The Senior Administrator is responsible to the President who answers directly to the Board of Trustees.

It is appropriate that questions and problems will first be discussed with the immediate supervisor. However, problems not resolved at this level should then be referred to the next higher level for resolution.

It should be noted that the University is committed to open communications throughout its organization.

COMMITTEE SERVICE

Staff members may be appointed to serve on committees thereby assisting in the administrative duties of the University. Staff members must have the approval of their supervisors and Senior Administrator before serving on committees.

University personnel are regularly requested to serve on community committees and boards. While the University encourages this type of community service, it is important to have a monitoring procedure in place.

When a member of the University of the Southwest staff is asked to serve on a community committee or board, they should, prior to acceptance, request a meeting with the Senior Administrator. The purpose of this meeting is to discuss the request for service in light of the staff member's obligation to the University.

MAINTENANCE AND CUSTODIAL CARE

All maintenance and custodial needs should be reported by sending an email to the Campus Steward, the Assistant to the Campus Steward and the Director of Physical Plant. The request will be logged into the maintenance log and prioritized before submission to the Maintenance and/or Housekeeping Departments for attention.

Emergency maintenance and/or custodial issues (water leaks, smoke, ice on sidewalks, or other situations that could result in bodily harm) should be reported immediately to either the Director of Physical Plant or Campus Steward. The emergency contact phone information is located on the University of the Southwest website Directory.

The Physical Plant budget for non-emergency projects is determined six months prior to the start of the budget year. Proposed projects should be submitted to the Campus Steward and will be considered as part of this budget process.

SAFETY AND HEALTH

It is expected that all employees on University of the Southwest's campus will strive to use good judgment and safety precautions to help prevent accident and injury. Accidents which are work related not only cost the individual distress and pain associated with the injury but also raise the cost of insurance rates since rates are directly related to the cost of claims. Since University of the Southwest is concerned with the safety of our employees, it is expected that supervisors will do everything possible to comply with safety standards and encourage their employees to do so. Failure to comply with a direct order in connection with the wearing of safety apparel or actions relative to safety will be considered insubordination.

It is vitally important that the employee develop a safety ethic and learn the habits of using safety equipment when necessary for protection from dangers. It takes a cooperative team effort for the University campus to be safe – from straightening a rug in a hallway to keeping fingers out of the paper cutter. Safety is everyone's responsibility and the University asks that the employee be very conscious of safety on the campus.

CAMPUS EVENTS

Any assembly other than classes is considered a campus event. All campus events, such as meetings, lectures, workshops, seminars, tournaments, exhibits, etc., should be planned and coordinated through the Campus Steward and **notification given to the switchboard**. The Athletic Department must also be contacted if use of the gymnasium is needed. Security should be notified when large meetings occur. Scheduling should be made well in advance to avoid conflicts.

The **Campus Event Form** is required and should be filled out in detail for all campus events that require services of the Maintenance/Housekeeping department, or Food Service, and Technology services if needed. Requests for room usage must identify any and all special needs, including but not limited to equipment. If the room arrangement differs for what is considered to be the "normal" room setting, a detailed drawing of the required room set-up should be provided.

CAMPUS EVENTS (Continued)

When using campus Food Service, a **Purchasing Form** for food and food serving supplies must be forwarded to Food Services. A copy of each form will be provided for maintenance/housekeeping and/or food service. Neither the Campus Events Coordinator or Maintenance/Housekeeping is responsible for decorating any event nor will they be responsible for picking up supplies following each event.

GRIEVANCE POLICY AND PROCEDURE

All staff grievances are handled through normal administrative channels unless an alternative procedure is specifically provided for in another policy governing a specific area. Accordingly, any staff grievance should be first communicated to the individual's supervisor. If the issue remains unresolved at that level, the grievance should be brought to the attention of the Senior Administrator for final resolution. The Senior Administrator, in consultation with the Assistant VP of HR and RC and the CFO, will determine if the complaint warrants initiation of the grievance procedure. If the grievance involves a Senior Administrator, the decision of the President shall be final. As in other matters, a staff member has the right to appeal to the President, in which case the decision of the President shall be final. The termination or discharge of a staff member does not constitute a grievance and will not be governed by this procedure.

Section A: Staff grievance to the supervisor:

- (1) the grievance should be committed to writing in memorandum form from the staff member to the supervisor.
- (2) upon receipt of the memorandum grievance, the supervisor has five working days to have a meeting with the staff member to discuss and resolve the grievance.
- (3) if the grievance is resolved, the supervisor will communicate in memorandum form this resolution to the staff member.

-or-

if the grievance is not resolved, the staff member may go to Section B.

Section B: Staff grievance to the Senior Administrator:

- (1) a grievance left unresolved between the staff member and the supervisor may be forwarded to the Senior Administrator.
- (2) the grievance should be committed to writing in memorandum form from the staff member to the Senior Administrator with a copy to the supervisor.
- (3) upon receipt of the memorandum grievance, the Senior Administrator has five working days to investigate the grievance and have a meeting with the staff member and the supervisor to discuss and resolve the grievance.
- (4) if the grievance is resolved, the Senior Administrator will communicate in memorandum form this resolution to the staff member and the supervisor.

-or-

if the grievance is not resolved, the staff member may go to Section C.

Section C: Staff grievance to the President:

- (1) if a grievance is left unresolved between the staff member, the supervisor and the Senior Administrator, it may be forwarded to the President.

GRIEVANCE POLICY AND PROCEDURE (Continued)

- (2) the grievance should be committed to writing in memorandum form from the staff member to the president with copies to both the supervisor and the Senior Administrator.
- (3) upon receipt of the memorandum grievance, the President has ten working days to investigate the grievance and have a meeting with the staff member, the supervisor and the Senior Administrator to discuss and resolve the grievance. The decision of the President on the matter of the grievance shall be final.

At any time during this process, the Assistant VP of HR and RC will serve as an objective advisor to the employee. This procedure is not necessarily a prerequisite for termination. Termination can be immediate depending on the offense and employment is at will.

Policies and **Procedures**

ACCOUNTS PAYABLE PROCEDURES

Purchasing:

All requests for purchases must be approved by the Department Director, Dean or Division Chair and the Senior Administrator before the commitment is made to acquire the good or service. The CFO will approve purchase requests in the absence of any Senior Administrator. Any order in excess of \$5000.00 or any order charged to Department 900 must be approved by the CFO prior to making the commitment to purchase. Approved Purchasing Forms (PF) will be returned to the requesting department as authorization to place the order. Orders should only be placed after approval is given on the Purchasing Form. The Senior Administrator will review and return completed forms within 24 hours of receipt of the request.

Some vendors require Purchase Order (PO) Numbers at the time an order is placed. Purchase Order Numbers may be obtained by calling the Accounts Payable Clerk. USW is a member of the Cooperative Educational Services (CES) they may save you money please contact Accounts Payable for information.

The originating department should instruct the vendor to send all invoices to the originating department. The originating department will then forward the previously approved Purchasing Form and the initialed invoice to the Accounts Payable Clerk. The Purchasing Form must be complete in order to process the payment. A complete form must include the complete nine-digit Budget Account # to be charged for the expenditure, all required documentation and the required approval signatures. Incomplete forms will be returned to the originating department.

Invoice amounts in excess of the originally approved amount must be sent back through the purchasing approval process for approval of the additional amount billed.

Each department is responsible for managing their departmental budgets. Requests should not be submitted for any budget line item that does not have sufficient budgeted funds for the expenditure. Budgeted funds within the same cost center may be moved from one line item to another line item with an approved Budget Revision Form (BRF). Purchasing Form, Expense Reports Forms, Trip Approval Forms and Budget Revision Forms are available from Accounts Payable, and can be e-mailed when requested.

Invoices must be given immediate attention and forwarded to the Accounts Payable Clerk in a timely manner to allow sufficient time for payment to be prepared and received by the Vendor. Any interest or late fees assessed by the Vendor for late payment will be charged to the department responsible for submitting the invoice on a timely basis. Inquiries from vendors regarding late payment will be directed to the originating department.

Requests for reimbursements to employees (Expense Reports) must be received by the Accounts Payable Clerk within 30 days the expenses were incurred. Requests for reimbursement must include detailed receipts.

Completed Purchasing Forms, Expense Reports, and Trip Approvals turned in by noon will be processed by the Accounts Payable Clerk that day, checks will be ready within a couple of days. This will only apply if the Accounts Payable Clerk and two signers are available.

ACCOUNTS PAYABLE PROCEDURES (Continued)

Payments to Vendors will be mailed directly to the Vendor. Reimbursement of expenses will be picked up in the Accounts Payable Office. The department making the purchase must provide photocopies, along with the invoice, of any documents to be mailed to the Vendor in addition to the required file copy of the documentation.

Sales Tax:

USW is exempt from paying NM state sales tax on purchases of most goods. The university has many Vendors including Staples and Walmart that recognize our tax exemption status, and do not charge sales tax on university purchases. Hobby Lobby, Home Depot, and Wal-Mart have issued USW tax exemption cards available for check out. Call the Account Payable Office for information on the cards and to see if we have your Vendor listed on our tax exemption list.

Accounts Payable can produce a tax exemption certificate (NTTC) for your Vendors.

NM Vendors must provide an NM CRS number and a W-9.

Out of State Vendors must provide a W-9.

All Service Providers and Contractors should provide a Certificate of Liability. If they have no Workers Compensation, they should submit a signed statement acknowledging they are a Sole Proprietor with less than 3 employees (the sole Proprietor being one of the employees). They know they do not have Workers Compensation coverage and they do not desire to have Workers Compensation.

USW must have on file a W-9 for all Vendors, please check with Accounts Payable to see if a W-9 is on file. If there is not one you will have to acquire a W-9 from your Vendor.

Gifts, Gratuities, and Kickbacks:

The selection of Vendors and the awarding of contracts must be based upon the best overall benefit to the University. Employees are prohibited from accepting or giving gifts, gratuities or favors, except for those associated with common business courtesies of nominal value of \$50.00 or less. The value of all gifts received in one year from all sources must not exceed \$100.00.

AMERICANS WITH DISABILITIES ACT OF 1990

University of the Southwest does not discriminate in the interviewing, hiring or promotion of individuals on the basis of disability. The University is committed to compliance with the Americans with Disabilities Act of 1990. The University will endeavor to provide reasonable accommodations requested by all employees with documented disabilities who are otherwise able to perform the essential functions of their job.

AMERICANS WITH DISABILITIES ACT OF 1990 (Continued)

The Assistant VP of HR and RC will work with all employees and their supervisors in determining the most effective accommodations that can be reasonably provided on an individual basis. The Assistant VP of HR and RC will maintain records of such requests and accommodations in a confidential manner. All requests for accommodations should be made in writing to the Assistant VP of HR and RC.

APPEARANCE

All employees of University of the Southwest contribute to the image of the University. At times the employee may be the first and only contact the University has with visitors or professional persons. It is very important to observe good taste in dress and personal appearance and to promote a professional image worthy of an academic institution with Christian standards.

Appropriate attire may vary by department consistent with the functions of that department as determined by the Director or Dean and Senior Administrator.

If a staff member reports to work dressed inappropriately, he/she may be asked to return home and change into appropriate attire. Employees should see their supervisor for any questions regarding this policy.

CANDLES/INCENSE

In order to provide a safe work place for our employees, the burning of candles, incense or other heat-activated materials is prohibited.

CHILDREN IN THE WORKPLACE

Children of employees are normally not present at the workplace (i.e. office, classroom, etc.) during an employee's work hours or when the University is in normal operations. Occasional visits are permitted with approval from the supervisor. These visits must not be frequent or for an extended period of time when the employee is on duty. If a child is present, it is the employee's responsibility to see that the child is appropriately supervised, does not interfere with anyone's work, and is not disruptive. It is inappropriate for children to be in the workplace in lieu of regular childcare arrangements.

COBRA

The Consolidated Omnibus Budget Reconciliation Act of 1986 requires that most employers sponsoring group health plans offer employees and their families the opportunity for a temporary extension of health coverage (called continuation coverage) at group rates in certain instances where coverage under the plan would otherwise end. The employee has a right to choose this continuation coverage if they lose group health coverage because of a reduction in hours of employment or the termination of employment (for reasons other than gross misconduct on the employee's part). Contact the Assistant VP of HR and RC for more information about COBRA.

CELL PHONE REIMBURSEMENT

The University pays a non-taxable monthly stipend, not to exceed the employee's monthly cell phone expense, through the payroll system to those employees whose University responsibilities require use of a personal cell phone as determined by the Senior Administrator. Tax law requires the employee to provide a copy of their personal cell phone invoice yearly to the university. The monthly stipend amount is determined by the Senior Administrator estimating university use of the cell phone as follows:

Positions requiring significant travel with students	\$50
Positions required to be "on call"	\$50-\$100
Positions requiring frequent out of office contact	\$50
Positions requiring occasional out of office contact	\$25

COMPENSATION OF ADMINISTRATIVE PERSONNEL FOR TEACHING

Administrative personnel are engaged by the University to perform a specific set of functions. The assignments of these functions are clearly intended to consume the entirety of the week or something in excess of the minimum 40 hours. The offer of a teaching assignment above and beyond the principle administrative appointment may create a contradiction.

In the event that staffing needs of the institution require such an assignment, the employee will be limited to no more than six semester hours per calendar year of teaching in excess of any teaching requirement included in their primary job responsibilities.

Administrative personnel interested in teaching will be permitted to accept a teaching assignment with the prior approval of their Department Director or Dean and Senior Administrator to ensure that all primary job responsibilities are fulfilled.

Administrative personnel will receive additional compensation in accordance with the academic overload compensation policy for teaching hours not included in their primary job responsibilities.

CONFIDENTIAL MATTERS

Because University of the Southwest deals with substantial personal information, every employee holds a position of trust. All phases of work involve information that should be regarded as confidential. Discussion relating to records, reports, and correspondence which cross an employee's desk is to be strictly limited to co-workers who are directly involved in that particular affair on a "need to know" basis. Uncompromising confidentiality gives evidence of mature judgment and loyalty to fellow workers, supervisors and University of the Southwest. When there is a question about the appropriateness of releasing specific information, employees should consult with their immediate supervisor or Department Director.

All application materials must be returned to the Assistant VP of HR and RC upon selection of candidate.

Matters concerning University of the Southwest which are designated confidential shall not be discussed with any outsider or non-authorized person. Disclosure of any information or activities which might be detrimental to the interests of the University will be justification for immediate dismissal. University mailing lists are considered confidential and will not be released.

CRISIS MANAGEMENT PLAN

University of the Southwest's Crisis Management Plan may be obtained by clicking a link on University of the Southwest's Home Page (www.usw.edu) or by contacting the Provost.

EMPLOYEE EXPENSE REIMBURSEMENT

Requests for reimbursement of allowable expenses must be submitted within 30 days of the incurrence of the expense. See the Accounts Payable Procedure for more information.

EMPLOYEE RELATIONSHIPS

The mission of University of the Southwest is grounded in Christian principles; therefore, relationships between employees must be consistent with Christian principles. Inappropriate relationships can be disruptive to the University's effort to achieve its mission.

EMPLOYEE/STUDENT RELATIONSHIPS

University of the Southwest is committed to creating an atmosphere of mutual trust and respect in which all members of the community can work together freely to accomplish the mission of the University. All employees must recognize that our mission is to educate and serve students.

Inappropriate relationships can be disruptive to the University's effort to achieve its mission; therefore, inappropriate relationships between an employee and a student are prohibited.

INCLEMENT WEATHER PROVISION

Inclement weather or other conditions that impact the safe operation of the campus and or its off-campus sites will prompt the implementation of this protocol.

1. The Provost is designated as the primary Campus Closure Coordinator (CCC). Should the Provost be unavailable the responsibility will be assumed by the first available member of the Administrative Team – President, Campus Steward, Vice President for Enrollment Management, Vice President for Financial Services/CFO, or Vice President for Institutional Development and Director of Intercollegiate Athletics.
2. The CCC should be immediately informed of any condition, weather, building damage, inoperative utilities, etc. that impact the safe operation of the campus or off-campus site.
3. Physical Plant, Campus Security and off-site personnel should inform their immediate supervisor and/or the CCC as soon as an unsafe condition is recognized.
4. The CCC will consult with available members of the Administrative Team and communicate a recommendation to the President.
5. With the President's concurrence the CCC will communicate the decision to the Director of Resource Enterprise Systems who will contact the appropriate media outlets and insert appropriate announcements on the telephone and internet systems.
6. Faculty and Staff should be informed by the Blackboard Connect web notification system.
7. The CCC will be responsible for monitoring the conditions and initiating appropriate changes in the closure status.

INTERNET/E-MAIL RULES OF CONDUCT

When using the Internet from a campus location, be aware that you are representing yourself and the University. Each person is expected to behave in a polite and business-like manner and never participate in any harassing, illegal, unethical or immoral activities of any kind.

Use of the University network constitutes consent to monitoring and disclosure of the fruits of the monitoring. Users have no reasonable expectation of privacy on the University of the Southwest network. The University of the Southwest network and its data are property of University of the Southwest.

The following guidelines are provided to assist in understanding the nature of the Internet but no amount of coaching can substitute for the exercise of good judgment.

- Never engage in behavior, language, or other forms of expression (e.g., pictures) that is offensive, obscene, harassing, or violates the University's policies, or does not uphold the University's high standards of decency.
- Accessing, storing, or transmitting pornographic or any sexually explicit or potentially offensive material is expressly forbidden.
- Never disclose information concerning University of the Southwest's network, computer resources, or your computer id and password.
- Never disclose personal information or information about anyone else to anyone on the Internet.

INTERNET/E-MAIL RULES OF CONDUCT (Continued)

- Never send or receive anything over the Internet that couldn't be published in a newspaper, magazine, or on television.
- Never flood the Internet or any person's mailbox on the Internet with non-work related messages.
- Never send e-mail or transfer data in violation of any international, national, state or local regulation.
- Accessing any site that supports "hacking" or the breaking into computer resources of another is forbidden.
- Accessing any site that support racist or hate philosophies is forbidden.
- Using University of the Southwest computer resources to break into another site or to illegally obtain information from another site is expressly forbidden.

- When participating in Internet discussion groups or exchanging e-mail on the Internet, make clear that any ideas or views expressed are yours and not necessarily those of University of the Southwest.
- Never disclose any information that could be used to a competitive advantage or disadvantage to University of the Southwest or its competitors or contributors.
- Never make unauthorized commitments of funds.

In an effort to protect the security of University of the Southwest, the University mission, the University network, and any data contained therein, the University has adopted the following guidelines for responsible use of the University of the Southwest computer network. This policy applies to all users of the network.

University of the Southwest network users may not:

- Maliciously log into or access user accounts not specifically assigned to them.
- Access objectionable sites (e.g. gaming, pornographic sites, etc.) containing subject matter or graphics contrary to the University mission.
- Access, or attempt to access, network resources without obtaining proper access permissions from a system administrator.
- Unlawfully access, or attempt to access, proprietary networks outside of the University of the Southwest domain.
- Publish information for public access containing profanity or other language, subject matter, and/or graphics that are contrary to the University mission.
- Allow unauthorized users (including individuals whose authorizations have been revoked) to access the University network.
- Install any software (licensed, unlicensed, and/or personal) on a computer that belongs to University of the Southwest without the prior consent and authorization of the network administrator
- Transfer or loan accounts to another user.

Failure to accept and abide by these guidelines may result in the revocation and/or forfeiture of University of the Southwest network privileges including internet and e-mail access.

INTERNET/E-MAIL RULES OF CONDUCT (Continued)

As a condition of employment and continued employment, employees are required to sign a “USW Policy for Acceptable Use of Technology Resources” Acknowledgment Form also found in the appendix.

OFF-CAMPUS EMPLOYMENT

Before additional outside employment responsibilities are accepted, the staff member will secure written approval to be placed in the employee’s personnel file for off-campus employment from the Senior Administrator and the President.

PARKING AND TRAFFIC REGULATIONS

Staff members operating motor vehicles on campus must carry personal and/or automobile insurance as mandated by the state of New Mexico. All state and University regulations regarding the care and use of automobiles are to be observed by individuals operating such vehicles on campus.

A University parking permit is required for all employee vehicles parked on campus. Parking permits are available from the Assistant VP of HR and RC.

PERSONAL USE OF FACILITIES

Full-time faculty and staff may use the campus facilities after business hours for personal events (bridal showers, wedding receptions, etc.) at no charge. Employees must complete a **Campus Event Form** and return the form to the Campus Steward. Employees must assume full responsibility for set-up, break-down, clean-up and making sure that the building is locked when they leave. Personal use of a campus facility must not require any services from Housekeeping, Physical Plant, Food Service or any other campus personnel. A \$100 deposit is required at the time that the facility is reserved. The Campus Steward and the employee will walk through the facility together on the first business morning after the event. The deposit will be returned at that time as long as all conditions of use have been met.

STUDENT LIFE CENTER

Access to the Student Life Center is a privilege granted to the University’s students, faculty, and staff. Fundamental to the use of the facility is the respect for the rights and privacy of all users. By using the facility, students and employees of the University agree to cooperate with the University in implementing this policy.

In all instances priority for usage is given to the students and employees of University of the Southwest. Guests are permitted use of the facility only when authorized by the university and accompanied by an employee or student. All guests are required to register with the Dean of Students of the University prior to use of the facility.

STUDENT LIFE CENTER (Continued)

Children under the age of 17 are considered special guests and additional rules govern their status in the facility. Guests who are minors must be supervised at all times upon entering the facility. Supervision involves monitoring the minor within the sponsor's line of vision during their visit to the facility. No children under the age of 13 are permitted to use weight/cardio equipment room.

The Student Life Center is an educational facility designed to hold academic instruction. During class sessions usage may be restricted to respect the need for faculty to control interruptions and possible distractions. The facility is open for use during posted hours and additional usage may be permitted through special permission requested through the Dean of Students and in conjunction with the university's Campus Events Coordinator.

PHOTOCOPIER

Photocopier codes are to be obtained from each employee's immediate supervisor. This code should never be given to students. Student workers will be assigned a separate code for business use by Accounts Payable.

SEXUAL HARASSMENT POLICY

- A. Statement of philosophy.** The University of the Southwest does not tolerate sexual harassment or any other type of harassment by employees, trustees, students or third parties engaged in business or other authorized activities at the University. Harassment is illegal and unfairly interferes with the opportunity for all persons, regardless of gender, to have a comfortable and productive education and work environment. University of the Southwest is committed to providing an educational and work environment free of discrimination, harassment and/or retaliation in any form.
- B. Statement of prohibited conduct.** Sexual harassment is any threatening, demeaning, or offensive conduct or situation that unreasonably interferes with a person's ability to perform his or her job or educational pursuits and is based on the sex of that person. This harassment includes, but is not limited to:
- unwelcome requests for dates with a student by an employee
 - persistent requests for a date with another employee
 - requests for sexual favors or acts
 - continued expression of sexual interest after being informed that the interest is unwelcome
 - physical contact which is unwelcome/without consent; offensive gestures or touching of another person
 - displaying or possessing nude or seminude posters, photos, cartoons, or graffiti in the workplace or public place (including computers or other similar devices) that are demeaning or offensive
 - unwelcome visual contact, such as leering or staring at another person or making facial expressions which are of a sexual nature, demeaning or offensive

SEXUAL HARASSMENT POLICY (Continued)

- verbal or written comments, statements, noises, or jokes that are demeaning, humiliating, suggestive, insulting, vulgar, or lewd, and which are communicated by any means, including but not limited to, telephone, email, text message, or internet posting
- failure to provide assistance that is usual under same or similar circumstances because of a person's sex
- retaliation, retribution, or reprisals in any form or manner following complaints about harassment or requests that harassing conduct stop or after assisting a person with a complaint of harassment
- physical interference with job performance
- preferential treatment or promise of preferential treatment for submitting to sexual conduct or threat of negative treatment if a person does not submit to requests or demands for sexual conduct

The list set forth above is not intended to be, nor should it be construed as all inclusive of prohibited acts under this policy.

- C. Scope of policy.** This policy applies to all members of the Board of Trustees, administrators, faculty, staff, employees, agents, and students at all times and places in any connection with this institution. This policy applies for and to those who do business here. Compliance with this policy is a term and condition of employment or matriculation with this institution. The terms *employee* or *employment* include, but are not limited to, faculty, staff, administrators, agents, and contractors. The term matriculation refers to students admitted to the University.
- D. Contact Persons.** Complaints of harassment may be made to any of the following persons: the President, Senior Administrators, Division Chairs and Deans, and the Assistant VP of HR and RC.
- E. Procedures.** The purposes of these procedures are to provide a prompt and fair resolution of complaints and to preserve the due process rights of all involved, including the rights to receive notice of complaints and to have an opportunity for an impartial investigation. These procedures also are created to provide for corrective action for violations of this policy. However, the University may take any immediate action it deems reasonably necessary to stop harassment, and the University is not limited to the process described herein.

Any person who believes he or she has been subjected to any form of harassment and/or discrimination, and any person who witnesses or has knowledge of harassing conduct, should report that conduct to his/her immediate supervisor or any of the Contact Persons identified herein within three calendar days of the offense. Employees are not required to approach the person who is harassing and/or discriminating against them, and they may bypass any offending member of management.

The report may be oral or in writing and should provide the specific details of the behavior believed to be harassment. The Contact Person to whom the report is made will take the necessary steps to initiate an investigation of the discrimination and/or harassment claim, including completing an Intake Form.

SEXUAL HARASSMENT POLICY (Continued)

The University will conduct its investigation of harassment claims in as confidential a manner as possible. Interviews, allegations, statements, and identities will be kept confidential to the extent possible allowed by law. However, the University will not allow the goal of confidentiality to be a deterrent to an effective investigation. A timely resolution of each complaint will be reached and communicated to the person making the complaint and the person(s) against whom such complaint is made. All reasonable attempts will be made to complete this entire process in not more than 30 days from the date of the completion of an Intake Form.

- F. Corrective Action.** When an investigation results in a determination that harassment or retaliation has occurred, appropriate corrective action, up to and including termination/dismissal will be taken promptly. The corrective action will be proportional to the severity of the conduct. A record of such corrective action shall be signed by the person subject to such action and a copy placed in such person's personnel or student file. If the harassment is committed by a third party, the University will take all reasonable steps under the circumstances to stop such harassment.
- G. Prohibition of Retaliation.** Any retaliation against a complainant or witnesses or someone who assists in investigating such complaints is prohibited specifically by this policy. If an employee believes he or she has been subjected to any form of retaliation, the employee should report such conduct to his or her immediate supervisor or any of the Contact Persons within three calendar days of the offense. Employees are not required to approach the person who is retaliating against them, and they may bypass any offending member of management. Claims of retaliation will be investigated in the same manner as complaints of harassment, and if retaliation is found to have occurred, corrective action will be taken as described herein.
- H.** The University will provide copies of this policy to all employees and will require employees to acknowledge receipt of the policy.
- I. Training.** The University will conduct training sessions for all employees, agents, supervisors, and administrators regarding this policy and regarding prevention of sexual harassment. The intent of this training is to produce an institution that is free of harassment and that provides the opportunity for everyone to reach full potential in the performance of his or her assigned job or educational pursuit.

SMOKING POLICY

Smoking is not permitted in buildings. Smoking is permitted on campus only in designated outdoor smoking areas.

SOLICITATION POLICY

University of the Southwest prohibits direct solicitation of products or services, for money, to its employees or students during working hours. Non-monetary solicitations may occur with the approval of the supervisor. The application of this policy prohibits office-to-office solicitation by employees, employee's children, student's or outside vendors. Employees may display items or catalogues in their work areas and allow others to inquire, but they may not directly solicit other employees.

TRAVEL AND MEAL POLICY

Employees must submit a **Trip Request Form** to the Department Director, Dean or Division Chair AND Senior Administrator responsible for their department for *any travel* that is to be funded by University of the Southwest. The form may also be used to request a travel advance.

All employees who travel on behalf of University of the Southwest must submit the appropriate detailed receipts for reimbursement. Employees may request a travel advance for *overnight* travel via an approved **Trip Request Form**. Travel advances may be requested for use of a personal vehicle while conducting university business. Receiving either an advance or reimbursement of expenses of personal vehicle use requires a print-out of a map showing travel route and mileage. Separate checks may be requested payable to the hotel and for registration fees. The employee may purchase pre-loaded cards if large amounts will be needed for food or the employee may deposit the travel advance into their personal checking account and access the funds via an ATM. The cost of pre-loaded cards or

ATM withdrawal fees will be reimbursed by the University. Employees may also use their personal credit cards for pre-approved University travel and submit the expenses (along with the approved **Trip Request Form**) for reimbursement upon their return.

Detailed receipts must be submitted with an **Expense Report** within 5 business days after completion of the trip. Reimbursement checks (if applicable) will be available within 10 days after the completed **Expense Report** and receipts are received in accounts payable. *Inaccurate or incomplete Expense Reports will be returned to the employee for correction.*

Transportation expenses will be reimbursed at the lesser of the cost of air travel or miles driven at the applicable mileage reimbursement rate unless prior approval from the Senior Administrator is obtained. Business use of personal vehicles will be reimbursed at the IRS standard mileage reimbursement rate. The IRS standard mileage reimbursement rate can be viewed at <http://www.irs.gov/Tax-Professionals/Standard-Mileage-Rates>. Employees will be required to provide an online map of their round trip (i.e. google map, mapquest) with their request for reimbursement. To receive mileage reimbursement a person must be an employee or officially recognized representative of the University and meet the requirements and be included on the "Approved Drivers List". Contact the USW Controller for detailed information regarding the "Approved Drivers List".

Reimbursement for meals incurred during *overnight* travel will not exceed \$40 per day. The breakdown of maximum reimbursement for partial days of travel will be: Breakfast \$6, Lunch \$12, Dinner \$22. All reimbursement amounts include tips. Detailed receipts of exact items purchased will be required for reimbursement. Summarized credit card receipts are not acceptable.

TRAVEL AND MEAL POLICY (Continued)

Employees may choose to be reimbursed for meal expenses incurred while traveling *overnight* for University business on a \$30 per diem basis rather than by submitting receipts. The \$30 per diem reimbursement is for a full (24-hour) day which includes overnight travel. The per diem breakdown for partial days involving overnight travel either the night prior or the same night will be: \$4.50 Breakfast, \$9 Lunch, \$16.50 Dinner. The option for per diem reimbursement is made on a day by day basis at the time the expense report is submitted following the trip.

A total trip maximum of \$10 will be reimbursed for non-receipted expenses such as hotel and airport tipping. The employee should submit a log with explanations for tips given. Travel to foreign countries will be addressed on a case-by-case basis.

Meals incurred that are not a part of overnight travel will only be funded by USW if prior approval is obtained by a Senior Administrator and University business is an integral part of the meeting. The University will not reimburse any costs related to alcoholic beverages. Tips should not exceed 15% of the total food charge. The names of all participants and the purpose of the meeting must be provided with the receipts detailing the specific items purchased.

Rental Cars – Several national rental car companies have confirmed that they require a major credit card in the name of the individual renting the car. Payment may generally be made by any means. The credit card is required as security for return of the car in good condition. Employees renting cars will need to be prepared to provide their personal credit card to secure the rental vehicle. The employee may request a check payable to the rental car company, a cash advance or may use their personal credit card and submit receipts for reimbursements of the rental amount. The employee should confirm acceptable means of payment with the rental car company when making the reservation, as some locations will require that the charge also be made to the card securing the car. The employee may need to make rental car arrangements with another company if the terms are not acceptable. The University has an account with Enterprise Rental. Rental Car Insurance is required to be purchased at maximum coverage.

University of the Southwest employees traveling on University sponsored trips at the request of the University as part of his/her USW job responsibilities will follow the same travel and meal policies as outlined in the Travel Policy.

University employees wishing to participate in University sponsored trips as a participant other than described above will request the appropriate vacation time from his/her area Senior Administrator and be expected to incur all expenses associated with the trip. These employees must sign all appropriate waivers releasing USW of any and all liability and provide proof of medical insurance.

USE OF UNIVERSITY EQUIPMENT

University equipment is obtained or installed for the exclusive use of the University and should receive proper care and handling. Employees are not to make personal use of supplies, tools and other equipment.

Classroom, office and laboratory furniture and equipment are intended for use in the particular room in which it is placed or installed and should not be moved or adapted to other uses or purposes without making proper arrangements.

Authorization to sell, trade, or discard any property owned by the University shall be given by the President or CFO. All proceeds from such sales shall be receipted by the Business Office. It is contrary to policy to remove University property from the campus.

Security

CAMPUS SECURITY

The Campus Security Office is located in our Student Life Center and the phone number is 575-942-5902. Campus security officers are employed by the University to ensure dangerous situations are prevented or corrected. Officers represent the University and have the authority to carry out their duties reasonably, including facility inspections, preventing disorderly conduct, traffic control, and any situation requiring the services of campus security. Students and employees are expected to cooperate with campus security. Security is provided daily while classes are in session or residents are in housing. All vehicles driven to campus by faculty and staff must display the appropriate University of the Southwest parking permit which is available from the Assistant VP of HR and RC.

LOCATING STUDENTS ON CAMPUS

Any individual, including law enforcement officers, are required to notify security and/or the Provost if they request information regarding students on campus attending classes. Family Education Rights and Privacy Act (FERPA) prohibit release of such information unless legal documents are produced by law enforcement officers. Security or an individual from the Office of the Provost will process the request and locate the student.

LOCATING EMPLOYEES/RELEASE OF EMPLOYEE INFORMATION

Privacy laws prohibit the release of certain information unless legal documents are produced authorizing such release of information. The Assistant VP of HR and RC is the only person authorized to release employee information. If any individual, including law enforcement officers, request information from an employee regarding a fellow employee or are attempting to locate a fellow employee, the employees who received the request must refer the individual seeking such information to the Assistant VP of HR and RC's office.

CONCEALED WEAPONS

It is the policy of University of the Southwest to prohibit employees from carrying concealed deadly weapons on the property of the University. Any employee carrying such weapons may be subject to removal from the premises and further disciplinary action including termination.

WORKPLACE ANTI-VIOLENCE POLICY

Safety and security of all students, staff, faculty and guests is a primary concern of University of the Southwest. Therefore, acts of violence made by or against any of the aforementioned will not be tolerated. Students, staff, faculty, and guests committing acts or threats of violence will be subject to disciplinary action that may result in dismissal/suspension from the University and/or having privileges suspended.

WORKPLACE ANTI-VIOLENCE POLICY (Continued)

University of the Southwest has a zero tolerance for violence and therefore prohibits the following behaviors:

1. any act or threat of violence made by an employee, student, athletic event attendee, or guest against another;
2. any act or threat of violence, including, but not limited to, intimidation, harassment, bullying or coercion;
3. any act or threat of violence which endangers the safety of employees, guests, vendors, contractors, or the general public;
4. any act or threat of violence made directly or indirectly by words, gestures, or symbols;
5. any repeated unreasonable acts toward an employee, either by a peer or supervisor, intended to humiliate or undermine the employee and creating a risk to his or her health;
6. use or possession of weapons on the University campus.

It is required of all students, staff, faculty and customers to be familiar with this policy and to report, in accordance with this policy, any behavior that compromises the University's ability to maintain a safe work/learning environment. All reports will be investigated and kept confidential except where there is a legitimate need to know. Reports will be maintained by the Assistant VP of HR and RC.

CONCLUSION

All statements in this publication are announcements of present policy only and are subject to change at any time without prior notice. They are not to be regarded as offers of contract. Employees can be terminated at will. The procedures and policies indicated do not prohibit in any way the administration of University of the Southwest from terminating an employee immediately and without prior notice.

Appendix

University of the Southwest Policies for Student Crisis: Suicide/Homicide

1. University of the Southwest provides a training workshop each year related to suicide and crisis intervention for administrators, faculty, staff, and concerned others.

The goals of this workshop are to increase knowledge in the following areas

- Recognize warning signs: behaviors, statements
- Potential risk factors: family history, prior attempts, drug/alcohol use, history of loss; chronic health issues; immediate stressor(s); who is at greatest risk.
- Crisis intervention steps: isolate student from other students; do not leave the student alone; obtain verbal agreement not to harm self; obtain agreement for the student to speak with someone about situation; make arrangements and accompany student to that meeting.
- Confidentiality issues and obtaining a release of information by MH person
- Liability issues and limits
- Record of attendance will be kept to identify online training participants.

2. Who to call or contact

- If concern exists about a student's welfare, the building point person should be informed.
- If building point person is not available, contact their administrative assistant. In residence hall, contact another Resident Director.
- Refer to flow chart.
- The building point person contacts the Mental Health (MH) team.
- Building point person contacts "Need to know list" (See flow chart for list.)

3. Process for assessment of suicidal risk by mental health professional

- An independently N.M. licensed counselor or psychologist can perform a formal assessment of suicidal risk. In the unlikely event that one of the mental health professionals on the contact list is not available; the local mental health center can be contacted. (Refer to the list of phone contacts for this information)
- MH Team will have access to case files (which includes having keys to the building, the room where files are kept, and to the filing cabinet in which files are locked).
- The mental health professional will obtain a signed Release Of Information (ROI) in order to be able to discuss the situation with others. A separate ROI is required to specify each person with whom the professional has permission to speak. These forms, which are attached, are also available from the School of Education (SOE) Administrative Assistant or from the Coordinator of Counseling & Diagnostic Testing. The ROI will become part of the Mental Health care file.
- Contact collateral sources of information only if appropriate, as deemed necessary; e.g., family members, roommates, friends.
- The mental health professional/evaluator is responsible for writing a record of the assessment to be kept in a locked, confidential file e.g.(case notes).
- The evaluator should provide information on the results of the evaluation to: "need to know" person(s) - if emergent situation.
- Each MH professional will determine the form used to evaluate risk.
- Safety Plans to be developed by MH professional

- Options to consider besides hospitalization for student who may require close supervision:
 - No Suicide/No Self Harm Contract (attached)
 - Daily communication with contact person(s)
 - Frequent or continual monitoring by family, friends, or campus members
 - Increased frequency of contact with mental health professional
 - Evaluation for possible psychotropic medications

4. Roles when potentially at-risk student has been identified

- ***The role of the Provost...*** to determine, based on information from the mental health professional, whether the student is appropriate for continued enrollment at University of the Southwest. Furthermore, the VPSS must be aware of the legal ramifications of both voluntary and involuntary hospitalization of a student, should that become necessary.
- ***The role of each of the Deans is....*** to be aware of the demeanor and potentially problematic behavior of students in their area and follow flow chart steps to protect the safety and success of those students in their area.
- ***The role of each faculty/Staff member is...*** to be aware of the demeanor and behavior of students in their University of the Southwest family, inquire about students who may appear to be in need of assistance, offer assistance to students as may be appropriate, and follow the flow chart.
- ***The role of each University of the Southwest staff member is...*** to be an active observer of students in the University of the Southwest family and, through interactions with students in the University of Southwest family, be aware of warning signs that may be observed indicating student(s) may be in crisis or in need of assistance. Follow flow chart steps. (pg 6)
- ***The role of residence life staff is...*** to make observations of verbal and nonverbal behavior of University of the Southwest students and to be aware of anything that may indicate a student is in need of some sort of assistance. They are responsible for passing on such information to person(s) according to the flow chart.
- ***The role of the mental health professional or on-call counselor(s) is...*** to serve as the person who conducts the formal risk assessment, makes determination of treatment plan and whether additional services are necessary. These services may include the need for voluntary or involuntary hospitalization and relevant insurance coverage if needed.
- ***The role of the Building Point Person is to...*** do brief assessment, contact MH Team, and coordinate with MH Team as to whom else to contact. Building Point Person will have a list of names and phone numbers of resource contacts.

5. What to do if the student who may be suicidal or homicidal needs help and refuses it?

- Levels of assistance available to students in crisis include meeting with a Resident Director, the campus pastor, and/or one of the campus counselors (all on the contact list). Incidents occurring nights or weekends can be addressed by calling the Agora Crisis Line, the Guidance Center, or Zia Consulting (see call list). Any of these options should be followed up on by the responsible party, even after initial contact is made for student.
- Anyone on campus who suspects a student may be in crisis has the responsibility to take all reasonable steps to protect that student's safety. Depending upon that person's campus role, they should contact someone who can assist in the protection of the student.

- University of the Southwest has a responsibility to provide a safe environment for its students and to maintain the safety of students. When the safety of a student is in question, freedoms can be overridden such as confidentiality and the rights to refuse treatment/assistance. However, this is a delicate balance and must be considered very carefully. **A licensed mental health professional is best trained to make these determinations about the balance between individual freedoms and safety of the individual.**
6. Issues around voluntary or involuntary psychiatric hospitalization as determined by the mental health professional.
- If the student requires psychiatric hospitalization and has insurance covering mental health services then hospitalization, transportation, and admission should be covered by that insurance. The student's family is responsible for services not covered by their insurance.
 - If the student does not have insurance that covers MH treatment/admission, the student's family is financially responsible for expenses incurred.
7. Decision for termination by student or Mental Health professional.
- Student may refuse counseling, state their wish to terminate counseling, or stop attending scheduled appointments.
 - If student does not continue with counseling, the counselor will make reasonable effort to contact the student. If the counselor is unable to contact the student or if the counselor contacts the student who then refuses additional counseling, then a termination letter will be mailed to the student. A copy of the letter needs to be put in the student's file. Documentation of contact or lack of contact will be noted in the file as well.
 - In some cases counseling may be a requirement of continued attendance @ University of the Southwest. In this case, it maybe necessary to report to Provost and campus minister that counseling has been terminated.

Attached:

Release of Information (ROI)

No Suicide/No Harm to Self/Other(s) Contract

**UNIVERSITY OF THE SOUTHWEST
COUNSELING AND TESTING SERVICES
6610 N.LOVINGTON HIGHWAY, HOBBS, NM 88240
(505) 392-6564, EXTENSION #1085**

AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION

I, _____, hereby authorize the Counseling and Testing Services
(Print Name)
at University of the Southwest to release the following specified information:

- _____ Counseling Records
- _____ Psychological Evaluation
- _____ Psychiatric Evaluation
- _____ Medical Records
- _____ Educational Records Psycho/Social History Other:

To:

Signature of Client

Date

Signature of Witness

Date

Date Sent

**UNIVERSITY OF THE SOUTHWEST
COUNSELING AND TESTING SERVICES
6610 N. Lovington Highway, Hobbs, NM 88240
(505) 392-6564, Extension #1085**

Written Contract with Client

1. I, _____, agree not to kill myself, attempt to kill myself, or cause any harm to myself during the period from _____ to _____, the time of my next appointment.

2. I agree to get enough sleep and eat well.

3. I agree to get rid of the things I could use to kill myself.

4. I agree that if I have a bad time and feel that I might hurt myself, I will call one of the following immediately:

- Counselor _____ at _____
- Emergency _____ at 911
- **24-Hour Crisis Line** (Guidance Center of Lea Co.) at **393-6633**
- Family Member _____ at _____
- Friend _____ at _____
- Church Member _____ at _____
- Family Doctor _____ at _____
- Hospital: Lea Regional Medical Center at **492-5488 or 492-5000**
Nor-Lea General at **396-6611**
- Other Person _____ at _____

5. I agree that these conditions are part of my counseling contract with

Signed _____

Witnessed _____

Date _____

Suicide/Crisis Flow Chart

CRISIS ID

Faculty/staff/employees get training to recognize crisis & know their role.

Weekdays: Accompany suspected cases to Building Point Person.

Weekends/Evenings: Contact campus security and crisis hot line #.



BUILDING POINT PERSON

Do brief assessment. Determine 1) presence of -thoughts of death or self harm, 2) presence of a plan, 3) access to plan, 4) access to a weapon. Take person to MH person & assist if needed.

Complete incident report; send copy to MH person & Campus Minister.

Weekends/Evenings: Contact campus security & local crisis hot line #.



MENTAL HEALTH PERSON for Assessment & Treatment Planning



If Emergent Situation
(imminent danger)



Voluntary/Involuntary
In-patient Treatment
Via ambulance/911



only those who need
to know (Provost,
RD if residential student,
Retention Officer)



Write Case Notes



Write Incident Report

If Non-Emergent Situation
(not imminent danger)



Appointment with MH
Establish Safety Plan
No Harm Contract
Release of Information
Point person contacts
Write Incident Report

Notify only those who
need to know



MH person writes case
Notes to document
assessment, safety plan,
treatment plan, & rationale
treatment plan

Call list of Point Persons & Crisis Contacts

Location:	Name:	Contact Number
Administration	*Larry Guerrero	492-2159
Provost Executive Asst.	Andrea Dodson	492-2107
Library	John McCance	492-2141
Arts & Science (A & S)	*Elyn Palmer	492-2189
A&S Admin. Assist.	Lauren Shield	492-2152
Business Building	*Ryan Tipton	492-2137
BB Admin. Assist.	Amanda Guzman	492-2176
Campus Security	Victor Hawkins	942-5902
School of Education	*Mary Harris	492-2162
SOE Admin Assist.	Julie Hillard	392-6564
Campus Minister	Danny Kirkpatrick	492-2164
Residence Life Director	Ryan Morgan	492-2138
Student Life Center	Melissa Mireles	492-2186
Counseling Service	Elyn Palmer	492-2189
City Emergency/Police		9-1-1

***Or the administrative assistant if not available.**

SUICIDE RISKS

Among children and adolescents with depression and other emotional/behavioral disturbances there is a continuum of self-destructive behavior ranging from self-defeating misbehavior through risk-taking and accident-proneness, all the way to the taking of one's life, with conscious and deliberate intent. Completed suicide is very unusual in pre-adolescent children, but hundreds of children under age 12 die by suicide each year in the United States and many more die or are injured in incidents that are called accidental, but which may have had self-destructive motivation. Among adolescents, suicidal behavior has shown an alarming three-fold increase in the last 25 years. Suicide is one of the three leading causes of death among adolescents, who are predominantly a healthy group not prone to life threatening diseases. Not all children and adolescents who display suicidal behavior suffer from depression: some these are acts of anger, impulsivity or attention-seeking related to other types of emotional or interpersonal problems. However, the risk of suicide is the most critical complication of depressive disorders and the possibility of suicide risk warrants careful attention and evaluation when depression is present. It is of utmost importance that statements or suggestions of suicidal thought, feeling or intent be taken very seriously whenever they occur. Their meaning must be carefully evaluated with conscientious attention to the need for professional assessment, active intervention, management, support and protection plans.

FACTORS CONTRIBUTING TO SUICIDE RISK

The seeds of a suicidal act are sown early in life and there has often been long-term, gradual process or erosion of the person's ability to cope with the demands of life and the mastery of developmental tasks. Children and adolescents have a shorter time perspective, are more impulsive and may go through the downhill course fairly rapidly, but suicidal behavior is rarely an isolated event, or a "last straw" such as the breakup of a romance or loss of job. There is rarely one single cause for suicide, but a collection of interacting causes with their roots in a variety of biological and experiential events. Among the risk factors to be taken into account are:

A. FAMILY HISTORY FACTORS

1. Family history of depressive illness
2. Other Family members who have been suicidal
3. Disrupted, stressful or chaotic family circumstances
4. Loss of parenting figures

B. STRESS FACTORS

1. Recent loss of loved ones
2. Failures at work, school or in activities, that lead to loss of status or self-esteem
3. Illness, accidents, surgeries or health problems
4. Changes and disruptions in patterns of life, environment, relationships, or settings
5. Increased demands or responsibilities, sometimes as a result of a previous success
6. Threats of punishment, exposure or rejection because of misdeeds
7. Finding oneself in an intolerable situation with no obvious escape available

C. CONTAGION FACTORS

1. Suicide models among family, friends or close associates
2. Suicide "epidemics" following the suicide of a local or world wide celebrity, or in response to "group psychology"

D. SOCIAL RELATIONSHIP FACTORS

1. Interruption of important relationships with family, friends, romantic partners and/or group relationships
2. Isolation and lack of available social supports, due to situational factors or problems in communication or social skills
3. Accumulated patterns of loss through death, separation or rejection, especially if such losses occur in rapid succession.

E. PERSONALITY FACTORS

1. Depressive personality, features, and symptoms
2. History of impulsive behaviors
3. Pessimistic, hopeless, helpless, and “black or white” patterns of thinking and attitudes
4. Patterns of dependency upon others for satisfaction
5. Loner pattern of social isolation
6. Perfectionism and excessively high standards

What you should look for is clustering of risk factors within the young person’s life experience, remembering that there is no single cause for suicide, but only an accumulating set of causative factors.

SUICIDE DANGER SIGNS

Four out of every five persons who kill themselves give definite warnings of their intentions, either verbally or behaviorally. It is important to be aware of these signs, in oneself and in others. People whose background and experience have included clustering of risk factors are likely to give signals when their coping capacity is reaching the breaking point. Concerned others need to be on the lookout for direct or indirect signs of their intentions.

- A. DEPRESSIVE SYMPTOMS: The accumulation and persistence of depressive symptoms such as crying, sadness, low self-worth, social withdrawal, sleeping and eating changes may be noted, whether or not the person has any intent to communicate distress.
- B. SITUATIONAL FACTORS CONDUCTIVE TO SUICIDAL THOUGHTS AND FEELINGS. The rapid accumulation of risk factors in the person’s situation can serve as a vital signal for increased likelihood of suicidal behavior.
- C. VERBAL WARNINGS: There is a dangerous myth that people who talk about killing themselves seldom actually do. Nothing could be farther from the truth; people who attempt suicide have very frequently communicated their intention to do so, in direct or indirect statements such as:

“I wish I was dead”

“I wish I’d never been born”

“You won’t be seeing me around anymore!”

“Nobody wants me around”

“If (such-such) happens (or doesn’t happen), I’m going to kill myself!”

“Would you like to have my (valued possession); I won’t be needing it anymore”
“Everybody would be better off without me”
“When I die, you’ll be sorry you were so mean to me.”

D. **BEHAVIORAL WARNINGS:** Even people who don’t talk about how they’re feeling may communicate their intent through behaviors such as:

- A. Giving away valued or cherished possessions
- B. Experimenting with risky or self-injurious behaviors
- C. Making “final arrangements,” putting things in order, writing a “will”, giving away possessions
- D. Quitting, withdrawing or losing interest in activities or social groups
- E. Acquiring the equipment or means for a suicidal act (buying a gun, saving pills, etc.)
- F. Writing suicide notes or morbid notes which may be “accidentally” found
- G. Increased religious interest and concern with “after life” issues

RISK ASSESSMENT

The first myth about suicide that needs to be dispelled is the fear that asking or talking about suicide risk will “put ideas in peoples’ heads.” Even children in early childhood can have ideas about suicide, and when symptoms suggestive of the risk of self-destruction are noted, there must be an open and frank exploration of those ideas and their current strength and status. Suicidal acts may themselves be seen as a form of communication and often the opportunity for open and direct communication is what is needed to defuse a potentially deadly situation. Once you begin to suspect a youngster is potentially suicidal, the best procedure is to ask directly in a warm, accepting and nonjudgmental way “Are you thinking about hurting or killing yourself?” If the youngster admits to suicidal thoughts or intent, you will need to do a quick assessment to decide if the situation is an emergency requiring immediate action, or one where you can take a bit more time in mobilizing a plan for professional intervention.

EVERY INSTANCE WHERE SUICIDAL THOUGHT OR INTENT IS REPORTED MUST BE TAKEN SERIOUSLY AND CAREFULLY EVALUATED BY A SKILLED PROFESSIONAL. SUICIDE EVALUATION IS NO PLACE FOR AMATEURS. THEREFORE, SHOULD YOU SUSPECT THAT A YOUNGSTER IS SUICIDAL, DO NOT ATTEMPT TO HANDLE THE SITUATION YOURSELF UNLESS YOU ARE A TRAINED MENTAL HEALTH PROFESSIONAL: SEEK OUT EXPERT HELP.

Assessment of Risk:

1. Begin an assessment by asking “What are you thinking of doing?” The answer should give you an idea of whether the youngster has a plan. Without one, there is less likelihood of immediate danger. The more specific the plan is, such as how it will be done, what means will be used, the time, or other circumstances, the greater the risk.
2. Find out how lethal the planned method is, or how lethal the person thinks it is. If the person believes the chosen method is sure to cause immediate death, there is more cause for alarm than if this is not the case. More violent and bizarre planned methods suggest greater risk than more passive ones.

3. Find out if the means for carrying out the plan is available to the person, for example if there is a stash of pills, a gun, or a poisonous substance that is available or that the person has acquired in preparation for a suicidal act.
4. What helpful, protective or supportive resources does the person have available? The greater risk is among people who feel isolated or as if there is no one who can help.

CAUTION: THIS QUICK ASSESSMENT IS USEFUL FOR THE EXPLORATION OF RISK, BUT IT IS NOT FOOLPROOF. IF YOU FEEL UNCERTAIN, TAKE THE CONSERVATIVE ROUTE AND PROCEED WITH AN IMMEDIATE PROTECTION AND INTERVENTION PLAN.

Crisis Intervention for Suicide Risk:

THE CRITICAL STEP IS TO GET THE PERSON TO A SKILLED PROFESSIONAL FOR APPROPRIATE INTERVENTION.

In the immediate situation, the following advice may prove helpful:

1. Don't argue, moralize or debate suicidal persons' motives. Simply tell them you don't want them to act on self-destructive ideas, because you care about them and their lives.
2. Establish and maintain personal contact and **don't leave a suicidal person alone.** Surround the person with a network of support including family and professionals.
3. Try to take a positive approach, exploring the person's options and the factors that would work against the impulse to suicide. Don't stress the suffering a suicide would cause others unless you know for sure that isn't what the person has in mind.
4. Don't get caught in the false comfort that a suicidal act is just "for attention" or intended to "manipulate" others. Judgment of such motives is complex and difficult, and suicidal youngsters who start out with "manipulative" intent may end up inadvertently taking serious or lethal action.
5. Don't get caught in promises to keep the secret. The value of protecting life over-rides keeping a secret. Tell the youngster you cannot keep the secret.
6. Arrange and implement a protection plan. See flow chart.
7. Refer to a skilled professional. Set up a specific appointment and follow-up to be sure it is kept. Inform yourself about Crisis Intervention and Suicide Prevention resources in your area.

The cycles of hopelessness and isolation that lead young people to suicidal behavior can be interrupted by appropriate attention and intervention. Sensitivity to the early signs and symptoms of such risk can lead to getting competent, life-saving help for youngsters who have come to a point of despair.

WHAT TO DO

Discuss it openly with person: confront the person with your concern. Ask them if they are thinking about killing themselves (or committing suicide). Instead of putting ideas into their head, being direct will allow them to talk more freely and not feel ignored.

Show interest and support: This does not mean that you are responsible for doing everything to help the person, but that you care and are not frightened away by the word “suicide”.

Get the person to professional help: According to the attached flow chart. Do not leave person alone.

Suicide: Fact Sheet

Occurrence:

Most popular press articles suggest a link between the winter holidays and suicides (Annenberg Public Policy Center of the University of Pennsylvania 2003). However, this claim is just a myth. In fact, suicide rates in the United States are lowest in the winter and highest in the spring (CDC 1985, Mc Cleary et al. 1991, Warren et al. 1983).

Suicide took the lives of 30,622 people in 2001 (CDC 2004). Suicide rates are generally higher than the national average in the Western states and lower in the Eastern and Midwestern states (CDC 1997).

In 2002, 132,353 individuals were hospitalized following suicide attempts; 116,639 were treated in emergency departments and released (CDC 2004).

In 2001, 55% of suicides were committed with a firearm (Anderson and Smith 2003).

Groups At Risk:

A. Males

Suicide is the eighth leading cause of death for all U.S. men (Anderson and Smith 2003). Males are four times more likely to die from suicide than females (CDC 2004).

Suicide rates are highest among Whites and second highest among American Indian and Native Alaskan men (CDC 2004).

Of the 24,672 suicide deaths reported among men in 2001, 60% involved the use of a firearm (Anderson and Smith 2003).

B. Females

Women report attempting suicide during their lifetime about three times as often as men (Krug et al. 2002).

C. Youth

The overall rate of suicide among youth has declined slowly since 1992 (Lubell, Swahn, Crosby, and Kegler 2004). However, rates remain unacceptably high. Adolescents and young adults often experience stress, confusion, and depression from situations occurring in their families, schools, and communities. Such feelings can overwhelm young people and lead them to consider suicide as a "solution." Few schools and communities have suicide prevention plans that include screening, referral, and crisis intervention programs for youth.

Suicide is the third leading cause of death among young people ages 15 to 24. In 2001, 3,971 suicides were reported in this group (Anderson and Smith 2003).

Of the total number of suicides among ages 15 to 24 in 2001, 86% (n=3,409) were male and 14% (n=562) were female (Anderson and Smith 2003).

American Indian and Alaskan Natives have the highest rate of suicide in the 15 to 24 age group (CDC 2004).

In 2001, firearms were used in 54% of youth suicides (Anderson and Smith 2003).

The Elderly

Suicide rates increase with age and are very high among those 65 years and older. Most elderly suicide victims are seen by their primary care provider a few weeks prior to their suicide attempt and diagnosed with their first episode of mild to moderate depression (DHHS 1999). Older adults who are suicidal are also more likely to be suffering from physical illnesses and be divorced or widowed (DHHS 1999; Carney et al. 1994; Dorpat et al. 1968).

In 2001, 5,393 Americans over age 65 committed suicide. Of those, 85% (n=4,589) were men and 15% (n=804) were women (CDC 2004). Firearms were used in 73% of suicides committed by adults over the age of 65 in 2001 (CDC 2004).

Risk Factors:

The first step in preventing suicide is to identify and understand the risk factors. A risk factor is anything that increases the likelihood that persons will harm themselves. However, risk factors are not necessarily causes. Research has identified the following risk factors for suicide (DHHS 1999):

- Previous suicide attempt(s)
- History of mental disorders, particularly depression
- History of alcohol and substance abuse
- Family history of suicide
- Family history of child maltreatment
- Feelings of hopelessness
- Impulsive or aggressive tendencies
- Barriers to accessing mental health treatment
- Loss (relational, social, work, or financial)
- Physical illness
- Easy access to lethal methods
- Unwillingness to seek help because of the stigma attached to mental health and substance abuse disorders or suicidal thoughts
- Cultural and religious beliefs—for instance, the belief that suicide is a noble resolution of a personal dilemma
- Local epidemics of suicide
- Isolation, a feeling of being cut-off from other people

Protective Factors:

- Protective factors buffer people from the risks associated with suicide. A number of protective factors have been identified (DHHS 1999):
- Effective clinical care for mental, physical, and substance abuse disorders

- Easy access to a variety of clinical interventions and support for help seeking
- Family and community support
- Support from ongoing medical and mental health care relationships
- Skills in problem solving, conflict resolution, and nonviolent handling of disputes
- Cultural and religious beliefs that discourage suicide and support self-preservation instincts

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Contact Information:

National Center for Injury Prevention and Control

Mailstop K60

4770 Buford Highway

Atlanta, Georgia 30341-3724

Phone: 1-800-CDC-INFO

(1-800-232-4636)

Email: cdcinfo@cdc.gov

University of the Southwest Record Retention & Destruction Policy

Policy

This Policy represents the University of the Southwest's policy regarding the retention and disposal of records and the retention and disposal of electronic documents.

Administration

Attached as Attachment B is a Record Retention Schedule that is approved as the current maintenance, retention and disposal schedule for physical records and electronic documents of University of the Southwest as revised on February 12, 2013. Attachment A provides specific policy pertaining to electronic documents. The University Senior Administrators are responsible for the implementation of this policy along with the necessary processes and procedures to ensure that the Record Retention Schedule is followed in each area of responsibility. Each Senior Administrator is also authorized to: make modifications to the Record Retention Schedule from time to time to ensure that it is in compliance with local, state and federal laws and includes the appropriate document and record categories for University of the Southwest; monitor local, state and federal laws affecting record retention; annually review the record retention and disposal program; and monitor compliance with this Policy.

Suspension of Record Disposal in Event of Litigation or Claims

In the event University of the Southwest is served with any subpoena or request for documents or any employee becomes aware of a governmental investigation or audit concerning University of the Southwest or the commencement of any litigation against or concerning University of the Southwest, such employee shall inform their Senior Administrator who in turn will inform the Administrative Team and the further disposal of any documents shall be modified or suspended as the Senior Administrator determines necessary, with the advice of counsel, if necessary. The Senior Administrator shall take such steps as is necessary to promptly inform all staff of any suspension in the further disposal of documents.

Applicability

This policy applies to all physical records generated in the course of University of the Southwest's operation, including both original documents and reproductions. It also applies to the electronic documents described above.

This Record Retention and Destruction Policy has been approved by the University of the Southwest Board of Trustees effective December 3, 2013.

Secretary

University of the Southwest
Record Retention & Destruction Policy

ATTACHMENT A
ELECTRONIC DOCUMENT RETENTION

1. Electronic Mail: Not all email needs to be retained, depending on the subject matter.
 - a. Employees are responsible for deleting all email from internal or external sources after 12 months.
 - b. Employees are required to keep all email communications related to University of the Southwest business.
 - c. Employees must not store or transfer University of the Southwest related email on non-work related computers except as necessary or appropriate for University of the Southwest purposes.
 - d. Employees will take care not to send confidential/proprietary University of the Southwest information to outside sources. Email security policies are in place to prevent social security numbers from being emailed outside the USW internal network.
 - e. Any email employees deem vital to the performance of their job should be printed and stored in the employee's workspace.

2. Electronic Documents: including Microsoft Office Suite and PDF
 - a. Employees should save all electronic documents related to University of the Southwest business in the designated server share drive.
 - b. Servers used for electronic document storage will be backed up, off site on a nightly basis.

3. Web Page Files: Internet Cookies
 - a. All USW systems are scheduled to delete internet cookies once per month.

4. Electronic Course Work and Course Communications
 - a. All coursework and course communications shall be retained within the course management system for a period not less than 12 months.
 - b. All electronic course communications should be conducted within the course management system.

In certain cases a document will be maintained in both paper and electronic form. In such cases the official document will be the electronic document.

DOCUMENT	RETENTION PERIOD	RESPONSIBLE OFFICE
INSTITUTIONAL AND LEGAL RECORDS		
Articles of Incorporation	PERMANENT	President's Office
Charter	PERMANENT	President's Office
By-Laws	PERMANENT	President's Office
Minutes of Board Meetings	PERMANENT	President's Office
Minutes of Board Committee Meetings		
Executive	PERMANENT	President's Office
Audit & Finance	5 YEARS	VP/CFO
Academic	7 YEARS	VP-Academics
Student Life	7 YEARS	VP-Academics
Institutional Resources	5 YEARS	Campus Steward
Licenses	ACTIVE + 6 YEARS	Requesting Office
Annual Corporate Report	PERMANENT	President's Office
Deed & Titles	PERMANENT	VP/CFO
Attorney Opinion Letters	ACTIVE + 4 YEARS	Requesting Office
		VP/CFO/Signing
		Administrator
Leases	ACTIVE + 6 YEARS	Appropriate Office
Policy Statements	10 YEARS	VP-Academics
Campus Crime Reports-Annual	4 YEARS	VP-Academics
Campus Crime Reports-Interim	2 YEARS	VP-Academics
Contracts	ACTIVE + 4 YEARS	Signing Administrator
IPEDS	10 YEARS	Registrar
ENTERING STUDENTS APPLICATION MATERIALS		
Acceptance Letters	DATE OF LAST ATTENDANCE + 5 YEARS	Registrar
Applications	DATE OF LAST ATTENDANCE + 5 YEARS	Registrar
Correspondence	DATE OF LAST ATTENDANCE + 5 YEARS	Registrar
Entrance Exams & Placement Scores	DATE OF LAST ATTENDANCE + 5 YEARS	Registrar
Letters of Recommendations	Until Admitted	Admissions
ACCEPTED BUT NOT ENTERING APPLICATION MATERIALS		
Acceptance Letters	APPLICATION TERM + 1 YEAR	Admissions
Applications	APPLICATION TERM + 1 YEAR	Admissions
Correspondence	APPLICATION TERM + 1 YEAR	Admissions
Transcripts	APPLICATION TERM + 1 YEAR	Admissions
STUDENT RECORDS		
Course Drop/Add Slips	3 YEARS	Registrar
Disciplinary Files	ENROLLMENT PERIOD + 4 YEARS	Student Life
Pass/Fail Requests	2 YEARS	Registrar
Class Schedules	PERMANENT-CAMS	Registrar
Registration Forms	2 YEARS	Registrar
Transcript Requests	2 YEARS	Registrar
FERPA Requests	DATE OF GRADUATION + 1 YEAR	Registrar
Academic Records	PERMANENT	Registrar
	DATE OF LAST ATTENDANCE + 2 YEARS	
Application for Graduation	DATE OF LAST ATTENDANCE + 5 YEARS	Registrar
Foreign Students (I-20) Forms	PERMANENT	Admissions
Date of Graduation and Degree Award	PERMANENT	Registrar
Degree Audit Records	PERMANENT-CAMS	Registrar
Transfer Credit Evaluations	PERMANENT-CAMS	Registrar
Personal Data Forms	DATE OF LAST ATTENDANCE + 1 YEAR	Admissions

Name Change Authorizations	PERMANENT	Registrar
Tuition & Fee Charges - Student Billing Account	PERMANENT-CAMS	Business Office
GENERAL STUDENT RECORDS		
Applicant Statistics	5 YEARS	Admissions
Enrollment Statistics	PERMANENT	Registrar
Grade Statistics (Average GPA, etc.)	PERMANENT	Registrar
Racial/Ethnic Statistics	PERMANENT	Registrar
Degree Statistics	PERMANENT	Registrar
FINANCIAL AID RECORDS		
FAFSA	EdExpress-Electronic-PERMANENT	Financial Aid
Financial Aid Awards	CAMS-PERMANENT (2001) NSLDS and/or COD-Electronic- PERMANENT	Financial Aid
Financial Aid Transcripts	ELM-Electronic-PERMANENT	Financial Aid
Lender's Name & Address	NSLDS-PERMANENT	Financial Aid
Student Loan History	CAMS-PERMANENT (Beginning 2007/08)	Financial Aid
Student Documents - Electronic FISAP	10 YEARS	Financial Aid
EMPLOYMENT APPLICATIONS/EMPLOYMENT LISTINGS		
Job Announcements and Advertisements	1 YEAR	Personnel Services
Individual Applicants-NOT HIRED		
Employment Applications	4 YEARS	Personnel Services
Background Investigation Results	4 YEARS	Personnel Services
Resumes	4 YEARS	Personnel Services
Letters of Recommendation	4 YEARS	Personnel Services
Individual Applicants-HIRED - See Individual Employee Files		
PAYROLL & PERSONNEL FILES		
Individual Employee Files	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Employment Applications & Resumes	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Background Investigation Results	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Resumes	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Medical Examinations - subject to HIPPA	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Letters of Recommendation	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Wage or Salary History	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Salary or Current Rate of Pay	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Payroll deductions	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
W-4 Form	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Garnishments	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Beneficiary Designation	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Emergency Contacts	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Medical Records - subject to HIPPA	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Promotions	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Exempt Leave Reports	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Employee Evaluations	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Personnel Actions	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Disciplinary Warnings and Actions	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Layoff or Termination	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Accident/Injury Reports	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Current and Superseded Job Descriptions	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Retirement Contributions (Salary Reduction Agreements)	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Disability Records	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Flexible Benefit Contributions (Salary Reduction Agreements)	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Faculty Contracts - Copies (Original in Office of Provost)	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Drug Free Campus Form	DATE LAST EMPLOYED + 7 YEARS	Personnel Services
Faculty Files		
Personnel Documents	DATE LAST EMPLOYED + 7 YEARS	Office of Provost

Correspondence	DATE LAST EMPLOYED + 7 YEARS	Office of Provost
Course Evaluations	DATE LAST EMPLOYED + 7 YEARS	Office of Provost
Performance Evaluations	DATE LAST EMPLOYED + 7 YEARS	Office of Provost
Academic Transcripts	DATE LAST EMPLOYED + 7 YEARS	Office of Provost
Faculty Contracts	DATE LAST EMPLOYED + 7 YEARS	Office of Provost
General Files		
EEOC-6 Reports	3 YEARS	Personnel Services
Superseded Employee Manuals	10 YEARS	Personnel Services
Time Cards or Sheets	CURRENT + 3 YEARS	Personnel Services
Benefit Plan Documents	PERMANENT	Personnel Services
Termination Date Spreadsheet	PERMANENT	Personnel Services
Harassment Training Sign-in Sheet	7 YEARS	Personnel Services
Form I-9s (Alpha in folder while active - Individual Employee File upon Termination)	3 YEARS AFTER HIRE DATE OR 1 YEAR AFTER TERMINATION DATE-WHICHEVER IS LATER	Personnel Services
PAYROLL TAX FILINGS & REPORTING		
W-2 Form	10 YEARS	Personnel Services
Forms 941	10 YEARS	Personnel Services
Forms 5500	10 YEARS	Personnel Services
SUTA Reports	10 YEARS	Personnel Services
Workers Compensation Quarterly Reports	10 YEARS	Personnel Services
Workers Compensation Audit Data and Reports	10 YEARS	Personnel Services
CMS/Medicare Reports	5 YEARS	Personnel Services
OSHA Reports	5 YEARS	Personnel Services
Flexible Benefit Non-Discrimination Testing	5 YEARS	Personnel Services
FEDERAL TAX RECORDS		
Form 990	10 YEARS	VP/CFO
Form 990-T	10 YEARS	VP/CFO
FINANCIAL STATEMENTS AND ACCOUNTING RECORDS		
Audited Financial Report	PERMANENT	VP/CFO
General Ledger Trial Balances	10 YEARS - Dynamics	VP/CFO
General Ledger Detail Reports	10 YEARS - Dynamics	VP/CFO
Year-end Financial Report Work papers	10 YEARS	VP/CFO
ACCOUNTS RECEIVABLE RECORDS		
Student Ledgers	PERMANENT-CAMS	Business Office
Pre-CAMS Ledgers	10 YEARS	Business Office
Uncollected Student Accounts	PERMANENT	Business Office
Daily Batch Reports and Documentation	CURRENT YEAR + 3 YEARS	Business Office
Forms 1098-T	5 YEARS	Business Office
ACCOUNTS PAYABLE RECORDS		
Purchasing Request Forms-Approved	CURRENT YEAR + 3 YEARS	Business Office
Invoices	CURRENT YEAR + 3 YEARS	Business Office
Expense Reports	CURRENT YEAR + 3 YEARS	Business Office
Payment/Disbursement Records	CURRENT YEAR + 3 YEARS	Business Office
Employee Benefits Payments	CURRENT YEAR + 10 YEARS	Personnel Services
Forms 1099-MISC	10 YEARS	Business Office
CAPITAL PROPERTY RECORDS		
Capital Property Inventory	10 YEARS-INCLUDED IN Y/E FINANCIAL REPORT WORKPAPERS	VP/CFO
CONTRIBUTION RECORDS		
Annual Donor Records	CURRENT YEAR + 5 YEARS	Development Office
Endowment Agreement Documents	PERMANENT	VP/CFO

REPORTING OF MISCONDUCT OR FINANCIAL FRAUD

April 4, 2017

University of the Southwest is committed to lawful and ethical behavior in all of its activities. Administrators, faculty and staff are required to act in accordance with all applicable laws, regulations and policies, and to observe high standards of business and personal ethics in the conduct of their duties and responsibilities.

The objectives of this Policy are to establish policies and procedures to:

- prevent, detect and/or correct improper activities;
- encourage University administrators, faculty or staff to report what in good faith is believed to be a material violation of law or policy, or questionable accounting or auditing matter by the University;
- ensure the receipt, documentation, retention of records, and resolution of reports received under this policy; and
- protect Reporting Individuals from retaliatory action.

Reporting Responsibility

It is the responsibility of every Employee to report concerns relating to suspected financial dishonesty, financial fraud, or financial misconduct. The types of concerns that should be reported include, but are not limited to, the following: providing false or misleading information on University documents, grant reports, tax returns or other public documents; providing false information to or withholding material information from the University's auditors, lawyers, directors or other representatives responsible for ensuring University compliance with fiscal and legal responsibilities; embezzlement, private benefit, acceptance of payments, goods or services in violation of the University "Gifts, Gratuities and Kickbacks" policy, or misappropriation of funds; material violation of any University policy; and facilitation or concealing any of the above or similar actions.

Reporting Violations

Whenever possible, concerns should be addressed in accordance with the University "Grievance Policy and Procedure". The President of the University will provide an annual report to the Finance and Audit Committee of all grievances addressed by his office during the year. If, however, for any reason employees are not comfortable reporting their concern regarding suspected misconduct or financial fraud through the Grievance Procedure, or do not believe that an issue of misconduct or financial fraud is being properly addressed, employees may contact the Chair of the Audit and Finance Committee of the Board of Trustees of University of the Southwest (Compliance Officer).

Whenever practical, reports should be in writing. Concerns may be submitted anonymously. It is required that all reports contain as much specific information as possible in order to substantiate a valid basis for the allegation.

Acting in Good Faith

Anyone reporting a concern must act in good faith and have reasonable grounds for believing the matter raised is a serious violation of law or policy or a material accounting or auditing matter. The act of making allegations that prove to be unsubstantiated, and that prove to have been made maliciously, recklessly, with negligence, or with the foreknowledge that the allegations are false, is not good faith reporting and will be viewed as a serious disciplinary offense subject to action up to and including termination of employment.

Compliance Officer

As Compliance Officer, the Chair of the Audit and Finance Committee of the Board of Trustees of University of the Southwest is responsible for oversight of investigations and assuring resolution of all reported complaints and allegations concerning violations of this policy. The Compliance Officer is required to report to the Audit and Finance Committee at least annually on compliance activity.

Handling of Reported Violations

Matters reported to the Compliance Officer will be acknowledged to the complainant promptly (generally within ten business days) if the identity of the complainant is known. An investigation will be conducted to determine if the allegations are true and whether the issue is material and what, if any, corrective action is necessary.

The Finance and Audit Committee of the Board of Trustees will immediately be notified of and address all reported concerns or complaints regarding University accounting practices, internal controls or auditing. The Finance and Audit Committee will have full authority to investigate concerns raised in accordance with this policy and may retain outside legal counsel, accountants, private investigators, or any other resource that the Committee reasonably believes is necessary to conduct a full and complete investigation of the allegations.

No Retaliation

This Policy is intended to encourage and enable Employees to raise serious concerns for investigation and appropriate action. No one who in good faith reports a concern will be threatened, discriminated against or otherwise subject to retaliation or, in the case of an employee, adverse employment consequences as a result of such report. Additionally, employees will not be adversely affected because they refuse to carry out a directive that, in fact, constitutes fraud, is a violation of University policy, or otherwise is reportable as a concern under this policy.

An employee who feels that he or she has been subjected to any behavior that violates this policy should immediately report such behavior to his or her supervisor, or the Director of Personnel Services. An employee who retaliates against someone who has reported a concern in good faith is subject to discipline up to and including termination of employment.

Confidentiality

Reports and investigations will be kept confidential to the extent possible. However, consistent with the need to conduct an adequate investigation, the University cannot guarantee complete confidentiality. Disclosure of information relating to an investigation under this policy by University employees involved in an investigation to individuals not involved in the investigation, will be viewed as a serious disciplinary offense which may result in discipline, up to and including termination of employment.

Chair of Audit and Finance Committee/Compliance Officer

Sabrina Amador
Lea County State Bank
Post Office Box 400
Hobbs, NM 88241
Phone: (575) 397-6629
Email: sabrina.amador@lcsb.com

University of the Southwest Vehicle Use and Transportation Policy

This USW policy details the use of university owned vehicles, (including buses, cars and golf carts) as well as vehicles rented or leased for official university business and personal vehicles used for official university business. This policy also lists driver qualifications required for individuals driving on official USW business.

I. Qualified Drivers

1. Approved Drivers List:

To be considered for the Approved Drivers List, a person **MUST** be an employee, or an officially recognized representative of the university. All persons operating a vehicle while on official university business must be on the Approved Drivers List. The list is used to determine eligibility of an employee or officially recognized representative of the university to drive any vehicle for official university business. To qualify as an approved driver, an employee or officially recognized representative of the university must annually provide copies of a valid driver's license, proof of insurance, three years of driving history from the Department of Motor Vehicles issuing their current driver's license and a complete Approved Drivers List Request Form (See Attached). The driving history must meet the qualifications shown under "Motor Vehicle Record" in the next section on this page. The driver must possess the appropriate license classification for the vehicle driven.

Officially recognized representative of the university - In order for any non-employee to be approved as an officially recognized representative of the university a Driver Request Form (See Attached) must be completed and submitted to the Senior Administrator for approval. The USW Controller must have this approved form before the non-employee can be added to the Approved Drivers List.

Any person on the Approved Drivers List who receives a moving violation or other citation while driving a university vehicle or a personal vehicle, must immediately report the moving violation or other citation to the USW Controller.

2. Motor Vehicle Record:

More than 2 moving violations in the last three year period (the period runs July 1st through June 30th), may result in the employee or the officially recognized representative of the university being removed from the Approved Drivers List. Any citation more serious than a moving violation will result in the employee or officially recognized representative of the university being removed from the Approved Drivers List. Failure to submit an MVR within 10 business days of a request for an MVR will result in removal from the Approved Drivers List.

3. Cell Phone and Electronic Device Usage:

The State of New Mexico bans text messaging, searching the internet and reading e-mails on cell phones or other electronic devices while driving. Please be aware that different cities and states have their own laws for cell phone or other electronic device usage while driving.

The USW Insurance Carrier states that safety should always be a priority, pull off the road and park your vehicle before using your cell phone or other electronic device.

II. Use of University Owned Vehicles

1. Vehicle Use Authorization Form:

All persons requesting use of a university owned vehicle MUST contact, the USW Campus Steward, Physical Plant Director and Campus Steward Executive Assistant to reserve said vehicle.

2. Fuel and Other Trip Costs:

All fuel costs are the responsibility of the department using the vehicle. The vehicle must be returned with a full tank of fuel. The department using the vehicle is also responsible for the cost of cleaning the vehicle upon completion of the trip. USW employee must complete the mileage log for said vehicle.

3. Drivers:

Any and all drivers needed for a trip must be listed on the USW's Approved Drivers List. A USW employee driving the vehicle is the primary responsible person for the trip requested.

4. Vehicle Checkout/Check-in and Inspection:

Vehicle Checkout will be from Physical Plant personnel. The USW employee requesting the vehicle is responsible for making arrangements for vehicle checkout of any and all keys and any other items necessary to leave for a trip prior to departure. Upon return from the trip, the Transportation Requestor will return the keys to Physical Plant personnel, who will perform a vehicle check-in inspection to assure that the USW owned vehicle is clean, full of fuel and no damage has been sustained during the trip. If the USW owned vehicle is returned after hours, Physical Plant personnel will perform the inspection as soon as possible and any and all irregularities will be noted and reported. All irregularities must be reported to Physical Plant personnel. Additionally, at the time of check-in the Transportation Requester must report any and all details concerning the vehicle's repairs or maintenance that occurred during the use of the vehicle.

III. Use of Personal Vehicles for Official University Business

1. Drivers Responsibilities/Eligibility:

If available, a university vehicle should be used for official university business. Drivers desiring to use their personal vehicle for official university business (regardless of destination or claim of mileage to be reimbursed) must possess a valid driver's license, and be currently on the Approved Drivers List. All current employees on the Approved Drivers List will be required to have a New Mexico driver's license. Newly hired employees will be given the mandated state law deadline to change their driver's license.

In addition, drivers must also provide the USW Controller with a copy of proof of Liability Insurance indicating liability limits for the personal vehicle they wish to use for official

university business. In no instance is it acceptable for the aforementioned proof of Liability Insurance to be less than the state law requirement for the class of vehicle.

2. Insurance Coverage:

The USW employee's or designated person's insurance is the primary insurance coverage and the USW insurance coverage is secondary. When using a rental car, Rental car Insurance will be required to be purchased at maximum coverage.

3. Transporting Students in Personal Vehicles on Official University Business:

If available, a university vehicle should be used to transport students during official university business. If necessary, transporting ANY student of University of the Southwest in a personal vehicle is only permitted for official university business in connection with the employee's official duties. Any transportation of a student in a personal vehicle outside of official university business in connection with the employee's official duties may be grounds for discipline.

IV. Use of Rented Vehicle

All USW employees or designated drivers may make arrangements to rent a vehicle. Rental companies have age requirements depending on vehicle to be rented. A person 21 -24 years old may rent up to a full size vehicle. Specialty vehicles (trucks, SUVs or large vans) require a person be 25 years and older. Arrangements may be made with the local Enterprise Rental Car Company. The USW has an account with the local Enterprise Rental Car Company. Rental Car Insurance will be required to be purchased at maximum coverage.

V. Maintenance of all University Owned Vehicles

1. Maintenance Vehicles:

It is the sole responsibility of the Maintenance Department to maintain and document any and all issues concerning the Maintenance Department vehicles, including the golf carts assigned to the Maintenance Department and any other motorized vehicle.

2. Golf carts:

Golf carts can only be driven by individuals on the Approved Drivers List. It is the responsibility of any department assigned a golf cart to maintain the vehicle in safe driving condition. All repairs and maintenance are the responsibility of the department assigned the golf carts. When parking golf carts remove keys from ignition to restrict usage by unauthorized persons.

VI. Accidents

Any and all accidents/incidents occurring while on official university business in which a vehicle is under the responsibility of an Approved Drivers List USW employee or officially recognized representative of the university whether or not physical injury or property damage to a passenger, vehicle or surrounding property occurs are to be reported within 24 hours to the USW Controller and Senior Administrator supervising the Approved Driver or officially recognized representative.

1. What to do in the event of an Accident:

Stop the vehicle at once if vehicle is in motion. Turn off the engine if the engine is running. If physical injury has occurred DO NOT move the injured person/s. Take any reasonable steps to ensure the accident scene is not a safety hazard for oncoming traffic as the situation dictates. Document names and contact information of all individuals involved as well as witnesses to the accident. DO NOT make any statement to anyone other than the appropriate law enforcement agencies, the employee's supervisor or a USW insurance carrier.

2. What to do immediately after an Accident:

Contact the USW Controller and the appropriate Senior Administrator within 24 hours. Once the driver has been released to leave the accident scene by the police, a report of the accident will be submitted to the USW Controller as soon as it is reasonably possible, in order for an appropriate investigation to be initiated and any and all appropriate insurance forms completed and submitted. The Approved Driver or officially recognized representative will submit a copy of the Police report to the USW Controller.

3. Issuance of Moving Violations:

Any driver that receives any type of moving violation as a result of being involved in an accident is required to notify the Business Office as soon as possible. Any and all violations resulting from an accident may affect the driver's status on the Approved Drivers List.

VII. Transportation to/from USW Sponsored Events

Students participating in USW sponsored events outside of Lea County, New Mexico, must travel in university provided transportation.

Students may request special permission to travel in non-university provided transportation and/or from an event outside of Lea County, New Mexico, under approved circumstances by requesting permission, in writing, prior to the date of the event and signing an "Indemnity Agreement".

VIII. Failure to Abide by Vehicle and Transportation Policy

Failure to abide by the Vehicle and Transportation Policy may result in action ranging from removal from the Approved Drivers List to potential termination of employment.

This policy supersedes all previous policies, statements, and preferences regarding University of the Southwest Vehicle Use and Transportation.

USW Policy for Acceptable Use of Technology Resources

1. Introduction

This Acceptable Use Policy (AUP) for IT Systems is designed to protect University of the Southwest (USW), our employees, customers and other partners from harm caused by the misuse of our IT systems and our data. Misuse includes both deliberate and inadvertent actions.

The repercussions of misuse of our systems can be severe. Potential damage includes, but is not limited to, malware infection (e.g. computer viruses), legal and financial penalties for data leakage, and lost productivity resulting from network downtime.

Everyone who works at USW is responsible for the security of our IT systems and the data on them. As such, all employees must ensure they adhere to the guidelines in this policy at all times. Should any employee be unclear on the policy or how it impacts their role they should speak to their manager or IT security officer.

2. Definitions

“Users” are everyone who has access to any of USW’s IT systems. This includes permanent employees and also temporary employees, contractors, agencies, consultants, suppliers, customers and business partners.

“Systems” means all IT equipment that connects to the corporate network or access corporate applications. This includes, but is not limited to, desktop computers, laptops, smartphones, tablets, printers, data and voice networks, networked devices, software, electronically-stored data, portable data storage devices, third party networking services, telephone handsets, video conferencing systems, and all other similar items commonly understood to be covered by this term.

3. Scope

This is a universal policy that applies to all Users and all Systems. For some Users and/or some Systems a more specific policy exists: in such cases the more specific policy has precedence in areas where they conflict, but otherwise both policies apply on all other points.

This policy covers only internal use of USW’s systems, and does not cover use of our products or services by customers or other third parties.

Some aspects of this policy affect areas governed by local legislation in certain countries (e.g., employee privacy laws): in such cases the need for local legal compliance has clear precedence over this policy within the bounds of that jurisdiction. In such cases local teams should develop and issue users with a clarification of how the policy applies locally.

Staff members at USW who monitor and enforce compliance with this policy are responsible for ensuring that they remain compliant with relevant local legislation at all times.

4. Use of IT Systems

All data stored on USW’s systems is the property of USW. Users should be aware that the company cannot guarantee the confidentiality of information stored on any USW system except where required to do so by local laws.

USW's systems exist to support and enable the business. A small amount of personal use is, in most cases, allowed. However it must not be in any way detrimental to users own or their colleagues productivity and nor should it result in any direct costs being borne by USW other than for trivial amounts (e.g., an occasional short telephone call).

USW trusts employees to be fair and sensible when judging what constitutes an acceptable level of personal use of the company's IT systems. If employees are uncertain they should consult their manager.

Any information that is particularly sensitive or vulnerable must be encrypted and/or securely stored so that unauthorized access is prevented (or at least made extremely difficult). However this must be done in a way that does not prevent—or risk preventing—legitimate access by all properly-authorized parties.

USW can monitor the use of its IT systems and the data on it at any time. This may include (except where precluded by local privacy laws) examination of the content stored within the email and data files of any user, and examination of the access history of any users.

USW reserves the right to regularly audit networks and systems to ensure compliance with this policy.

5. Network Usage

Use of the USW wireless or wired networks must be in line with the [Responsible Network Usage Statement](#).

6. Data Security

If data on USW's systems is classified as confidential this should be clearly indicated within the data and/or the user interface of the system used to access it. Users must take all necessary steps to prevent unauthorized access to confidential information.

Users are expected to exercise reasonable personal judgment when deciding which information is confidential.

Users must not send, upload, remove on portable media or otherwise transfer to a non-USW system any information that is designated as confidential, or that they should reasonably regard as being confidential to USW, except where explicitly authorized to do so in the performance of their regular duties.

Users must keep passwords secure and not allow others to access their accounts. Users must ensure all passwords comply with USW's safe password policy.

Users who are supplied with computer equipment by USW are responsible for the safety and care of that equipment, and the security of software and data stored it and on other USW systems that they can access remotely using it.

Because information on portable devices, such as laptops, tablets and smartphones, is especially vulnerable, special care should be exercised with these devices: sensitive information should be

stored in encrypted folders only. Users will be held responsible for the consequences of theft of or disclosure of information on portable systems entrusted to their care if they have not taken reasonable precautions to secure it.

All workstations (desktops and laptops) should be secured with a lock-on-idle policy active after at most 10 minutes of inactivity. In addition, the screen and keyboard should be manually locked by the responsible user whenever leaving the machine unattended.

Users who have been charged with the management of those systems are responsible for ensuring that they are at all times properly protected against known threats and vulnerabilities as far as is reasonably practicable and compatible with the designated purpose of those systems.

Users must at all times guard against the risk of malware (e.g., viruses, spyware, Trojan horses, rootkits, worms, backdoors) being imported into USW's systems by whatever means and must report any actual or suspected malware infection immediately.

7. Communication beyond Individual Area of Responsibility

Users will observe at least the following guidelines when sending out emails:

- No funds should be solicited – even for very good causes.
- No political or philosophical positions should be advocated.
- Nothing should be communicated that is inconsistent with the USW mission statement.

To make certain that the content of an email that is intended for mass distribution on campus is appropriate, each faculty or staff member must submit a draft of a proposed mass email to the member of the Administrative Team that serves as the employees direct or indirect supervisor.

8. Social Media

Social media are powerful communications tools that have a significant impact on organizational and professional reputations. We recognize that social media sites like Facebook, Twitter, YouTube and Instagram have become important and influential communication channels for our community. To assist in posting content and managing these sites, the university has developed policies and guidelines for official and personal use of social media. These policies and guidelines apply to university faculty and staff, and can be used in connection with social media accounts associated with schools, colleges, departments, programs and offices.

Policies for all Social Media Sites, Including Personal Sites¹

- The purpose of using these communication channels on behalf of USW is to support the university's mission, goals, values, and programs; including university news, information, and content.
- Prior to engaging in any form of social media involving USW, you must receive permission from the supervisor as appointed by your department head and notify Technology Services.
- When using an officially recognized social media channel, assume at all times that you are representing USW.
- Confidential or exclusive university information or similar information of third parties, who have shared such information with you on behalf of USW, should not be shared publicly on these social media channels.

¹Adapted from <https://www.seattleu.edu/marcom/Inner.aspx?id=53083>

- Usw.edu, as well as USW's main social media accounts may choose to post university related social media content generated by faculty, staff and/or students. USW's main social media accounts include:

Facebook, <https://www.facebook.com/universityofthesouthwest>

Twitter, https://twitter.com/USW_HobbsNM

Instagram, <http://instagram.com/uofsw>

YouTube, <http://www.youtube.com/channel/UC1GswxhaTljnF2HHvy523UQ>

- Avoid discussing or speculating on internal policies or operations.
- A healthy dialog with constructive criticism can be useful but refrain from engaging in dialogue that could disparage colleagues, competitors, or critics.
- Be mindful that all posted content is subject to review in accordance with USW's employee policies and editorial guidelines.
- Please refrain from reporting, speculating, discussing or giving any opinions on university topics or personalities that could be considered sensitive, confidential or disparaging.
- USW logos and/or visual identity cannot be used for personal social media without university permission.
- Your personal social media account is not an appropriate place to distribute university news. If you have university information and news that you would like to announce to the public or media, please contact USW's Social Media Administrator.
- USW does not monitor personal websites but will address issues that violate established HR, Editorial, Graphic and Social Media guidelines.
- USW encourages Faculty, Staff and Students to use social media but reminds users that at any time they can be perceived as a spokesperson of the University.

9. Unacceptable Use

All employees should use their own judgment regarding what is unacceptable use of USW's systems. The activities below are provided as examples of unacceptable use, however it is not exhaustive. Should an employee need to contravene these guidelines in order to perform their role, they should consult with and obtain approval from their manager before proceeding.

- All illegal activities. These include theft, computer hacking, malware distribution, contravening copyrights and patents, and using illegal or unlicensed software or services. These also include activities that contravene data protection regulations.
- All activities detrimental to the success of USW. These include sharing sensitive information outside the company, such as research and development information and customer lists, as well as defamation of the company.
- All activities for personal benefit only that have a negative impact on the day-to-day functioning of the business. These include activities that slow down the computer network (e.g., streaming video, playing networked video games).
- All activities that are inappropriate for USW to be associated with and/or are detrimental to the company's reputation. This includes pornography, gambling, inciting hate, bullying and harassment.
- Circumventing the IT security systems and protocols which USW has put in place.

10. Enforcement

USW will not tolerate any misuse of its systems and will discipline anyone found to have contravened the policy, including not exercising reasonable judgment regarding acceptable use. While each situation will be judged on a case-by-case basis, employees should be aware that consequences may include the termination of their employment.

Use of any of USW's resources for any illegal activity will usually be grounds for summary dismissal, and USW will not hesitate to cooperate with any criminal investigation and prosecution that may result from such activity.

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