



2017-2018 FACULTY HANDBOOK

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I. INTRODUCTION

Foreword

This handbook has been prepared to provide you with the procedures and policies under which University of the Southwest (USW) operates. 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 school dean or Provost.

Each USW employee 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.

AAUP Statement of Ethics

University of the Southwest embraces the Statement of Professional Ethics as published by the American Association of University Professors (AAUP).

This Statement of Professional Ethics was adopted by the Council of the American Association of College Professors in June 1987, and endorsed by the Seventy-third Annual Meeting as Association policy.

INTRODUCTION

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations' act to ensure the integrity of members engaged in private practice. In the academic profession, the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on*

Procedural Standards in Faculty Dismissal Proceedings, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

THE STATEMENT

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interest, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their University. As citizens engaged in a profession that depends upon freedom for its health of academic freedom.

The Mission of University of the Southwest

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 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.

The Purpose of University of the Southwest

The academic program of study is designed to foster learning in an atmosphere where the intellectual pursuit of knowledge and scientific objectivity within the context of the University mission is primary. The curriculum includes a broad background in the arts and sciences with degree programs in the disciplines of the arts, sciences, business, and education leading to preparation for the graduate program or professional school, as well as for leadership and service in business, education, and in the community.

The underlying purpose of this educational process is the development of aesthetic awareness, critical judgment, and creative expression through the rigorous pursuit of truth, the development of a tolerant attitude of an enlightened mind, and the development of the rigor of thought and investigation in a context of intellectual freedom and the University mission. The ultimate goal in providing this educational program is the development of responsible individuals who have moral integrity, faith in the Creator, intellectual honesty, social consciousness, and the ability and desire to render service to others.

Through the academic curriculum, recreational and athletic programs, social service clubs, counseling services, and religious activities, students have opportunities to be directed toward these goals. As education is never completed, the total program of University of the Southwest exists to give students and faculty the incentive for lifelong learning and continuing intellectual pursuit.

Accreditations, Affiliations, and National Memberships

University of the Southwest (USW) was granted candidacy status by the Higher Learning Commission of the North Central Association of Colleges and Schools in July, 1976. USW was granted accreditation in 1980, with re accreditation in 1984, 1987, 1990, 1993, 1999, 2003, and 2014, with the next comprehensive visit to be in 2024. The School of Education is approved by the New Mexico State Board of Education as compliant with the National Council for Teacher Education Standards. In 1995, the University was granted approval to offer a master's degree in education. In 2009, the University was granted approval to offer a master's degree in business administration.

USW is a member of the following organizations:

- American Association of Presidents of Independent Colleges & Universities (AAPICU)
- Association of Governing Boards of Universities & Colleges (AGB)
- Council for Higher Education Accreditation (CHEA)
- Council for Christian Colleges and Universities (CCCU)
- Council of Independent Colleges (CIC)
- National Association of Independent Colleges & Universities (NAICU)
- New Mexico Independent College Fund (NMICF)
- North Central Association of the Higher Learning Commission (NCA/HLC)
- National Association of Intercollegiate Athletics (NAIA)

II. GOVERNANCE AND ADMINISTRATION

Board of Trustees

The University is administered by a self-perpetuating Board of Trustees and a group of administrative officers headed by the President. The Board meets five times a year, as well as the Executive Committee, which consists of the chairs of the various committees of the Board. These committees usually meet prior to the scheduled Board meetings.

Organizational Structure

The President reports directly to the Board of Trustees. Present senior administrators that report to the President include the Provost, the Dean of Enrollment Services / Registrar; Vice President of Technology Services; Campus Steward; and the Vice President for Administrative Services/CFO.

Academic Organization

Reporting to the Provost are the Deans of the School of Arts and Sciences, the School of Business, and the School of Education. Support areas that report to the Provost are the Dean of Library Services, the Dean of Student Life and Community Outreach.

Academic Leadership

Deans

The Dean is the head of an academic school and is selected by the Provost. Each serves at the pleasure of the Provost. Changes in Dean's assignments will not affect his/her faculty status.

Deans perform the following duties and meets the following responsibilities:

- Supervise and stay continually abreast of school members' performance in the following areas:
 - depth and breadth of teaching proficiency, including on-line off-site programs;
 - effectiveness in contributing to overall divisional administration;
 - continued professional growth and development in his/her discipline;
 - teaching effectiveness;
 - volunteer efforts, contributions to, and performance in activities outside the school, which enhance the overall University welfare;
 - student advising effectiveness;
 - overall satisfactory service.
- Counsel school members concerning the following matters:
 - deviation from stated division policy;
 - unprofessional behavior;
 - remedies for problems and suggestions for improvement;
- Participate in the faculty reappointment and promotion process;
- Assist in recruiting and selecting new faculty;
- Approve course syllabi in the school;
- Develop and administer school budgets;
- Recommend to the Provost faculty teaching assignments, the need for overloads within the school, and summer school assignments;
- Schedule and conduct regular school meetings;
- Coordinate selection of, and place orders for textbooks in the school;
- Teach at least six (6) credit hours per semester unless special arrangements are made with the Provost;
- Serve on designated committees;
- Maintain a current inventory of the school's equipment and supplies;
- Plan for and purchase new equipment and materials;
- Monitor school's classrooms and report maintenance needs to appropriate University personnel;
- Administer the annual Faculty Evaluation process;
- Conduct an annual evaluation conference with each faculty member; the results of which are summarized in the "Professional Activities Report";
- Conduct classroom performance observations and student evaluations of faculty as appropriate;
- Perform other duties as determined by the particular Deans and the Provost.

Committees

Faculty play a vital role in the governance of the University. That role is expressed in many ways, including committee membership. Faculty members appointed to serve on committees are thus expected to assist in the governance of the University. University-wide committees should hold regular meetings, submit reports, and offer recommendations to the President, the appropriate Vice President, or the faculty, as appropriate.

The President and the Provost are considered ex-officio members of all committees and shall be notified of all meetings:

- Academic Program Review Committee
- Admissions Committee
- Assessment Committee
- Athletic Committee
- Campus Community Committee
- Electronic Distance Learning Committee
- Emergency Management Committee
- Faculty Development & Welfare Committee
- Grade Appeal Committee
- Honors Board
- Retention Operations Committee
- Student Life Committee

Other committees may be designated each year by the Provost.

Faculty Council

The Faculty Council provides a forum for teaching and administrative faculty to discuss items of importance to this group.

The Faculty Council discusses items that have been brought to them by the members of the faculty or the administration. They also discuss and vote on items presented to them by the standing or ad hoc committees. The Faculty Council may pass resolutions of items they would like to initiate or change. These resolutions are then passed on to the Provost. The Provost will address or direct the recommendation as appropriate. The recommendations of the Faculty Council are advisory only and are subject to modification or rejection at the discretion of the administration and/or Board of Trustees of the University of the Southwest.

Meetings: The Faculty Council will meet as a whole, but may also divide into smaller groups to discuss items of interest pertaining to that group.

Chairperson: The Faculty Council is chaired by a person elected by the Council at the last meeting of the academic year. At this time, there is no time limit to the length of service of this position. The Chair has the responsibilities of calling the meetings, setting the agenda, conducting the meetings, and passing on the resolutions and voting results to the Provost.

Recorder: The Recorder is a person elected by the Council at the last meeting of the academic year. At this time, there is no time limit to the length of service of this position. The recorder has the responsibility of recording the minutes and sending them to the Chair who will distribute the minutes to the membership.

Membership: *Teaching faculty* members are those faculty (full, half-time, or three-quarter time) who receive a teaching contract issued by the Provost.

- *Administrative faculty* are those persons such as the University President, Provost, Vice President for Administrative Services/CFO, Dean of Enrollment Services / Registrar, Dean of Student Life, Dean of Library Services, Executive Administrative Assistant to the Provost, those who possess the educational qualifications for faculty rank but whose primary professional responsibilities are outside the classroom. The Provost will update the list of Administrative Faculty annually with the President's endorsement.

Adjunct faculty are not members of the faculty council but are welcome to attend meetings.

Quorum: A quorum is necessary for a vote of the group to be considered valid. A quorum for the Faculty Council will consist of half plus one of the membership.

III. SUPPORT UNITS

Virtual Bookstore

University of the Southwest has partnered with MBS Direct to provide online textbook services to all students. A link to the virtual bookstore is in the eStudent portal and in the eFaculty portal.

Campus Post Office

The University Post Office is located in the Bill Daniels Campus Center and operates from 7:30 a.m. until 2:20 p.m. Please use your assigned campus mail box number on all correspondence.

University of the Southwest
Your Name, Position or Department
6610 N Lovington Hwy Ste _ _ _ (Your assigned campus box number)
Hobbs, NM 88240-9129

Education – Suite 10

Arts & Sciences – Suite 20

Library – Suite 30

Example: University of the Southwest
Dr. B. Shott
6610 Lovington Highway, Suite 10
Hobbs, NM 88240-9129

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. Please return empty intercampus mailing envelopes to the business office or the campus mailroom.

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 1:15 p.m. of the day the individual wishes the mail to be processed by the United States Postal Service (U.S.P.S.). The Director of Mailroom Services will arrange for delivery to the U.S.P.S. daily.

Personal mail to parties external to the campus may be delivered to the University Post Office for delivery to the Postal Service. 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.

Comprehensive Academic Management System (CAMS Enterprise)

CAMS Enterprise is a comprehensive administrative software package for tracking all aspects of the academic system in place at University of the Southwest. CAMS Enterprise is used by USW faculty members for generating class rosters, providing academic advisement, ordering textbooks, and recording grades and attendance. To access CAMS Enterprise on campus, your computer must have the CAMS Enterprise shortcut installed. Off campus faculty and student access is available through the CAMS Faculty and Student Portals. A CAMS Enterprise user account and password is required to access the system. These are assigned by the CAMS Manager Training in CAMS Enterprise is coordinated by the Provost and the CAMS Manager. Technical support is also provided by Technology Services.

Counseling Center for Students

Student counseling is available each semester. The counseling office is located in the Arts and Science Building. The Administrative Assistant to A&S will schedule all appointments and conduct all correspondence with students interested in this counseling service. The Administrative Assistant is located in the Fadke Building, Room 104; ext.2152. Each session is forty-five (45) minutes to one (1) hour in length.

Spiritual counseling is available for all students currently enrolled at University of the Southwest, regardless of their religious affiliation. Appointments can be made directly by the student with the Campus Minister, Danny Kirkpatrick, whose office is located in the Scarborough Memorial Library, Suite 107, and the phone extension is 2164.

USW Website

The USW website can be accessed at www.usw.edu for outside use and www.usw.edu/usw.local for internal information. The web content manager is responsible for the website.

Technology Services Department

Josh Ford (MTL 116 x 2183)

Director of Technology Services

- Technology Services Administrative Duties
- Blackboard user accounts and course section setup
- Blackboard faculty and student support
- CAMS Manager (user support and maintenance including faculty and student portals)
- Interactive Video Conferencing Training and Course Development Support
- Software Applications helpdesk
- Network user orientation and training
- Residence Hall network infrastructure and support
- Network cabling and termination
- Hardware purchasing

Julio Castillo (MTL 116 x 2180)

Senior Network Specialist

- Server Administrator
- Exchange and Outlook Web Access
- Network file backup and restoration
- Network Account setup and permissions including deletions
- Internet connectivity including firewall ports and content filtering
- Installation and support of on-campus computers and printers as well as lab and instructional technology
- Hardware purchasing

Technology Services Contact Information

Mabee Teaching and Learning Room 116

Online Support Forms are available for technology support requests.

Library and Textbook Evaluation Center

Faculty members—full-time, part-time, and adjunct—are encouraged to become acquainted with and to use all library materials. Generally, materials are on a three (3) week loan period. Faculty may check out books and other materials for extended periods provided that *all such materials are returned by the end of the semester*. Reference materials and periodicals are not available for circulation.

Library Collections: *New Mexico State Textbook Adoption Center*--This is a collection of publisher supplied textbooks in all of the K-12 curricular areas including: Career/Technical Education; Adult Basic Education; Driver Education; Reading; Modern; Classical and Native Languages; Language Arts; Social Studies; New Mexico and Native American History; Art and Culture; Science; Health; Physical Education; Mathematics, and the Arts. *Thelma A. Webber Southwest Heritage Room*—this is a collection of United States Southwest history, culture, art, literature and other information. *The Hatton W. Sumners Freedom Collection*—This is a collection of materials relevant to the Mission of the University including Free Enterprise Education, Economics, Private Enterprise, Liberty, and Freedom. *General Collection*—These are materials in the general stacks relevant to the curriculum of the University including Education, Business, Literature, Physical Education, History,

and the Sciences. This collection has been recently updated due to a three-year Collection Development Project.

The University Library is part of a seven (7) library consortium, the *Estacado Library Information Network* (ELIN). As part of this consortium, items not available in the Library are available from other libraries within the consortium. If an item is not available through the consortium, it may be borrowed from other libraries within the country through interlibrary loan. ELIN also provides access to electronic database resources such as FirstSearch and InfoTrac which are journal article indexing services providing full text access to journal articles. Other ELIN resources are “The Worlds’ Best Poetry”, “Current Biography”, “Ebsco Host Web”, business information, and “Learn- A-Test” which is test preparation materials and interactive exams for the GED, ASVAB, ACT, SAT, and other examinations. Also, once an application is completed for ELIN borrowing privileges, the person may borrow from any of the ELIN libraries.

Faculty may also place materials on reserve. These will be held behind the circulation counter in the Library. The items are circulated according to the faculty member’s wishes. Please give the Library at least 24 hours to process the items prior to announcing to classes.

Development and Public Relations Office

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.

The University’s message to all groups must be timely, responsive to inquiries, and fully representative of the position of the University. The Director of Public Relations is responsible for the coordination of all communications from the University.

To help facilitate these relationships and to ensure that all information is presented in a timely fashion, the following is requested of all employees:

- Inquiries from any media outlet should be politely directed to the Director of Public Relations. Through a discussion with the reporter(s), the Directory of Public Relations will either respond directly to the inquiry or will identify and talk to those who are most appropriate to respond to the specific 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 that the reporter opts to use when submitting the information.
- All staff members are encouraged to contact the Director of Public Relations 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, USW’s Public Relations Office is like any news organization: the only information that can be covered and shared is the information that is provided.
- Requests for publicity for *planned* functions should be made as early as possible, usually at least two months prior to the event. A sample of planned events includes: 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 several months of planning.

- Breaking news information should be shared immediately. This could include such news as the debate team winning a competition, ENACTUS placing in a regional or national event, a student winning an academic award, or a major gift being given to the University. If this information cannot be shared 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 the Director of Public Relations. The Director of Public Relations 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 Director of Public Relations will work with departments to update news and other information on a regular basis.

Telephone Service

Office telephones are provided to all faculty for calling campus extensions and local calls. Long distance calls may be made by using an assigned access code, which is assigned by the Director of Personnel at the time of orientation. Voice mail is available to all faculty. Faculty are encouraged to set up voice mail greetings as soon as possible.

BlackBoard Enhanced Courses

Many of the tools available for online learning can be used quite effectively to enhance traditional on-site courses. Faculty may choose to use BlackBoard or the Course Management Tools available in the CAMS Faculty Portal.

To access BlackBoard courses:

1. Log on to the Faculty Portal using the Faculty Login link on the USW homepage.
2. Click the BlackBoard Login link.
3. Type in your BlackBoard, User ID, and Password. These are assigned by the BlackBoard Administrator, Josh Ford.
4. Click the course title to enter either the Faculty Forum or Introduction to BlackBoard.

To request a course shell for a web-enhanced course:

1. Log on to the Faculty Portal using the Faculty Login link on the USW homepage.
2. Click the "Request BlackBoard Course Shell" link.
3. Accept the Security Certificate
4. Fill in the registration form and submit. Up to 5 course shells per term may be requested on a single registration. Each term require separate registrations. All the information is needed.
5. You will receive a confirmation email immediately. You will be notified by the BlackBoard Administrator when your request has been completed and the course shell(s) released.

More information including a BlackBoard User Guide and online training can be found online in the Faculty Forum and Introduction to BlackBoard course.

CAMS Course Management Enhanced Courses

To access these courses:

1. Log on to the Faculty Portal using the Faculty Login link on the USW homepage.
2. Click the Course Management link.
3. Click the course title to access the course management tools the course.
4. Enter course information, contact students and upload course documents and make them available to students.

Faculty Portal and Course Management User Guides are available to be downloaded from the Faculty Portal.

IV. FACULTY POLICIES, PROCEDURES, AND GUIDELINES

Academic Freedom

Faculty members shall understand that true academic freedom is enhanced not restricted, by having both the freedom and responsibility to teach consistent with the mission statement of the University.

Academic Policy and Procedure Memoranda

In order to formally disseminate policies and procedures recommended by the Faculty Council and subsequently approved or modified by the Administration, Academic Policy and Procedures Memoranda will be issued on an as needed basis. The Office of the Provost may also disseminate other policies and procedures as appropriate.

The memoranda will be distributed to faculty and staff through campus e-mail. They will be maintained in a public folder on the internal web page and in hard copy at the Scarborough Memorial Library's Reference Desk. *Academic Policies & Procedures*

Assessment of Faculty

Faculty members, both full and part-time, (not adjuncts) are assessed in the following manner:

- Student assessments of courses.
- Observation of classroom teaching by his/her dean and peer review by a colleague. Faculty are encouraged to invite the Provost to one of his/her classes each academic year.
- Self-assessment through use of the *Professional Activities Report* (PAR) and *Courses Taught Report*
- Dean's annual conference.

Each process is described below:

- *Student assessments-*
 - Each course taught by each faculty member during fall and spring semesters is to be assessed.
 - Responsibility for administering the student assessment is in the hands of the individual faculty member.
 - Assessments are to be administered within the last two weeks before final week of any given term.
 - The assessments are to be administered on-line. Instructions on administering the assessment will be given to each faculty member at the appropriate time.
 - Results of the individual assessments will be summarized by the Office of the Provost and copies of the summary will be shared with the Deans and placed in the faculty member's personnel file in a timely manner. Copies of the assessments will be mailed electronically to the faculty member's after final grades are turned in to the Registrar.
- *Review of classroom teaching and peer review by a colleague-*

Each faculty member will have an announced visit to his/her class once during each assessment period by the Dean. The Dean will provide a written critique of the faculty member's teaching effectiveness and this, as well as the written report of the peer review, will be discussed with the faculty member during the annual conference with the Dean. The critique and the peer review report will become a part of the faculty member's file.
- *Self-Assessment through the Professional Activities Report (PAR)-*

A faculty member in his/her first or second year of employment will complete and submit to his/her Dean and to the Provost copies of the PAR by January 31. Thereafter, a faculty member is required to submit the PAR every three years, or when requesting a three or five-year contract. This aspect of the assessment process allows the faculty member to evaluate his/her individual performance, establish methods to improve course work, develop and execute individual professional development plan, and alter long-term and/or short-term goals and objectives.
- *Dean's annual conference-*

Annually, the Dean will meet with the faculty member to discuss strengths and weaknesses, goals and objectives, and methods for improvement. The Dean's written assessment becomes the final part of the PAR or the faculty member's file.

Following the Dean's assessment of the faculty member, but not later than March 15, the chair will schedule a conference with the Provost. During this conference, the Dean will make recommendations concerning contract renewal, and merit salary increases.

Background Investigation Policy

Applicants considered for Employment with University of the Southwest including, but not limited to, substitutes and temporaries, are subject to work history, education history, and reference investigations. Each such application will 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.

Information gathered from background investigations to include 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.

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.

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.

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.

Complaint/Concern Protocol

Complaints and concerns arrive in the Academic Services Office in a variety of formats—letters, e-mails, telephone calls, “House Calls” and office visits. They come from a broader array of constituencies—students, faculty, staff, board members, elected officials, the press, and community at large.

Complaints and concerns should be promptly addressed and in the absence of extenuating circumstances, a response should be provided within five working days. Anonymous complaints and concerns will not be addressed.

Each complaint or concern received will be logged in noting the date, constituency, originator's name, a description of the complaint, the individual assigned to address the issue, assigned report date, actual report date, and file reference section. Where possible a copy of the written complaint/concern document should be filed in the Office of the Provost.

The formal written response should be copied to all concerned parties except in cases where confidentiality directs otherwise.

The Provost will on or about June 1 of each succeeding year provide a summary report to the President of the complaints and concerns received during the preceding year and the actions taken.

Conditions of Employment/Employment Procedures

As a condition of employment, faculty members employed by the institution shall be made aware of the purpose and mission of the University, and shall fulfill the purpose and mission through their teaching and through their professional and private conduct.

All faculty members shall be employed by the University pursuant to the terms of an employment contract. Employment contracts shall set forth the effective dates of the contract and the salary to be paid to the faculty member. The faculty member, the President, and the Provost of the University shall sign employment contracts for faculty members.

All recommendations of appropriate persons for faculty openings are welcomed. After an open search, the Provost will recommend the appointment of a new faculty member, and an appropriate contract shall be prepared after approval by the University President.

The search for new or replacement full-time faculty is one of the most important functions that the University performs. Faculty members are a major asset in the successful pursuit of the University's mission. Since successful candidates must possess exemplary communication skills, academic preparation, and integrity, extreme care must be devoted to the selection process. The process must be open and free of bias. In order to formalize that process the following protocol is established.

After obtaining the President's authorization and assuring that sufficient funds are budgeted, the Provost will implement a formal search process as detailed below:

The Provost will:

- Advise the Director of Personnel.
- Solicit recommended position description, ad copy, web page copy and search committee membership from the appropriate Dean.
- Approve placement of ad copy in the Chronicle of Higher Education, on the University of the Southwest's web site and with other appropriate publications with appropriate closing dates and related information.
- Approve the search committee composition.
- Secure logistical support such as preparation of a materials folder for each candidate and sending acknowledgement letters to the candidates.
- Convene and charge the search committee.
- Arrange for local accommodations for candidates as required.
- Interview all candidates invited to campus.
- Select a candidate for a background search.
- Conduct a background search, and if clear;
- Verify with the Chief Financial Officer that funds are budgeted.
- Recommend the candidate to the President.
- Authorize the appropriate Dean to make an offer.

The Dean will:

- Recommend members, including a chair, of the search committee to the Provost.
- Prepare recommended position description and ad copy.
- Convene and charge the search committee with the Provost.
- Interview all candidates invited to campus.
- Advise all candidates invited to campus that a detailed background check may be conducted.

The Search Committee will:

- Be composed of:
 - The chair,
 - Two faculty members from each school,
 - One faculty member from another school.
 - A student affirmed by the President of Student Government

- A representative from the program's Advisory Board (if the program has an Advisory Board), and
- The affirmative action officer, who will serve ex-officio.

- Select a recorder who will prepare and circulate the meeting minutes to the membership, appropriate Dean and Provost.
- Assess the candidate pool with reference to the position description and the required and preferred qualifications.
- Determine a method of balloting--secret or show of hands to identify candidates for subsequent consideration.
- Select an appropriate number of candidates (at least six candidates is suggested) for telephone interviews, after appropriate discussion and deliberation select no more than 3 candidates to be invited for a campus visit and interview.
- interview the candidate, attend the presentation, and assist with the campus tour.
- In alphabetical order list the finalist's strengths and weaknesses and transmit the recommendation to the appropriate Dean and the Provost.

The Search Committee Chair will:

- Convene and preside all meetings after the inaugural meeting.
- Communicate with all candidates as required.
- Arrange the candidate's itinerary. The schedule would include ample time for all members of the search committee to meet with the candidate. In addition, the candidate should meet with the Provost, Dean, and the campus community. Students should be included in the campus meeting or a separate meeting should be scheduled for student groups. The chair will be responsible for distributing the itinerary.

Contracts and Contract Termination

The goal of the University of the Southwest is to attract, retain, and support good faculty. Towards that end, faculty members are evaluated carefully and regularly. In return, the University offers reasonable job security, cherishes an atmosphere of academic freedom for the pursuit of truth, provides protection from arbitrary and capricious actions of administrators, staff, or faculty colleagues, and seeks ways to demonstrate its appreciation of exemplary work.

The University utilizes annual faculty contracts, containing the specific conditions of employment, including any term, condition, or probationary stipulations. Faculty contracts are prepared and normally sent to the faculty during the first week of April. Faculty contracts should be signed and returned no later than two weeks from the date of issuance. Non-renewal of appointment will generally be communicated no later than March 31. In the event of non-renewal the University has no obligation to demonstrate non-compliance with criteria for continued service.

After contracts are renewed and approved, it will be considered a breach of contract as well as unethical for any faculty member to resign. The faculty member may properly request leniency on this matter in cases of hardship or in a situation in which an adequate replacement can be employed and the faculty member would otherwise be denied substantial professional advancement or other opportunity elsewhere. The decision of leniency is solely at the discretion of the Provost.

Dismissal

Notwithstanding the foregoing terms of the Handbook, the University may dismiss a faculty member prior to the expiration of a current employment contract for good cause. Good cause shall include, but not be limited to (i) an act involving moral turpitude by the faculty member; (ii) the faculty member not fulfilling the duties or following the procedures provided herein; or (iii) when the University's funding or organizational needs so dictate a dismissal, determined at the sole discretion of the University.

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 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 that 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.

Faculty Designations

In order for faculty to carry out their academic duties it is necessary not only for them to have the correct title, but also to be considered a part of an academic unit. As a part of this academic unit, they are expected to make active contributions to development and assessment of that unit's academic mission. They also need to be evaluated and receive advancement according to how well they carry out the mission that they helped develop.

All employees of USW who teach classes that carry academic credit will have a faculty designation and be members of one of the three academic units. Each faculty member will hold academic rank in his/her respective division or school with an indication of his/her specialty, e.g. assistant professor of biology, associate professor of accounting, etc. In addition, certain administrators who may not regularly teach but who would otherwise be qualified to hold faculty rank will be considered administrative faculty members.

Faculty members may be either full-time or part-time, but differ from adjuncts in that the latter do not hold faculty rank and are not expected to participate in the governance of their academic units. Part-time faculty members are expected to participate in the governance of their units in proportion to percentage of time of their academic appointment.

Employees who both teach and carry other non-teaching functions will carry a faculty designation representing that part of their jobs dedicated to teaching. The other part of their responsibilities will be designated as staff or administration. Examples might be a coach who teaches half time or Dean who has both faculty and administrative duties.

A faculty contract will reflect the percentage of time dedicated by a faculty member to his/her academic unit, and employees with both academic and non-academic assignments will receive contracts reflecting the academic portion of their assignments. Employees with split appointments will receive separate evaluations in both portions of their appointment and advancement in one area generally will not be related to advancement in the other.

Faculty Emeriti

Eligibility for emeritus/emerita rank shall apply to faculty who are retiring from the teaching profession and from the University after at least ten (10) years as a faculty member and who hold the rank of Assistant Professor, Associate Professor or Professor. The Provost may grant exceptions to this requirement upon petition. Criteria for emeritus/emerita rank are:

- Should have held the rank of Assistant Professor, Associate Professor, or Professor for a minimum of five (5) years.
- Should have served a minimum of ten (10) years with distinction as a full-time member of the University's faculty.
- May take part in academic processions and may, with consent of the Provost, be appointed to serve on special or standing committees. They also retain library and USW e-mail privileges. To the extent that its facilities and resources permit, the University may continue to allow emeriti faculty members' office space.

The title of Emeritus will be added to the rank held at the time of retirement.

Faculty Grievance Policy & Procedure

All faculty grievances are handled through normal administrative channels unless an alternative procedure is specifically provided for in another policy governing a specific area. Accordingly, any faculty grievance should be first communicated to the individual's Dean. If the issue remains unresolved at that level, the grievance should be brought to the attention of the Provost for resolution. As in other matters, a faculty member has the right of appeal to the President, in which case the decision of the President shall be final.

Faculty grievance to the Dean:

- the grievance should be submitted in memorandum form from the faculty member to the Dean;
- upon receipt of the memorandum of grievance, the Dean has five (5) working days to have a meeting with the faculty member to discuss and resolve the grievance.
- if the grievance is resolved, the Dean will communicate in memorandum form this resolution to the faculty member.

If the grievance is not resolved, the faculty member may go to the Provost.

Faculty grievance to the Provost:

- a grievance left unresolved between the faculty member and the Dean may be forwarded to the Provost;
- the grievance should be submitted in memorandum form from the faculty member to the Provost with a copy to the Dean;
- upon receipt of the memorandum grievance, the Provost has five (5) working days to have a meeting with the faculty member and the Dean to discuss and resolve the grievance;
- if the grievance is resolved, the Provost will communicate in memorandum form this resolution to the faculty member and the Dean.

If the grievance is not resolved, the faculty member may appeal to the President.

Faculty grievance to the President:

- if a grievance is left unresolved between the faculty member, the Dean, and the Provost, it may be forwarded to the President;
- the grievance should be submitted in memorandum form from the faculty member to the President with copies to both the Dean and the Provost;
- upon receipt of the memorandum grievance, the President has ten (10) working days to have a meeting with the faculty member, the Dean, and the Provost to discuss and resolve the grievance. The decision of the President on the matter of the grievance shall be final.

Faculty Rank/Promotion Criteria/Request Procedures

Promotion Criteria:

Instructor:

Educational qualifications: Master's degree with a major in the teaching discipline or a

master's degree in another discipline, with at least 18 graduate semester hours in the teaching discipline. There also must be a willingness to do further graduate work in the teaching discipline. Experience: Directly related work experience and demonstrate potential to be a successful teacher.

Assistant Professor

Educational qualifications: Terminal degree, usually the earned doctorate from an accredited institution, in the appropriate discipline.

Experience: Evidence of successful teaching and/or related work experience.

Associate Professor:

Educational qualifications: Terminal degree in the appropriate discipline.

Experience: At least six years of successful University teaching at the assistant professor level and/or directly related work experiences. There also must be strong evidence of scholarly activity and service that enhances the teaching assignment. In cases where the candidate has held a lower academic rank at other institutions, the promotion portfolio must reflect continued growth.

Professor:

Educational qualifications: Terminal degree in the appropriate discipline.

Experience: At least ten years of successful University teaching. In cases where the candidate has held lower academic rank(s) at other institutions, the promotion portfolio must reflect strong professional achievement. There also must be strong evidence of scholarly activity and service that enhances the teaching assignment.

Procedure for Requesting Promotion Consideration

1. Complete three (3) or five (5) years as full time faculty at USW
 - Assistant Professor to Associate Professor: 3 of the 6 years of teaching at the Assistant Professor rank must be at USW and should be the most recent years.
 - Associate Professor to Professor: 5 of the 10 years of teaching must be at USW and should be the most recent years.

Adjunct teaching experience: Two (2) years of adjunct teaching will count as 1 year for promotion considerations; Must have taught 12 hours each year for 3 years within the last 5 years before becoming full time for adjunct teaching to be used for promotion consideration.

Those faculty hired full time prior to August 2003 may request promotion to the appropriate rank if they have fulfilled the criteria of that rank.

2. Present portfolio and written request for promotion to the Dean by October 31.
 - Dean makes portfolio available to all other faculty members in that division.
 - Each faculty member exams portfolio.
 - Dean polls faculty for degree of support.
 - Dean summarizes faculty support, adds own evaluation.
 - Dean delivers portfolio and chair's evaluation to chair of Faculty Development and Welfare Committee no later than December 1.

3. Faculty Development and Welfare Committee evaluates material.
 - Each member reviews and rates material.
 - Committee meets to compare reviews and ratings.
 - Written response sent to the Provost March 1 whether promotion recommended or not recommended.

Portfolio Components

1. Current vita

2. Narrative

- Past professional achievements at USW and/or other institutions
- Future professional development

3. Documentation of the following, at least as comprehensive as the PAR's, covering the total period of employment as a faculty member at USW:

- teaching effectiveness
 - include summaries of student evaluations
 - include all peer reviews
- scholarly activity
- service to the academic program, division, and University
- service as an academic advisor
- service to the community

See the PAR (Professional Activity Report) for details in each of these sections.

The Faculty Development and Welfare Committee (FDWC) has determined that each section of the portfolio will receive the following amount of weight:

Teaching/advising	40%
Scholarly activity	30%
Service	30%
Collegiality	Satisfactory/Unsatisfactory

In order to receive a recommendation for promotion from the FDWC, each move from one rank to another will require that the candidate meet the following minimum requirements of the portfolio review:

Instructor to Assistant Professor	70%
Assistant Professor to Associate Professor	80%
Associate Professor to Professor	90%

Addenda

Addenda may be added if appropriate after the portfolio has been reviewed by the Division but before the FDWC receives the portfolio with the Dean's evaluation. This may be accomplished with an email containing additional information.

Promotion Criteria for the Use of the Faculty Development and Welfare Committee

Teaching/advising	40%
Scholarly activity	30%
Service	30%
Collegiality	Satisfactory/Unsatisfactory

Teaching: To be 30% of the evaluation.

- A faculty member should demonstrate a command of his or her subject(s), including: Breadth, depth, and up-to-date knowledge of his or her discipline. (5%)
- A faculty member should demonstrate knowledge of the relationships among his or her discipline and other areas of knowledge. (2%)
- A faculty member should demonstrate pedagogical skill, including the ability to plan and execute a range of substantive, well-developed courses, in which the faculty member. (2% each)
 - utilizes effective and varied teaching methods and strategies, including use of technology (audio-visual aids, computers, etc.)
 - communicates effectively with students.
 - stimulates and broadens student interest in the subject matter, thus challenging students, for example, by motivating them to pursue independent work.
 - encourages students to be aware of and express divergent views.
 - makes himself or herself available for contact with students outside the classroom.
 - models appropriate professional behavior, including interpersonal skills.
- A faculty member should be able to provide evidence of participation in assessment activities, including the following (2% each):

Self-assessment and development:

- evaluation of syllabi and other instructional materials for appropriateness of level of scholarship and/or intellectual challenge, diversity of instructional activities, for example, group work, computer- assisted, etc.;
- updating of courses to keep them current with new developments in the field.

Assessment of Student learning:

- evaluation of instruments used to assess student learning—e.g., examinations, written assignments, projects, exercises—and how they relate to the stated goal of the course;
- reports reflecting on-going assessment efforts.

Institutional Goals and Assessment:

- ability to teach so as to accomplish the University's overall goals, as repressed in the Mission Statement and Institutional Assessment Committee's Statement of Goals.
- A faculty member should be able to provide additional evidence of teaching effectiveness, for example (2%):
 - teaching awards, letters of commendation, student enrollment and retention data, results of peer evaluations, etc.

Advising: To be 10% of the evaluation (2% each).

- A faculty member should indicate how and to what extent he or she is involved in counseling and/or advising students.
- A faculty member should identify how he or she provides guidance/mentorship to students in clinical settings, internships, co-operative work experience, senior research projects, publishing, etc.
- A faculty member should explain how he or she makes a conscious effort to be aware of and deal with students who show signs of being at risk (and, therefore, of dropping out).
- A faculty member should indicate how he or she is involved in recruiting students, including promoting departmental programs or majors.
- A faculty member should list and describe related services not described above that he or she has rendered to students.

Scholarly Activity: To be 30% of the total with 20 points for the Discipline-specific list (2 pts. each bullet) and 10 points for the Cross-Discipline list (2 pts. each bullet.)

Faculty members have the responsibility to maintain currency in their academic fields through professional development and to contribute to their disciplines through venues appropriate for a teaching University. Activities in the area of scholarship include, but are not limited to:

Discipline-specific (2 points each)

- Research and/or publication in the faculty member's field.
- Service as reviewer, for example, on editorial board for refereed journals, on review panel for professional conferences, as editor for publisher.
- Exhibitions of the faculty member's artistic creations.
- Contribution to the performing arts, such as acting, directing, designing, and other achievements in theater arts.
- Active participation in professional meetings, such as presentation of refereed or invited papers, workshops.
- Leadership in professional organizations in the faculty member's field.
- Membership in professional and/or honor societies in the faculty member's field.
- Continuing education necessary for initial or annual currency requirements associated with professional certification.
- Advanced training/continuing education in the faculty member's field.
- Other professional/scholarly activities not described above.

Cross-Discipline (2 points each)

- Advanced training in technology skills used to support teaching and related Activities in the faculty member's discipline.
- Contributor or service to an interdisciplinary journal.
- Training for any cross-curricular programs and institutional activities.
- Pursuing external funding to support programs of study/research.
- Participation and/or leadership in professional organizations related to cross-disciplinary activities.

Service: To be 30% of the total. Combine the service opportunities to equal 30 points as follows:

- Division and University committees:

Serve	=10 point
Chair	=15 points
Record	=12 points
- Participate in University initiatives and University learning =5 points
- Participate in University and/or division projects =8 points
- List others =2 points
- Community service =5 points
 - Talks, lend professional expertise

Collegiality: Satisfactory/unsatisfactory. To be satisfactory, one would have to meet 3 out of 5 of the criteria. The bulleted areas have 1 point each.

Faculty members are expected to exercise their best efforts to accept personal responsibility for and take individual initiative to create a cooperative and productive environment. All interactions at the workplace and in the larger community must be grounded in personal and professional integrity, maturity, and respect for colleagues, students, and members of the larger community. Activities in the area of collegiality include, but are not limited to:

- Active support and exemplification of all areas of the University mission statement.
- Willingness to share one's talents and energies with other individuals.
- Showing respect for the diversity that exists in all areas of life at USW and in the larger community.
- The promotion of group decision-making in pursuing consensus.
- Respect for the heritage and traditions of USW.

Off-Campus Employment

Before outside employment responsibilities are accepted by full-time faculty members, faculty members will secure approval from their appropriate Dean and the Provost.

Professional Development

The University encourages professional growth in its faculty in every possible way. The in-service training includes, but is not limited, to such projects as the pre-session conference, school and interdivisional conferences, interclass visitation by instructors and administrative officers, class visitation by librarians, personal conference between new faculty and key administrators, personal conference between new faculty and Deans or the Provost, faculty meetings, attendance at professional meetings and various lectures and seminars.

Under the direction of the Provost, faculty and staff study various institutional needs and issues. Campus-wide committees are appointed to make surveys and studies of student and faculty growth and activities.

Faculty memberships in professional organizations are encouraged. All faculty members are urged to attend national or regional professional meetings whenever possible. Within budget constraints, and upon prior approval from the Dean, the Provost, and the President, the University pays the registration fee, housing, and transportation to these meetings. Faculty must submit a Trip Request Form to his/her Dean and the Provost in order to request approval for professional development expenses prior to any commitments being made. The expense report form should be submitted within five days after attending a meeting.

Upon returning to campus, the faculty member will file a Professional Development Report of the meeting highlights. A copy will go the Dean and Provost, which will be filed in their personnel file in the Office of the Provost. Following the review of this highlight submission, a faculty presentation may be scheduled.

The nature of professional development should be to benefit the faculty member and the University.

Resignation

Should a faculty member resign from employment at University of the Southwest, that faculty member should present a letter of resignation thirty (30) days in advance to his/her Dean, with copies to the Provost and the Director of Personnel.

Health and dental insurance eligibility cease as of the last day of the month in which the faculty member last works. An exit interview with the Director of Personnel will be done before the last day of employment.

The faculty member will also have an exit interview with the Provost prior to their last day of employment.

Sabbatical Leave Policy

Faculty members who have served University of the Southwest for a minimum of seven years (14 semesters excluding inter-sessions and summers) are eligible to apply for a sabbatical leave. Letters of application and proposals are received by the Dean, and forwarded to the Provost.

Sabbatical Leave Pay

Sabbatical leave with pay may be granted for one semester at full pay or two semesters at half pay. In addition, other benefits provided faculty on sabbatical leave will remain unchanged.

Requirements and Restrictions

- Those who are granted sabbatical leaves must use time in studying for advanced degrees, in postdoctoral study, or for engaging in other activities that will benefit both the leave holder and the University. Time spent is to be used to enrich the person in knowledge, skills, and ideas.
- The person requesting sabbatical leave must prepare a written proposal to accompany the sabbatical leave request. The proposal must include:
 - a narrative statement of the plan of study or activity,
 - a statement of objectives and criteria for evaluation, and
 - a description of how the University and the individual will benefit as a result of the proposed leave, and some documentation concerning the arrangements for study, if appropriate.
- Applications for sabbatical leave are to be completed and submitted to the Provost by November 1 of the academic year preceding the year in which the leave is to be taken. Applications for sabbatical leave received after this date will not be considered until a subsequent leave-cycle.
- The Provost, upon receipt of all sabbatical leave requests, shall prioritize these requests for submission to the President by January 1 of the requesting year. The President, upon receipt of the Vice President's priorities, shall submit his recommendations for approval to the Board of Trustees.
- Sabbatical leaves with pay are granted on the condition that the recipient signs an agreement to return to the University for at least three years at the conclusion of the leave. If the recipient fails to return, all salary paid by the University during the period of leave must be repaid. If for any reason the University does not offer a contract for the year following the sabbatical leave, the faculty member is not obligated to reimburse the University. The President may after reviewing mitigating circumstances waive all or part of the 3-year obligation.
- Any person who commences but, for any reason, cannot complete the leave should immediately inform the Dean's and the Provost. Every effort will be made to allow the faculty member to return to a full-time teaching status with appropriate adjustments in compensation.
- If it is not possible to change scheduling or contract commitments made by the

University for the sabbatical leave period, it may be necessary to make other temporary assignments for the faculty member returning unexpectedly from leave or to deny the cancellation of the sabbatical leave.

Sabbatical Leave Report

All faculty members returning from sabbatical leave must submit to the Provost, a report on the results of leave by the end of the semester immediately following leave and be prepared to make an oral presentation to the other faculty members.

SEXUAL HARASSMENT POLICY

- A. Statement of philosophy. 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
 - 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, Deans, and the Director of Personnel Services.
- 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.

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 pursuits.

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.

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, 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. 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 Personnel Services Coordinator.

V. FACULTY RESPONSIBILITIES

Absence of Faculty Member from Class

Faculty members are expected to meet their classes regularly at the hours and the locations specified in the semester class schedule and to conduct final examinations at the hours and locations announced in the final examination schedule. If changes in either schedule appear advisable, faculty members should first consult with their Dean and then receive subsequent approval from the Provost.

If a faculty member is unable to meet classes because of illness, their Dean should be notified immediately so that he/she can make arrangements for collegial coverage.

If a faculty member needs to miss class (es) for reasons other than illness, he/she must obtain approval from his/her Dean, and work out with him/her satisfactory arrangements for having his/her class(es) met. Class meetings may be cancelled only with the permission of the Dean and the Provost.

If a faculty member is unable to administer one of his/her final examinations, he/she is to make substitute arrangements with a teaching colleague. If the substitute is someone other than a teaching colleague, the faculty member must obtain approval for the arrangement from the Dean. A student may not be used as a substitute proctor.

If a faculty member does not arrive for class, or make other arrangements, within ten (10) minutes of the time for class to begin, the class may adjourn after signing an attendance sheet, which will be taken by some member of the class to the division or school administrative assistant, who will notify the Dean and Provost.

Academic Advisement

Student academic advisement is a fundamental faculty responsibility. All new students at University of the Southwest are assigned to faculty advisors on the basis of the student's indicated interests. Academic advisement involves not only the development of programs of study semester by semester, but also long-range planning and discussion of academic plans and problems as they arise during the students' enrollment in the University. The faculty advisors should see their advisees at least once each term to assess progress and prepare for the following term and become as well acquainted with them as possible. Guidelines for academic advisement are published in the Advisor's Handbook, which is available from the Registrar. In-service sessions are scheduled from time to time to keep faculty advisors up-to-date.

Most relevant academic information can be found in the Catalog, and faculty members should know thoroughly the requirements for majors and minors in their department, for general education, and for teacher licensure. Academic advising instructions or workshops are provided periodically by the Registrar's office in conjunction with the Dean. Faculty members should also be available for advising at the designated times preceding registration.

Course Syllabus

A syllabus for each course assigned will be distributed during the first class period of each term.

Copies are to be submitted to the Dean's office electronically prior to the beginning of the term.

ADA Statement

All faculty need to include the following statement to all syllabi:

Any student requiring special arrangements in order to meet the course requirements should contact the instructor as soon as possible to make the necessary accommodations. Students with verification of a disability should obtain the appropriate paperwork from the Director of Special Services.

Attendance at University Functions

There are several events on campus each year which call for the full participation of the faculty and staff as well as the student body. During some of these events, the faculty, staff, and students are hosts to many off-campus visitors and parents of students. The interest and help of all colleagues make possible the success of these events.

Attendance by faculty at all University functions is strongly encouraged. Activities such as workshops and seminars held during normal working hours are often of interest and benefit to the faculty. Released time for attendance may be granted if satisfactory arrangements are made with the appropriate Deans.

Attendance is an obligation of all faculty at the annual commencement ceremony, as well as at fall and spring in-service activities.

Change Classrooms/Use of Classrooms at Other Times

In order to use a classroom at a time other than regularly scheduled class meeting times, a faculty member or sponsor should schedule the meeting by reserving the room for the hour of the meeting. The reservations are made in the Office of the Registrar if the meeting is for academic purposes.

Instructors who wish to schedule extra class meetings on a regular basis may have the room reserved through the Coordinator of Campus Events. If any changes are made, they must be reviewed by the Dean and receive the consensus approval of all students enrolled in the affected class.

Dates of Campus Duty

It is expected that except for authorized holidays, vacations, or other recesses listed in the academic calendar or otherwise announced, each faculty member will be available for duty from the first day of the faculty workshop in the fall through the day of the spring commencement ceremony. It is also expected that regular faculty will be available at times other than those listed to help advise and consult.

Directed Study Policy

Directed studies may be offered in exceptional situations to provide appropriate educational experiences for students. Such studies require prior approval of the advisor and are limited to six semester hours for degree applications, and are not encouraged. When possible, advisors should recommend a course substitution instead of a directed study.

If a course substitution is approved, then the student and advisor should complete and submit the proper forms to the Provost for approval. This paperwork is available from the Administrative Assistants in each academic unit. Directed studies will not be approved for courses deemed inappropriate by Deans. There will be a \$200 fee for each directed study. The assigned instructor will receive \$500 per student at the completion of the directed study and when the "Completion Form" is submitted to the Provost.

The student must meet the following criteria before being considered for approval for a directed study:

- Have an overall GPA of 3.00 or above.
- Must be a matriculated, degree seeking student having previously completed at least 15 semester hours of course work at USW.

Steps for requesting a directed study are as follows:

- The student must put the problem and the request in written form to their faculty advisor, the Dean, and Provost.
- The faculty advisor will then make a recommendation for approval to the Dean who will in turn make a recommendation to the Provost.
- The Provost will approve / deny the request, submit the decision to the Registrar's Office; the registrar will notify the appropriate advisor, Dean, and the student of the decision.

- If approved, an appropriate faculty member will be selected by the academic leadership to conduct the directed study.

The faculty member in charge of the directed study agrees to:

- Produce a course syllabus consistent with the curricular content of the subject;
- Establish a calendar for student progress;
- Commit the time necessary to assist the student in the learning process.

The student agrees to:

- Accept the syllabus prior to registering for a directed study;
- Abide by the schedule and timeline set by the instructor;
- Fulfill all requirements as set forth in the course syllabus.

Graduate Program Directed Study Policy

Directed studies may be offered in exceptional situations to provide appropriate educational experiences for graduate candidates. Such studies require prior approval as outlined under “General Process for Requesting Credit,” except that in addition to the Graduate Committee, approval must also be granted by the Provost and the Registrar. When possible, a recommended course substitution should be considered. Approval will not be granted for a directed study if the course is currently offered or will be offered within the candidate’s program completion timeline. The graduate candidate must meet the following criteria before being considered for approval for a directed study:

- Have an overall GPA of 3.5 or above in the graduate program, and
- Have previously completed at least 12 semester hours of graduate coursework at University of the Southwest.

Steps for requesting a directed study are as follows:

- The graduate student must state the request and explanation in a letter addressed to the Dean with copies to the graduate advisor and the Provost.
- The advisor and Dean will review the request and make a recommendation to the Provost.
- The Provost will approve or deny the request and submit the decision to the Registrar. The Registrar will notify the advisor, Dean, and the student of the decision.
- If the directed study is approved, the Dean will select an appropriate faculty member, if one is available, to coordinate the directed study.

The faculty member, who agrees to coordinate the directed study, must:

- Produce a course syllabus with the curricular content and competencies that is consistent with the course description and has requirements equivalent to the regular course. To substitute for the content covered during class lecture, presentations and discussions, additional reading and other supplementary experiences will be required.
- Approve a calendar or timeline for candidate progress.
- Commit the time necessary to assist the student in the learning process, in fulfilling the course requirements, and in obtaining the state-mandated competencies.

The faculty member will receive a stipend for designing, coordinating, and supervising the directed study.

The student agrees to:

- Accept the course requirements delineated in the syllabus prior to registering for a directed study.
- Create a proposed timeline to fulfill the requirements on the course syllabus and then meet with the faculty member to establish a mutually acceptable timeline.
- Abide by the agreed upon timeline, and
- Fulfill all requirements as set forth in the course syllabus.

Incomplete Grade

An incomplete will not be granted for a directed study without the approval of the Dean. Any request for an incomplete must be submitted in writing to the appropriate Dean.

Faculty Responsibilities

Faculty responsibilities will include teaching, advising, service, and scholarship in accordance with the University's mission. Faculty will also participate in establishing policy and adopting regulations that govern matters of curriculum and academic standards (including the addition and deletion of courses and programs as well as requirements for admission and graduation). They will also be responsible for methods of instruction, examinations, faculty status, faculty professional development and welfare, academic advising of students, the academic calendar, and other aspects of University policy which directly relate to the educational process.

The teaching faculty of the University of the Southwest perform as a minimum the following specific duties and meet the following responsibilities: Teach courses in accordance with the adopted course syllabi and the USW catalog;

- Assist students in adopting the best techniques for effective study;
- Act as a competent academic advisor to students;
- Serve on committees of the University;
- Attend regular faculty/administrative staff and division or school meetings;
- Engage in scholarly (professional development) activity;
- Maintain at least 8 (eight) posted office hours per week for student consultation;

- Attend graduation exercises of the University and other formal meetings or ceremonies as identified by the Provost;
- Submit grades and other required reports in a timely fashion to the Registrar;
- Participate in the evaluation of faculty members and the Dean;
- Support the work of the division through activities determined by Dean;
- Participate in the development of the library and other learning resource centers;
- Serve as advisor to student organizations;
- Perform other duties as may be assigned and agreed to by the Dean or administration.

As well as describing the position of teaching faculty, these items constitute a basis for evaluation of performance by persons holding faculty positions.

Teaching Load / Supplemental Load

The University of the Southwest is committed to providing high quality instruction by an excellent faculty during each academic unit: fall term, spring term, and summer term.

Faculty members are contracted to teach a minimum of twenty-four credit hours in each contracted academic year. In response to academic program needs, faculty members may be invited to accept “supplemental teaching assignments” (formerly known as overload contracts) of an additional twelve hours as a component of an annual teaching contract for a maximum of thirty-six hours. Faculty members have the discretion of accepting or rejecting “supplemental teaching assignments.” All “supplemental teaching assignments” will yield additional compensation. Faculty members who wish to teach more than 36 hours during any contracted academic year will be compensated on an “overload contact.”

Field Trips/Official University Trips

The educational objectives for a given course may be realized more fully if it is possible for the faculty to take the students on a trip to some location off campus. Since it is difficult to arrange such a trip without causing students to miss some other classes in which they are registered, field trips should be carefully and thoughtfully planned. To the extent possible, the date chosen for the trip should result in the students and faculty missing the least number of other classes. Fridays are highly recommended.

A Student Waiver and Release of Liability Form for each student shall be submitted to the office of the Provost at least one (1) week prior to the planned trip.

Approval of the Dean should be received in advance of scheduling the trip, and a complete list of students who are to go on the trip should be submitted prior to the trip. It is understood that the faculty will accompany students on a field trip. The cost of travel and other expenses incurred on a field trip will be borne by those making the trip. Field trips should not be scheduled during major examination periods.

Students involved in certain co-curricular activities, such as intercollegiate athletics, from time to time will find it necessary to miss some classes because of trips away from the campus in official representation of the University. To the extent possible, events should be scheduled so as to minimize the number of classes student participants must miss. Coaches, sponsors, and faculty advisors should submit to the Provost at the beginning of each semester a schedule of their activities for that semester. They should also instruct the students who will be making trips to inform their faculty several days prior to the trip and to explain the reason for the absence at the first class period following the absence. The coaches, sponsors or faculty advisors should submit to the Provost, staff, and faculty members, a list of all students who are to make the trip at least three (3) days prior to the planned trip. Students should read and sign the Policies and Procedures for Off-Campus Trips Form and complete the Student Waiver and Release of Liability Form.

Final Examinations

The final examination schedule allows two (2) hours for each examination. At the enrollment time for each semester, copies of the final examination schedule to be followed at the conclusion of that semester are distributed to students and faculty.

Each instructor is required to employ an appropriate assessment instrument to be submitted no later than the final examination period designated for the course.

Grade Appeal Process

In the academic community, grades are a measure of student achievement toward fulfillment of course objectives. The responsibility for assessing student achievement and assigning grades rests with the faculty, and except for unusual circumstances, the grade given is final.

The Grade Appeal Process affords recourse to both the on-campus and distance-learning student who has evidence or believes that evidence exists to show that an inappropriate grade has been assigned in a course as a result of prejudice, arbitrariness, or other improper conditions. Additionally a student may challenge the determination or reduction of a grade based on alleged scholastic dishonesty.

The University's only authorities empowered to change grades are the instructor of record for the course in question and the Registrar who serves as the Chair of the Grade Appeals Committee acting on behalf of the Committee.

In appealing a grade, the burden of proof is on the student, except in the case of alleged academic dishonesty, when the instructor must support the allegation.

The following procedures should be followed when initiating a grade appeal:

- A student who wishes to appeal a grade must file notice of intention to appeal with the Registrar. This must be done within thirty (30) days after the start of the regular semester following the one in which the questioned grade was given. The student, after informing the Registrar of the intention to appeal, must demonstrate that he/she has met with the following people in an informal attempt to resolve the situation: 1) The instructor; 2) The Dean of the unit offering the course, and 3) The Provost. It is expected that these officers are to be approached in the order listed above. The student will have a maximum of thirty (30) days to complete this process. The Registrar may extend the time limit to avoid undue hardship or injustice.
- When a mutually acceptable decision is not reached informally, the student shall submit a detailed statement of appeal with supporting documentation to the Registrar detailing in what way his/her grade assignment was prejudiced, arbitrary, or otherwise improper. At that time he/she may seek the assistance of his/her academic advisor and/or the Registrar.
- The Registrar will promptly give written notice of the formal appeal to both the student and the involved faculty member. Written notice shall be accompanied by a copy of the student's detailed statement as well as the procedures and

sequence of events to be followed in conducting the hearing. The first meeting of the hearing shall be held not less than five (5) days and, whenever practical, not more than ten (10) days after the receipt of such notice. The Instructor shall promptly make available to the Registrar all pertinent grading records and a written response to the student's detailed statements.

- Should the instructor assigning the contested grade not be available, whether for reasons of termination, resignation, illness, sabbatical leave, leave of absence or death, the Dean of the unit sponsoring the course, or a designee of the chairperson with a more specific curricular expertise, shall serve as surrogate for the instructor in the grade appeals process.
- The hearing shall be closed unless both parties agree in writing that it be open. The student and the instructor are both entitled to be accompanied at the hearing by advisors of their choice. The hearings are administrative and not judicial in nature. Both parties, and their advisors, have the right to present evidence and witnesses on their behalf, and to confront and question opposing witnesses. A list of the evidence and witnesses should be submitted to the Registrar prior to the meeting.
- Under normal circumstances, if the duly notified student complainant does not appear for the hearing, the complaint shall be dismissed, the case closed, and these actions are not subject to further hearing. If, however, the duly notified faculty member does not appear, the hearing will continue on the presumption that there is no desire to challenge evidence or witnesses presented by the student.
- At the conclusion of the hearing, the Committee may, by majority vote of its membership, recommend changing the original grade. A written report of the Committee's decision shall be sent to both parties no later than fifteen (15) days after the conclusion of the hearing. The Committee's decision is final and shall not be subject to further hearing or appeal. If the instructor who originally gave the grade is not willing to initiate any recommended grade change, the Registrar, acting on behalf of the Committee, shall file the change and record the new grade.

In the case of a procedural violation during the grade appeal process, an appeal may be made using the following procedures:

- Prior to the formal hearing, the student, instructor, or member of the committee may request review of the hearing process on basis of evidence that any substantial procedural irregularity has occurred. The process shall be initiated by filing a personally signed notice of appeal to Registrar. The notice shall be accompanied by a statement of alleged violation.
- During the formal hearing, the student, instructor, or member of the committee may request that the Registrar review the conduct of the hearing on the basis of any substantial procedural irregularity.
- In the event that a review is requested, the hearing process shall be suspended and a special closed meeting of the members of the committee shall be convened to review the allegation. If the committee, by majority vote, finds that any substantial procedural violation has taken place, the Registrar shall disband the grade appeal committee and the committee alternates shall review the process. The alternate panel shall continue the hearing process and its decision shall be final. Students involved in cases of alleged academic dishonesty may be subject to disciplinary penalties under the Honor Code.

Grade Reports/Grades

Final grades in all courses must be reported to the Registrar on the date specified by the Registrar. Faculty members are not required to report grades for graduating seniors before graduation, but if a graduate is failing, the faculty member is required to contact the Office of the Registrar. No grade of "I" should be given at the close of a semester unless the student is ill, absent from the campus on University business, or has other justifiable extenuating circumstances. **STUDENTS' GRADES MAY NOT BE POSTED IN A PUBLIC PLACE.**

The quality of student's achievement in academic courses is to be indicated by letter grade consistent with policy articulated in the University catalog.

After a final grade has been reported to the Registrar, the only basis for changing the grade is an error on the part of the faculty member in calculating or reporting the grade. The instructor of record has the authority to change a grade once recorded subject to review and oversight. (See "Grade Appeal Process" for further information.)

Meetings

The Faculty Council, all academic units, standing, special and ad-hoc committees of the Faculty Council and other committees as may be identified by the Provost will be scheduled at regular intervals during the fall and spring semesters. Special circumstances may warrant a variance approved by the Provost.

Deans should hold regular meetings of the faculty members in their respective units and should consistently share non-confidential information as discussed in the President's cabinet meeting.

The results (minutes and materials distributed) of all school and divisional meetings will be kept on file. Copies should be distributed to unit members and the Provost.

Office Hours

Minimum posted faculty office hours will be set at eight (8) hours scheduled Monday through Thursday. It is expected that faculty will continue to meet student needs through Appointments scheduled during non-posted hours and accommodate advisee needs during registration periods.

Official Class Rolls

Each faculty member will be sent a copy of their temporary class roll via e-mail before the first class meets. Space on the form may be used to check attendance for the first week, and to write in the names of students who are attending the class but whose names are not on the list. After the first week late enrollment and registration period, a second copy of the class roll will be provided via e-mail. It should reflect any of the schedule changes that have been made. The faculty member must compare the new roll with the one being used very carefully. He/She should add names to the new roll of

those people who have been attending according to his/her records and return a copy of the corrected roll to the Office of the Registrar. A hard copy of the permanent class roll will be delivered after the second week of classes. The names from the corrected roll and the corresponding records from the temporary roll sheets may now be recorded on the instructor's class record book.

The Business Office may make designations on the class rolls regarding a student's status with that office. Faculty members must notify the student of any such designation.

Ordering of Desk Copies/Textbooks

Desk copies of textbooks should be ordered from the publisher by the faculty member. Faculty may request a desk copy through the publisher's web site or contact the faculty administrative assistant for further assistance.

Desk copies are usually provided free of charge, but when this is not the case, the book can be purchased from the bookstore. Purchase of desk copies from the bookstore must be approved by the appropriate Dean and paid for from that division's budget.

Ordering of textbooks and other instructional material will be done through Course Director. Each semester the administrative assistant will provide the faculty with instructions, due dates, and links to complete the ordering process.

Personnel Records

In addition to the letter of application and resume, which each faculty member files in the Office of the Provost at the time of initial employment, current transcripts of academic work are to be sent directly from the Provost's Office. It is the faculty member's responsibility to see that current University transcripts are forwarded to the Provost.

The Office of Provost maintains a central personnel file on each faculty member. Personnel records including resume, letters of recommendation, official transcripts, payroll documents, and contracts constitute the basic personnel file. The personnel file of faculty members also contains the end of course assessments conducted each fall and spring term.

Security for the personnel files requires that access is limited to the University President and those he / she designates. A faculty member is permitted to examine the content of his/her file upon request in the presence of an authorized University representative. The faculty member may not remove information from a personnel file. Copies of his / her personnel file may be made at the faculty member's expense.

Any change in address or other pertinent information needs to be reported to the Office of the Provost and the Personnel Services Coordinator.

Published Schedule

Near the beginning of each semester, copies of a draft schedule will be submitted to the Deans, the faculty and administration based upon assessed student needs by the Registrar. The draft schedule will contain proposed rooms and times. The Deans will submit staffing and a listing of special course offerings to the Registrar. Only courses listed in the catalog or have been approved by the faculty may be scheduled.

Sometimes unforeseen developments make it necessary to alter the offering schedule even after it has been published. All such changes must be coordinated through the office of Provost. Cancelled classes will be officially closed to prevent further enrollment. To add a class or section, the Dean should secure and process the proper request with the Registrar's Office.

Errors in the published schedule should be called to the attention of the Registrar. Efforts are made to see that those advisors and students particularly concerned with the course involved receive the word.

Registration

Faculty members are expected to fully participate in the registration / student advisement process at the beginning of the fall and spring semesters, as well as the summer sessions if on contract.

The procedure and techniques are explained at the pre-session faculty conference prior to the beginning of the fall and spring semesters. Pertinent information is supplied preceding the fall, spring, and summer pre-registration. Advisement and registration are explained in the Advisor Handbook provided by the Registrar.

Student Class Attendance

Students are expected to attend every class meeting of each course in which they are enrolled. The University believes students are primarily responsible for attendance. A student should recognize that many of the vital aspects of the University experience cannot be fully realized when class attendance is irregular. It is the expectation of the University that students will attend all class meetings and complete all activities assigned by the instructor for the class. Each faculty member will provide students with written statements in the classroom syllabus with respect to class attendance requirements.

Each member of the faculty should be familiar with the attendance policy statements. Each faculty member is expected to:

- Set attendance regulations for each class within guidelines established by the University.
- Include the approved policy statement of class attendance requirements in the course syllabus materials distributed to each class member. It is advisable for the instructor to read both the University attendance policy and his or her own policy for the particular course to the class members on the first day. The instructor's policy statement must also appear in the official course syllabus.
- Allow students to make up required or assigned work items of major grade

significance that are missed:

- while involved in official University activity if a sponsor's or director's statement verifying participation is provided.
 - due to illness or accident if a physician's statement is provided.
 - other valid emergencies, such as a death in the immediate family.
 - work conflicts.
- Maintain an accurate and complete record of attendance for each class. Instructors may be asked to report on the attendance records of individual students by activity coaches and sponsors, academic advisors, financial aid, and the veterans' compliance officer.
 - Emphasize throughout the semester the need for regular class attendance. Present materials at the class meetings to supplement and amplify the information given in the textbooks for the course so that students will realize class attendance is necessary to the satisfactory completion of the course. The instructor should realize every student's class may have different attendance regulations (see items 1 and 2, above); hence, the instructor should remind students frequently of any penalties for absences they are likely to incur under the present class policy.

VI. FACULTY BENEFITS SECTION/POLICIES

Affirmative Action 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, religion, color, sex or national origin. Employment and promotion will be based upon an individual's qualifications with all personnel actions administered without regard to race, religion, color, sex or national origin.

It is the responsibility of all Deans, Directors, Vice Presidents, and the Provost to see that this policy is carried out in their areas; however, the overall responsibilities for planning and implementing affirmative action are assigned to the Director of Personnel Services. He/She serves as the Affirmative Action Officer for the University and also has specific responsibility for staff affirmative action matters.

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.

The Director of Disability Services will work with all employees and their supervisors in determining the most effective accommodations that can be reasonably provided on

an individual basis. The Director will maintain records of such requests and accommodations in a confidential manner. All requests for accommodations should be made in writing to the Director of Disability Services.

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 Director of Personnel Services for more information about COBRA.

Council for Independent Colleges (CIC) Tuition Exchange Program

A tuition waiver exchange program for dependents of employees operates through the Council of Independent Colleges. For further information contact the Vice President for Student Services or visit the website at www.cic.org.

Enrollment in Insurance

Enrollment: New faculty members have the opportunity to enroll in insurance plans within the first 15 days of employment (initial enrollment period). At the time of orientation, the Director of Personnel Services will explain the plan options and discuss the cost of each. If the faculty member chooses not to enroll during the initial enrollment period they lose their right to enroll in the plans except during the annual or semi-annual open enrollment period. During open enrollment, faculty 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.

Exit Interviews

The faculty member is responsible for scheduling an appointment with the Personnel Services Coordinator 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. The faculty member will not be considered having completed job responsibilities without the exit interview. This will protect the faculty member's right to understand continuation of benefits and other necessary federal and state regulations. At this time the faculty member will also be requested to return all keys and other University property.

An exit interview with the Provost will also be scheduled prior to the last day of 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.

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.

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, an employee may use accrued paid leave to cover some or all of the FMLA leave.

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 Personnel Services 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.

Flexible Benefit Plan

University of the Southwest offers faculty members 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 and dental coverage may be payroll deducted before taxes. Faculty members may also shelter pre-tax dollars for reimbursement of health and dependent care expenses.

Funeral Leave

Faculty will be granted up to five (5) days leave in the event of the death of a member of the immediate family. The immediate family consists of a staff member's spouse, children, children-in-law, parent, parent-in-law, or grandchild.

Faculty will be granted up to three (3) days 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.

Health/Dental Insurance

This coverage is available to full-time employees and their dependents. The University may pay a portion of the premium. The Director of Personnel Services 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 insurance coverage is available through COBRA for employees who leave employment with the University.

Health/dental 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 Director of Personnel Services.

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

1. New Year's Day
2. Martin Luther King, Jr. Day
3. Good Friday
4. Memorial Day
5. Independence Day
6. Labor Day
7. Thanksgiving Day
8. The week of 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 reduced 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 Director of Personnel Services, and not the student holidays as published in the University catalog.

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 Director of Personnel Services.

Long Term Disability

For faculty members 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 Personnel Services Coordinator. The University fully pays for this coverage. However, 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*.

Military Leave

Faculty 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 Expenses for New Faculty

New members of the faculty will be paid one-half of the moving costs if a commercial carrier provides the services. If faculty members move themselves, they will be paid the total 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. In either case, reimbursement for moving expenses will not exceed 10% of the faculty member's base salary.

Orientation of New Faculty Members

The Provost will meet with all new faculty members before the opening of school to discuss the practices and procedures of the University. Occasional meetings may be held from time to time during the school year. Deans are responsible for informing new faculty members about specific responsibilities in their respective areas and about special services and equipment that are available to them.

On or before the first day the faculty member reports for duty, he/she must meet with the Personnel Services Coordinator for an orientation. The following items will be included in the orientation interview:

- State and federal income withholding forms will be completed.
- Employee information sheets and forms for payroll use will be completed.
- If applicable, the University's fringe benefits program will be explained.
- Employment-related items (e.g., keys, long distance code) as applicable will be issued.

It is the faculty member's responsibility to inform the Personnel Services Coordinator and the Office of Academic Services 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.

Pay Periods

All faculty will be paid on the last business day of each month via automatic deposit to the designated financial institution(s).

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.

Social Security and Tax Withholding

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 Personnel Services before payroll payments are made.

Terminal Degree Assistance

Faculty desiring to pursue completion of the terminal degree within their teaching field may apply to the doctoral tuition scholarship program for support. The doctoral tuition scholarship program is designed to support the professional development of USW faculty and to assist with degree completion plans.

In order to be considered for this scholarship program, the faculty member submits to the Provost a written request for consideration of scholarship award. This request, in memorandum form, should be submitted prior to the first semester for which the candidate is seeking the award. The request for consideration of scholarship support should detail the plans and goals established for the doctoral study. If the scholarship request is approved, the faculty member should complete an ***Expense Report*** with the paid receipt for the hours taken that semester.

The level of scholarship support carries with it a corresponding level of commitment to the University. It must be understood when the request is submitted, the faculty member is committing to a long-term relationship with the University. The University is likewise committing to a lengthy relationship with the faculty member. Staffing needs and the redirection of programs within the University may dictate reconsideration of this relationship.

The proportion of scholarship support may vary depending on the monies budgeted and the number of other faculty members making requests.

The second component of the scholarship program is released time for doctoral study. This time may be granted at the discretion of the Chief Academic Officer. No faculty member may take release time and an overload in the same semester. The following scale determines the amount of release time:

RELEASE TIME FOR DOCTORAL STUDY

<u>Hours of Doctoral Work</u>	<u>Hours of Release Time</u>
6	3
7	4
8	5
9 or more	6

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.

An employee's enrollment in class 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.).

SPOUSE/DEPENDENT

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.

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.

EMPLOYEE EDUCATIONAL ASSISTANCE PLAN

The Employee Educational Assistance Plan applies only to full-time EMPLOYEES of University of the Southwest enrolled in University of the Southwest **graduate** courses.

(See the TUITION WAIVERS/ENROLLMENT IN UNIVERSITY COURSES section for benefits for employee enrollment in undergraduate courses at University of the Southwest and benefits for employee spouse and/or dependents for both undergraduate and graduate enrollment at University of the Southwest.)

Full-time employees of University of the Southwest are eligible for 100% tuition waiver of GRADUATE tuition upon the first day of service for any semester for which the date to add classes has not passed. The tuition waiver is for tuition costs that exceed all other institutional or external grants awarded. This benefit applies to up to half-time enrollment – three semester hours of graduate tuition each during both the Fall and Spring semesters. There is no graduate tuition waiver benefit during any special term (i.e. winter, May, summer terms) (The employee is however, eligible for the Graduate Tuition Discount that is available to full-time educators. The Graduate Tuition Discount may not be stacked for any course for which the employee is receiving the Employee Tuition Waiver or any funding by internal Professional Development budgets. The Graduate Tuition Discount would apply only to a course for which the employee is not receiving any other form of University of the Southwest Discount or Assistance).

The enrollment in graduate or advanced degree coursework (at University of the Southwest or any other institution) by any full-time employee of University of the Southwest in a course of study that is **directly related** to their current employment position on campus is considered professional development and will be funded by the appropriate professional development budget within each Senior Administrator's area of responsibility with the approval of the Department Director, the Senior Administrator and the President. IRS acceptable support for classifying the coursework as directly related to the current employment position must be documented on the request form.

The employee should complete the Request for Tuition Waiver Employee Form in all instances of enrollment in graduate classes at the University of the Southwest – both directly job related (professional development) and not directly job related (Employee Educational Assistance Plan).

Worker's Compensation

The University carries workers' compensation insurance as required by law. It is the responsibility of the faculty member to report all work-related injuries to his/her Dean and the Personnel Services Coordinator 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, faculty members should contact the Personnel Services Coordinator first. In the case of an emergency, medical treatment should be sought first, then notify the Personnel Services Coordinator as soon as possible.

A report must be filed to the insurance company within ten (10) days of the injury. Employer's First Report of Incident Forms are available in each building on campus or by contacting the Personnel Services Coordinator. The form must be submitted to the Personnel Services Coordinator immediately upon completion by injured faculty member.

VII. OTHER UNIVERSITY POLICIES THAT AFFECT FACULTY

Appearance

All staff and faculty members contribute to the image of the University. At times the staff or faculty member 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 Deans or Provost.

Bereavement/Hospital

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. Employees should contact the Assistant to the Chief Financial Officer (CFO) with the necessary information. The Assistant to the CFO 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 periods exceeding 24 hours. Employees should contact the Assistant to the CFO with the necessary information. The Assistant to the CFO will be responsible for ordering the gift.

Cafeteria Discount

Faculty/Staff will receive a discount in the cafeteria. Contact the Director of Food Service to learn the current discount.

Campus Calendar

The day, time, and location for any University event or program should be registered on the University calendar in the Campus Events Office (ext. 2193) and with the **switchboard operator (ext. 1001)**. 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 Coordinator of Campus Events. No activity of the University is considered to be approved until it has been placed on the calendar by the Coordinator of Campus Events or his/her designee.

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 Director of Personnel Services 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.

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 Events Office 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 Events Scheduling 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. 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 room's "normal" setting, a detailed drawing of the required room setting should be provided.

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

Campus Security

The **Campus Security Office is located in Scarborough Library** and the phone number is 575 942-5902. Campus security officers are contracted by the University to ensure that 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, staff, or students must display the appropriate University of the Southwest parking permit which is available from the Director of Student Life.

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.

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 employment responsibilities.

CHANGE OF ADDRESS

Any changes of home address or telephone number shall be reported to the Executive Assistant to the Provost and Vice President of Academic Affairs and the Director of Personnel Services for distribution to other offices.

CHILDREN IN THE WORKPLACE

Children of faculty 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 faculty is teaching. If a child is present, it is the faculty member'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.

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.

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, faculty should consult with his/her Dean.

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 should not be released.

Crisis Management Plan

University of the Southwest's Crisis Management Plan can be obtained by contacting the Office of the Provost.

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.

EMPLOYMENT OF RELATIVE (NEPOTISM)

The University recognizes that 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.

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.

Fund Raising Authorization/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 President of the University, the Director of Development Operations, and the Special Assistant to the President work to secure Annual Fund gifts to meet approved operating expenses, secure capital funding to underwrite construction and projects outlined in the strategic plan, and encourage 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 University President.
- Inquiries from current donors or prospective donors should be politely directed to Director of Development Operations.
- The Director of Development Operations 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 Development Operations Office.
- All requests to secure gifts for non-budgeted items will be considered by the Administrative Team. Departments that are interested in exploring such requests are encouraged to speak in advance with the Vice President or Provost responsible for their department.

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 Administration 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.

Responsible Use and Best Practices of the USW Computer Network

Purpose:

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 USW computer network.

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

SCOPE

This policy applies to all users of the USW network.

Please read these guidelines, provide the information requested, sign where indicated, and return the signed original to the Personnel Services Coordinator for placement in personnel file.

Failure to accept and abide by these guidelines may result in the revocation and/or forfeiture of USW network privileges including internet and email access.

Guidelines for Network Responsibility:

1. USW 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.
 - Intentionally abuse or damage USW computer hardware or software.
 - Unlawfully access, or attempt to access, proprietary networks outside of the USW 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.

- 2 USW network users should:
 - Never share passwords.
 - Be responsible for the assigned account. When leaving the workstations unattended for an extended time, the account should be locked or logged out.
 - Change passwords often. Use strong passwords containing both upper and lower case letters, numbers, and other characters.
 - Be responsible for ensuring that virus definition files are up to date. Notify Computer Services if anti-virus software is malfunctioning, missing, or out of date.

Inclement Weather and Related Factors Policy

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 next available member of the Administrative Team – Associate Provost for Student Services, Vice President for Administrative Services, or Dean of Enrollment Management.
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 Public Relations who will contact the appropriate media outlets and insert appropriate announcements on the telephone and internet systems or EZ Campus.
6. If necessary, Faculty and Staff should be informed by phone-tree established in the respective units.
7. The CCC will be responsible for monitoring the conditions and initiating appropriate changes in the closure status.

Inventory

The Office of the Vice President for Administrative Services maintains the campus inventory. Authorization must be secured prior to relocating or moving furniture or equipment.

Jury /Witness Duty

The University grants leave of absence with pay for time spent on jury duty or witness duty. A copy of the subpoena is required.

Faculty appearing in court on his/her own behalf as a plaintiff or as a defendant must advise their Deans and develop an appropriate class coverage plan.

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 Executive Assistant to Student Services. 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.

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 Director of Personnel Services 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 Director of Personnel Services.

Locating Students /Release of Student Information

Any individual, including law enforcement officers, are required to notify security and/or the Vice President for Student Services 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 Vice President for Student Services will process the request and locate the student.

Maintenance & Custodial Care

Faculty should report all maintenance and custodial needs to the Director of the Physical Plant and the Provost by using the Maintenance Work Order Form which can be found on the USW web page.

Parking Regulations

Faculty 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.

Faculty vehicles must display the appropriate parking permit while on campus. This permit can be obtained through the Assistant Vice President for Human Resources.

Photocopier

Photocopier codes are to be obtained from each faculty member's Dean. This code should never be given to students. Student workers will be assigned a separate code for business by the Personnel Services Coordinator.

Printing and University Publications

All printing for University purposes is to be coordinated by the Director of Public Relations to preserve consistency of style and uniformity of design. The following is the procedure for printing materials:

- Consult with the Director of Public Relations concerning design and production schedule of needed material.
- Prepare a purchase requisition and forward it to the appropriate Dean's for approval.

The Director of Public Relations assists in preparing and designing material required for a program. Adequate production time should be allowed on any job. "Rush jobs" should be confined to exceptional circumstances.

Purchasing/Accounts Payable Procedures

Purchasing

All requests for purchases must be approved by either 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 \$5,000 or any order charged to Department 900 must be approved by the CFO prior to making the commitment to purchase. Approved Purchasing Forms 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 (department) may be moved from one line item to another line item with an approved Budget Revision Request Form.

Purchasing Form, Expense Report Forms, Trip Approval Forms and Budget Revision Forms are available from Accounts Payable, and can be emailed 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 of the date the expenses were incurred. Requests for reimbursement MUST include detailed receipts.

Completed Purchasing Forms, Expense Reports, and Trip Requests 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.

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.

Office Supplies

Each department is responsible for purchasing all office and program supplies approved for their needs.

Staples/Wal-Mart

The University has accounts established with Staples and Wal-Mart that require the use of a purchasing card. Only employees (not students) will be permitted to use University purchasing cards. These cards may be obtained from the Assistant to the CFO. The

requesting employee must have an approved Purchasing Form when requesting use of the cards which will be held by either Assistant. The cards and receipts for purchases must be returned within 24 hours.

Sales Tax

The University is exempt from paying NM state sales tax on the purchase of most goods. The University has accounts with many vendors including Staples and Wal-Mart that recognize our exemption and do not charge sales tax on University purchases; therefore, the University will NOT reimburse an employee for sales tax paid on purchases for the University.

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 a nominal value of \$50 or less. The value of all gifts received in one year from all sources must not exceed \$100.

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.

Smoking/Tobacco 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 to its employees or students during working hours. The application of this policy prohibits office-to-office solicitation by employees, employee's children, and students or outside vendors. Employees may display items or catalogues in their work areas and allow others to inquire, but may not directly solicit other employees.

Travel and Meal Policy

Faculty must submit a **Trip Request Form** to the Dean and Provost 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 faculty 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.*

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 credit cards will be available to those employees that travel on behalf of the University on a frequent and regular basis (i.e. coaches, admissions recruiters) and should only be used in EMERGENCY situations.

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 Provost 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 Maps, 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.

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 from the Provost 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.

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. The Business Office, which

oversees inventory control, should be consulted before any piece of equipment is moved to a different location.

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 received by the Business Office. It is contrary to policy to remove University property from the campus.

Use of the University Name, Seal, and Logo

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 President has assigned the Director of Public Relations with 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 Director of Public Relations prior to publication.

Unapproved uses will be brought to the attention of the Vice President or Provost responsible for the area in question for appropriate action.

Questions regarding the use of the name, logo, and seal should be made to the Director of Public Relations or the University President.

Use of University Facilities

Faculty 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 Scheduling Form and return the form to the Campus Event Coordinator. Faculty 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 the Campus Event Coordinator, Physical Plant, Food Service, or any other campus personnel. A \$100 deposit is required at the time that the facility is reserved. The Campus Event Coordinator and the faculty member will walk through the facility together on the first business morning following the event. The deposit will be returned at that time as long as all conditions of use have been met.

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 using university vehicles for official 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, a one year 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.

a. 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 and Coach Landschoot (when using USW buses) for approval. The Business Office Manager must have this approved form before the non-employee can be added to the Approved Drivers List.

b. Any person who receives a moving violation or other citation while driving a university vehicle or a personal vehicle on official university business, must immediately report the moving violation or other citation to the Business Office.

2. Motor Vehicle Record:

More than 2 moving violations in one year 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.

I. Use of University Owned Vehicles

1. Vehicle Use Authorization Form:

All persons requesting use of a university owned vehicle MUST complete the Vehicle Use Authorization Form. Upon

completion of this form and all necessary signatures, the form must be turned in to Coach Ron Landschoot so transportation can be arranged for the requested travel.

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.

3. Drivers:

Any and all drivers needed for a trip must be listed on the Vehicle Use Authorization Form and must be selected from the Approved Drivers List. It is always the responsibility of the Transportation Requester to make arrangements for any additional drivers needed to complete a trip. Coach Landschoot is not responsible for making arrangements for drivers on ANY Transportation Request. An employee submitting a Vehicle Use Authorization Form must be the primary responsible person for the trip requested.

4. Vehicle Checkout/Check-in and Inspection:

Vehicle Checkout will be exclusively by the Transportation Requestor or one of the drivers listed on the Approved Vehicle Use Authorization Form and Coach Landschoot. The person requesting the vehicle is responsible for making arrangements for 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 Requester will return the keys to Coach Ron Landschoot who will perform a vehicle check-in inspection to assure that the vehicle is clean, full of fuel and no damage has been sustained during the trip. If the vehicle is returned after hours, Coach Ron Landschoot will perform the inspection as soon as possible and any and all irregularities will be noted and reported. All irregularities must be reported to Coach Landschoot as soon as possible by the Transportation Requestor. 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.

II. 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. In addition, drivers must also provide the Business Office with a copy of proof of Liability Insurance

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. 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.

III. Use of any Vehicle carrying over 14 passengers

Motor Carrier or larger class vehicles carrying over 14 passengers requires that the driver maintain a Commercial Driver's License (CDL) with all appropriate endorsements to operate the vehicle. Based on the added level of safety required to operate any vehicle this large, the university will maintain certain policies which in all instances will be equal to and/or superseded by guidelines and regulations found in the Federal Motor Carrier Safety Regulations (FMCSR).

1. Requirement of the Driver:

Any employee or officially recognized representative of the university is required to obtain a CDL based on job responsibilities as soon as possible after the date of employment or recognition as an official representative of the university. They will also be required to furnish all materials necessary for inclusion on the Approved Drivers List. The driver is also required to maintain a current Medical Examination Certificate. Additionally, all CDL drivers must provide proof of Liability Insurance equal to or greater than state requirement. CDL drivers must also submit to mandatory random drug and alcohol testing. Upon being notified of any random drug and alcohol test, the CDL driver will have no more than two (2) hours to report to the drug testing facility to perform the test. If drug or alcohol content is found in any sample of a CDL driver, appropriate action will be taken in accordance with FMCSR guidelines as well as disqualification from the university's Approved Drivers List. All CDL drivers must self-report any and all moving violations obtained either while on official university business or personal business to the Business Office. Additionally, Coach Ron Landschoot will maintain Driver Qualification files on all CDL drivers to ensure that all information is current and up to date including, but not limited to, driving logs and

medical examinations cards. All documents will be used only for the purpose of the Approved Drivers List. All documents will be stored in a locked and secure location.

2. Pre-Trip/Post-Trip Inspections:

All CDL drivers are required to perform a standard FMCSR pre-trip inspection before leaving on any trip. The Driver is responsible to ensure the vehicle is safe and in acceptable condition to complete the trip based on the pre-trip inspection. If the driver determines that a vehicle is not in acceptable condition to complete a trip for the safety of all passengers, the driver will contact Coach Ron Landschoot to make alternate arrangements for transportation. Additionally, if the driver makes the determination the vehicle is not in acceptable condition to complete the trip safely, the driver will contact Coach Ron Landschoot to arrange alternative transportation to complete the trip and a written report is to be submitted to Coach Ron Landschoot immediately after the completion of the trip stating in detail the drivers' reasons for making such an assessment including any mechanical or maintenance issues/concerns prohibiting the vehicle's operation. Upon completion of a trip, the driver will accompany Coach Ron Landschoot through a post-trip inspection to ensure the fuel tank is full and the vehicle is returned in clean condition unless after hours when returned. If returned after hours, the vehicle will be inspected as soon as possible and any and all irregularities reported. It is also the responsibility of the driver to report any issue of concern mechanically with the vehicle to Coach Ron Landschoot during the check-in as well as any moving violations received during the trip. Additionally, Coach Ron Landschoot is responsible to ensure that yearly inspections of these vehicles are performed by an approved certified Department of Transportation (DOT) official to maintain the safe use of these vehicles.

IV. Maintenance of all University Owned Vehicles

1. Vehicles carrying more than 14 Passengers:

Coach Ron Landschoot is responsible to maintain and document any and all vehicle maintenance and mechanical work performed on the vehicles. Also, Coach Ron Landschoot ensures all reported maintenance/mechanical issues generated by all CDL drivers are addressed and action is taken to ensure the safety of future passengers of the vehicle.

2. 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.

3. 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.

V. Accidents

The definition of an Accident as it pertains to the university Vehicle Use and Transportation Policy is as follows: Any and all incidents occurring while on official university business in which a vehicle is under the responsibility of an approved USW employee or officially recognized representative of the university and results in ANY physical injury or property damage to a passenger, vehicle or surrounding property.

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 incoming 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 appropriate Senior Administrator as soon as possible. Once the driver has been released to leave the accident scene by the police, a report of the accident will be submitted to the Business Office 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.

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.

VI. 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".

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

For explanation of any portion of this policy contact Coach Ron Landschoot.

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

6/11/2013