



Staff and Administrative Staff Handbook

Effective July 2011

Human Resources Policies and Procedures

A Message to Employees

Dear Heritage University Staff Employee:

When I came to Heritage, dozens of staff members told me that this was a very special place to work. I replied that knowing how special it is made me decide to come here. Every person on campus—staff member, faculty, administrator—is an important player in providing opportunity for higher education to people in the Yakima Valley and sometimes beyond. We are a diverse community with a common purpose of educating to their full potential people who often overcome significant disadvantages to achieve success.

I am proud of the Heritage staff and enjoy working with you. This handbook outlines practices and policies related to working for the University, as well as benefits and other information that may be helpful. I encourage you to seek opportunities for professional development and to make the most of your career on campus. Every day your work can help Heritage students toward their own rewarding lives and careers.

Sincerely,

A handwritten signature in cursive script, appearing to read "John Bassett".

Dr. John Bassett

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This handbook is not a contract or guarantee of employment. Heritage University reserves the right to unilaterally modify, amend or terminate policies, procedures, and/or benefits described in this handbook at any time, or require and/or increase contributions towards these benefits at its sole discretion.

Employment at Heritage University is on an “at will” basis which means that either the employer or the employee can terminate employment at any time, with or without notice and with or without cause. Employment at Heritage University is not for a definite time period, and terms and conditions of employment can be modified at any time, except as otherwise provided by law. This at-will employment relationship may not be changed orally or by any behavior. This Employee Handbook does not modify or alter the at-will employment relationship.

Heritage University is an equal opportunity educational institution and is an equal opportunity/affirmative action employer.

No language contained herein, or in any other document provided by Heritage, provides any promise of specific treatment in specific situations.

About Our Handbook

This handbook is designed to tell you about your association with Heritage University. It includes basic University information, governance, structure, compensation and benefits programs, and employee relations policies. There are many things about the University that you will want to know. To answer some of these questions and to help you provide your best employment performance and experience, we have written this handbook. Please read through it and retain it for future reference. The policies, procedures and processes stated in this handbook are subject to change at the sole discretion of the University and its governing body. If you have any questions regarding any of the statements in the handbook, please see your supervisor or contact the Human Resources Office.

You were carefully selected for your position, and you are one of the University's most valuable resources. Heritage University is committed to maintaining an environment in which each employee is able to realize his/her maximum potential while contributing to the working efficiency and success of the University. To achieve these objectives, it is important that lines of communication remain open at all times. These lines of communication are essential to ensure that all employees know what is expected of them in terms of work performance and can interact effectively with peers, supervisors and subordinates.

HISTORY OF THE UNIVERSITY

Heritage University is unique in its origins. Both old and new, it is a successor institution to Spokane's Fort Wright College (formerly Holy Names College), founded in 1907 by the Sisters of the Holy Names of Jesus and Mary. A new institution was born in 1981 through a change in name, location of administrative offices, ownership, and sponsorship. Under the impetus of two Yakama Nation women, leaders from business, religious, and education communities in the Yakima Valley, the institution incorporated as Heritage College so they could acquire the outreach programs which Fort Wright College operated in Omak and Toppenish. On July 1, 1982, the transition to Heritage College became official. The new institution began offering undergraduate and graduate degrees as a separate private independent non-profit college with its main campus near Toppenish and satellite campuses in Spokane and in Omak. In 1987, the Spokane campus was closed and the students moved to the Toppenish campus. In 2008, Omak courses were consolidated with courses offered in collaboration with Wenatchee Valley College in Wenatchee.

In 1993, through a cooperative agreement with Big Bend Community College in Moses Lake, Washington, upper division courses leading to a Heritage College four-year degree began. A similar program began at Columbia Basin Community College in Pasco in 2003 and at South Seattle Community College in 2006. All of these outreach sites are included in Heritage's accreditation by the Northwest Association of Schools and Colleges. Numerous school district sites throughout the State of Washington are also used to deliver Heritage's Master in Education programs. These sites are also monitored and approved by the Northwest Association of Schools and Colleges.

In 2004, Heritage College was designated Heritage University to reflect its substantial master's programs and to more accurately reflect for students from Central and South America the baccalaureate level of education provided at Heritage.

Heritage University was founded as a non-sectarian institution, not affiliated with any church or religious group. However, the University's educational values have been influenced by the sponsoring religious order of Fort Wright College. The Sisters of the Holy Names of Jesus and Mary (SNJM) were founded in rural Quebec in 1843 to start schools in isolated towns where the poor had no educational opportunities. They emphasized high scholastic standards and enkindling the life of the mind in a personalized learning environment. They envisioned education as the full human development of each student — intellectually, professionally, spiritually, and morally — while creating community and inspiring service to others. Over the following years, they embedded these values in educational ventures pursued around the globe, with great respect for various cultures. This is the educational heritage of today's Heritage University.

MISSION

Heritage University is a non-profit, independent, non-denominational, accredited institution of higher education offering undergraduate and graduate education. Its mission is to provide quality, accessible higher education to multicultural populations which have been educationally isolated. Within its liberal arts curriculum, Heritage offers strong professional and career-oriented programs designed to enrich the quality of life for students and their communities.

VISION

From its founding days, Heritage University has been inspired by a vision of education which embraces issues of national and international significance. These issues revolve around the realization that cooperation across cultural boundaries — whether they are geographic, ethnic, racial, religious, or economic

— will be vital to human survival. Heritage University recognizes a basic principle rooted in all the world's great religions and moral traditions: each human person is endowed with inalienable dignity and gifted with unique potential.

To translate this vision into everyday reality in the Heritage University learning community requires a highly qualified and unusually dedicated faculty and staff with a low student to faculty ratio. These employees' dedication to the Heritage University mission leads them to create and sustain unique educational programs specifically tailored to the special needs of multicultural and rural or isolated constituencies. The Heritage community attempts to live its motto, "Knowledge Brings Us Together," by placing great importance on the dignity and potential of each student and by considering diverse cultural and ethnic backgrounds as assets to the educational process.

Heritage University has a student body with substantial diversity, which creates an effective learning community where each cultural group is valued. To develop community and concern for the common good, Heritage University seeks to provide leadership in supporting cultural pluralism within our own and other communities. Cultural pluralism creates a climate of respect and appreciation by fostering "learning about us" in an interdependent and connected world. Heritage University acts to make its curriculum, staffing, teaching, and other collegiate activities reflect this learning.

Underlying the Heritage vision are three key values: 1) honoring each person's human dignity and potential; 2) seeking intellectual growth and challenges; and 3) celebrating the shared spiritual roots of all humankind.

The Heritage University Vision is embodied in these eight operating principles:

- H for the healing circle of life we live together;
- E for excellence in teaching and in learning;
- R for responsiveness to student needs: intellectual, family, and personal;
- I for inclusivity and cultural pluralism;
- T for team-work building community;
- A for awareness leading to continuous improvement
- G for grass-roots community involvement
- E for effectiveness in managing limited resources to achieve Heritage's goals.

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(SECTION 100)
EMPLOYMENT POLICIES

101 Policy Philosophy

Heritage University recognizes that the performance capacity of its employees is its greatest asset and thus endeavors to support employees' efforts to realize their full potential by:

- employing and promoting on the basis of merit;
- providing opportunities for training and development to all employees; and
- providing opportunities for advancement to all employees.

The pages of this handbook do not modify the "at-will" employment relationship, but provide information consistent with our employment philosophy through-out this handbook.

Employees are reminded that they are subject to disciplinary action up to and including termination for violating provisions set forth in this handbook.

Equal Opportunity Statement

It continues to be the policy of Heritage University to implement affirmative action and equal opportunity for all employees, students and applicants for employment or admission without regard to race, color, religion, creed, national origin, sex, age, veteran status or disability.

The University's affirmative action program and related policies are developed in compliance with Executive Orders 11246 and 11375, as amended; the Rehabilitation Act of 1973 (Sections 503 & 504) and the Americans with Disabilities Act of 1990 (Title II) and their implementing regulations; the Age Discrimination in Employment Act of 1967; Genetic Information Nondiscrimination Act of 2008; and the Vietnam Era Veterans Readjustment Assistance Act of 1974, as it amends 38 U.S.C. 4212.

In conformance with the federal regulations listed above, Heritage University does not discriminate against any employee or applicant for employment with regard to any opportunity for which the employee is qualified.

Persons wishing to file complaints under the provisions of this policy should contact the Human Resources Office.

Every member of the Heritage University community is expected to uphold this policy as a matter of mutual respect and fundamental fairness in human relations. The policy has the unequivocal support of the Office of the President. All members of the faculty, staff, and student body are expected to ensure that nondiscriminatory practices are followed at Heritage University.

Specifically, the University will:

- comply with both the letter and spirit of the laws and regulations governing equal opportunity in the workplace providing equal opportunity to all employees and to all applicants for employment;
- respond to requests regarding reasonable accommodations for the physical and/or mental disabilities of qualified employees and applicants;
- inform employees of the right to refer complaints to their supervisor or the Human Resources Department without being subject to intimidation or retaliation in any form.

Disabled Veterans and Veterans of the Vietnam Era

It is the policy of Heritage University not to discriminate against any employee or applicant for employment because he or she is an individual who is a disabled veteran or a veteran of the Vietnam Era. It is also the policy of Heritage University to take affirmative action to employ and advance in employment qualified disabled veterans, veterans of the Vietnam Era and individuals with disabilities. This policy applies to all employment actions including, but not limited to, advertising, recruitment, hiring, compensation, retention, training, demotion, promotion or transfer, layoff, and/or Reduction in Force (RIF).

Persons wishing to self-identify as an individual who is a disabled veteran or veteran of the Vietnam era should contact the Human Resources Department.

An individual wishing to file a complaint should also contact the Human Resources Department.

In order to ensure compliance, operational responsibility for implementing and monitoring this policy and maintaining and updating the affirmative action plan for individuals who are disabled veterans and veterans of the Vietnam Era lies with the Human Resources Department.

This affirmative action plan is available for inspection by any employee or applicant for employment, during normal business hours, in the Human Resources Department. Every member of the University community is expected to uphold this policy as a matter of mutual respect and fundamental fairness in human relations. This policy has the unequivocal support of the Office of the President. All members of the faculty, staff, and student body are expected to ensure that nondiscriminatory practices are followed at Heritage University.

Americans with Disabilities Act (ADA), as amended effective January 1, 2009 by the Americans with Disabilities Act Amendments Act of 2008 (ADAAA)

Heritage University prohibits discrimination against qualified individuals with disabilities who can perform the essential functions of the job, with or without reasonable accommodation(s). An individual is disabled under the Act if he or she:

- Has a physical or mental impairment that substantially limits one or more major life activities; or
- Has a record of such an impairment; or
- Is regarded as having such impairment.

Heritage University has made and will continue to make good faith efforts to provide reasonable accommodations to enable Heritage University to hire and retain qualified employees who are able to perform the essential functions of their positions. Employees may contact the Human Resources Department to discuss questions.

Any person wishing to self-identify as disabled or to request a reasonable accommodation due to a disability should contact Human Resources during normal business hours.

Sexual Harassment Policy

Sexual harassment is prohibited by Heritage University and by state and federal law. Heritage University is firmly committed to maintaining a work environment free of sexual harassment and does so by providing training for all employees explaining the definition of sexual harassment, how to report sexual harassment and the consequences for sexually harassing a member of the University community. Sexual harassment of any member of the University community is prohibited and will subject the offender to disciplinary action which may include termination.

Definition of Sexual Harassment

The Equal Employment Opportunity Commission definition, adopted by Heritage University, states that unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment or academic standing; or
- submission to or rejection of such conduct by an individual is used as a basis for employment or academic decisions affecting an individual; or
- such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating, hostile or offensive working or academic environment.

NOTE: It is the policy of Heritage University to prohibit any incident of inappropriate conduct, even conduct which is a single, non-severe incident and therefore to encourage and provide an employment atmosphere that promotes mutual respect and professional behavior.

Heritage University will not tolerate any form of harassing behavior to employees by other employees nor by third parties such as consultants, contractors, or other non-employees.

Reporting Procedures

Any employee who feels that he or she has been the victim of harassment is encouraged to promptly report his or her concerns to their supervisor or the Human Resources Director without fear of retaliation. Supervisors who know or receive reports of offending behavior must promptly notify the Human Resources Director. An investigation of a complaint will be conducted promptly, assuring maximum confidentiality consistent with the principles of due process and fundamental fairness. See complete University internal procedures to resolve complaints which are listed under Section 700 of this Employee Handbook.

Sexual Identity Policy

It is the policy of Heritage University that an individual's sexual identity will not be considered when making any personnel decisions. One's sexual identity is strictly personal, and such information will not be used in any way by the University or its employees in employment decisions.

Title IX of the Education Amendments of 1972

Title IX of the Education Amendments of 1972 was the first comprehensive federal law to prohibit sex discrimination against students and employees of educational institutions. Title IX states, in part:

No person...shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any education program or activity receiving federal financial assistance...

The policy of Heritage University is to implement affirmative action and equal opportunity for all employees, students and applicants for employment or admission without regard to race, color, religion, national origin, sex, age, veteran status or disability.

Title IX prohibits sex discrimination. Sexual harassment is a form of prohibited sex discrimination. Students (male and female) and employees (faculty and staff) are protected from sexual harassment.

Discriminatory Harassment Policy and Non-Discrimination Policy Statement

Heritage University allows the free inquiry into all ideas and the free expression of opinions by those within the University community as a part of the basic process of education. In the presence of harassing behavior, a person's learning or working ability may be impaired. This discriminatory harassment policy acknowledges protection of free speech, which is guaranteed by the First Amendment of the United States Constitution, while at the same time requiring that the dignity, worth and respect of each individual be nurtured and protected.

The University will not tolerate discrimination on the basis of race, color, gender, sexual identity, age, disability, national origin or religion. Every student and employee in the University community has the responsibility to avoid engaging in any unlawful discrimination and further to avoid inappropriate conduct that is disrespectful or unprofessional.

The right of free speech, although fundamental to our democratic system of government and essential to the exchange of ideas in a University, is not absolute. The Supreme Court of the United States has held that certain categories of speech are not entitled to First Amendment protection. These categories include obscenity, fighting words, and to a limited extent, defamation. There is no place on a University campus for speech or other expression that personally vilifies another individual. Such personal vilification is even more distasteful when it involves insults that are based on race, color, gender, sexual identity, age, disability, national origin, or religion.

Complainants who believe that they are victims of discriminatory harassment are encouraged to use the University's internal procedures to resolve complaints which are listed under Section 700 of this Employee Handbook. They may also file discriminatory harassment complaints with appropriate state or federal agencies under Title VII of the Civil Rights Act of 1964.

The complainant may elect any of several internal procedures. The complainant may seek an informal resolution by:

- where possible and comfortable, informing the offending person of perception of their words and actions;
- consulting with administrators who oversee the respondent;
- initiating formal procedures through the Human Resources Department
- obtaining personal counseling through the Employee Assistance Program; such counseling lies outside the University's mechanisms for resolving complaints of discriminatory harassment, and is intended solely for the personal benefit of the individual.

Drug and Alcohol Policy

The use, consumption, possession, distribution or sale of any narcotic, dangerous drug, or controlled substance by any employee of the University for which such employee does not have a legal license or valid prescription is strictly prohibited.

The University supports all federal, state and local laws relating to the use and control of alcoholic beverages. The use, possession, consumption, distribution or sale of alcoholic beverages on any property

owned or leased by the University is strictly prohibited. Exceptions may be made only by the President or a designee. In these instances, all laws surrounding alcohol consumption, including but not limited to the drinking age of 21, will be adhered to. No University funds may be used for the purchase of alcoholic beverages. Exceptions may be made only by the President or a designee.

If a unit or subunit of the University holds a function where alcohol is to be served, the rules and regulations outlined in the "University Alcohol Policy" apply.

The adherence to these policies on alcohol and drugs shall be the individual and personal responsibility of each employee of the University. Any employee who violates the policy on alcohol and/or drugs shall be subject to disciplinary action, up to and including termination from the University and referral to the appropriate federal, state and/or local authorities for prosecution, as appropriate.

Drug-Related Disciplinary Actions

Any employee who is convicted of unlawful manufacture, distribution, sale, use or possession of a controlled substance, an illegal or dangerous drug, or who admits guilt of any such offense in a court proceeding, shall be subject to disciplinary action. It is the employee's responsibility to inform the University of such convictions and/or admittance of guilt.

If, prior to arrest for an offense involving a controlled substance, or a dangerous and/or illegal drug, an employee notifies his or her immediate supervisor that he or she illegally uses a controlled substance, marijuana, or a dangerous drug and is receiving treatment or agrees to receive treatment under a drug abuse and education program approved by the President, such employee may be retained for up to one year as long as the employee follows the treatment plan and the quality of his/her work remains satisfactory. The cost of the treatment will be the responsibility of the employee. Retention of such employee shall be conditioned upon satisfactory completion of the program. The employee's work activities may be restructured if, in the opinion of the immediate supervisor, it is deemed advisable. No statement made by an employee to a supervisor or other person, in order to comply with this policy shall be admissible in any civil, administrative or criminal proceeding as evidence against the employee. The rights herein granted shall be available to a University employee only once during a five-year period and shall not apply to any such employee who has refused to be tested or who has tested positive for a controlled substance, marijuana or a dangerous and/or illegal drug.

Staff Complaint Procedure

The Staff Complaint Procedure is available to any employee working at least .5 FTE (full-time equivalency) who has completed the provisional employment period. The Staff Complaint Procedure is not available to faculty, students or non-University employees (consultants, contractors, etc.).

The Staff Complaint Procedure may be used by an eligible employee to bring a complaint about:

- an action or decision that is inconsistent with a specific University rule, regulation or policy;
- a suspension, demotion, or other disciplinary action(s); or
- an involuntary termination (involuntary terminations do not include resignation or retirement).

This Complaint Procedure may **not** be used to bring a complaint about:

- performance evaluations;
- flexible work option(s) decisions;
- reductions in force;
- salary and grade classification determinations;
- organization of a department or allocation of its resources;
- termination of grant funding; or
- non-renewal of a limited term position.

Conflict of Interest and Commitment (Including Outside Employment/Activities)

Consistent with its mission of service and its desire to operate openly, fairly, and for the common good, employees of Heritage University are expected to maintain high ethical standards and exercise sound business judgment in carrying out their duties and responsibilities.

In addition, employees of Heritage University shall not maintain any financial interests, direct or indirect; engage in any business or transactions; use privileged information or personal influence; nor undertake any activity that will secure any individual or group special privileges or advantages that are in conflict with their obligations or responsibilities to the University.

Employees must disclose to their immediate supervisor any circumstances they become aware of that may constitute a conflict of interest, including all circumstances where the appearance of a conflict may be inferred by others not party to the transaction.

Gratuities - Prohibited Receipt of Gifts

An employee of Heritage University shall not directly or indirectly solicit, receive, accept, or agree to receive a thing of value by inducing the reasonable belief that the giving of the item/gift will influence employee's performance or failure to perform any official action. The acceptance of a benefit, reward or consideration where the purpose of the gift is to influence an employee in the performance of official functions is prohibited.

For purposes of this policy a gift is defined as lodging, transportation, personal services, a gratuity, subscription, membership, trip, loan, extension of credit, forgiveness of debt, advance or deposit of money, or anything of value. A gift shall not include:

- Food or beverage consumed at an occasional meal or event, provided the value is reasonable under the circumstances but in no event exceeds \$100 per person;
- Food, beverages, and registration at group events to which substantial numbers of employees of an institution are invited;
- Food, beverage, or expenses afforded to employees, relatives or others that are associated with normal and customary business or social functions or activities;
- Actual and reasonable expenses for food, beverages, travel, lodging and registration provided to permit participation in a meeting, demonstration, or training related to official or professional duties if participation has been approved the President, or his/her designee;
- Promotional items generally distributed to the general public;
- Textbooks, software, and instructional materials to be reviewed by teaching faculty;
- An award, plaque, certificate, memento, or similar item given in recognition of the recipient's civic, charitable, political, professional, private or public service or achievement;
- Consulting fees, honoraria, or financial benefits from sponsors or foundations, received in conformance with University, campus policies, and Washington law;

For complete policy please contact the advancement office.

Possession of Dangerous Weapons/Workplace Violence

University employees, whether working or not, are not permitted to carry firearms or other weapons on property owned or leased by the University. This policy also applies to those who may have licenses granted by other authorities to carry weapons.

The University is committed to creating and maintaining a working, learning and social environment that is free from violence for all members of the University community. Civility, understanding and mutual respect toward all members of the University community are major factors in providing excellence in teaching and learning. Acts or threats of physical violence, including verbal abuse, harassment, terrorism, hate, prejudice, stalking, intimidation and/or coercion which involve or affect the Heritage community will not be tolerated. These threats or acts of violence include conduct against persons or property that are severe and offensive, and create a hostile, abusive or intimidating work environment.

If an employee has been confronted with a violent incident, the employee is encouraged to report such incident to their supervisor **and** to the University Security immediately.

Policy on Smoking

To protect the health of the University community, smoking is prohibited in all buildings of the Heritage University campus. Signs will be placed in every building setting forth the fact that smoking is not allowed. No smoking allowed within a 25-foot radius of all University building entrances.

Policy on Romantic Relationships/Nepotism

The integrity of academic and work relationships is the foundation of the University's educational mission. These relationships vest considerable trust in persons with authority whether as mentor, educator, evaluator and/or administrator. The unequal institutional power inherent in University academic and work relationships heightens the vulnerability of those in subordinate positions. The University must protect itself from

influences or activities that interfere with intellectual, professional and personal growth, or with the University's financial interests. Consequently, people in positions of authority within the University community must be sensitive to the potential for conflict of interest as well as sexual harassment in romantic relationships with people over whom they have a professional power/status advantage. (Please see Sexual Harassment Policy Section 100)

The individual in authority bears the primary responsibility for any negative consequences resulting from a romantic relationship. It is in the interest of the University to provide clear direction and educational opportunities to the University community about potential professional risks associated with consensual romantic relationships between members of the University community where a power/status advantage exists.

Power Advantages

Staff Advantage: A staff member will always be treated as having a power advantage when the staff member has the authority to evaluate, determine salary, and/or make employment decisions.

Other Power Advantage: Power advantages also can occur between faculty and administrators, and faculty/administrators and staff.

Conflict of Interest

Relationships that are mutual and consensual may be viewed by others as exploitative and may adversely affect the work environment in that serious conflicts of interests may be perceived to exist. In particular, the parties to a romantic relationship should be aware that such relationships often create general conflicts of interest and the fear from co-workers or students of unfair treatment in terms of, for example promotions and grades. Therefore, Heritage University prohibits the parties who are or have been involved in any romantic relationship from evaluating each other.

There are situations sufficiently complex that judgments may differ as to whether there is or may be a conflict of interest, and individuals may inadvertently place themselves in situations where conflict exists. Accordingly, for the common good, should a situation arise in which parties who are or have been involved in any romantic relationship come into a position in which they would normally be called upon to supervise one another, the individual in authority must promptly report this fact to his or her supervisor. The supervisor will then make arrangements to see that those who are or have been involved in any romantic relationship do not evaluate each other. In particular, if a faculty member has had or comes to have an romantic relationship with a student over whom the faculty member has authority as described above, the faculty member must promptly report this to the department chair who will make arrangements for an alternate evaluation mechanism. Should the individual in authority fail to promptly report an romantic relationship with a person the individual in authority evaluates, the individual in authority has violated University policy and is subject to disciplinary action as outlined in the Employee Handbook or appropriate university regulations (depending on whether the individual in authority is faculty, staff or a student).

Malicious Use of This Policy

It is important to avoid conflict of interests resulting from romantic relationships; it is equally important to recognize that malicious accusations of inappropriate romantic relationships have the potential to severely damage a person's career and reputation. Therefore, Heritage University prohibits making knowingly false accusations that an unreported romantic relationship exists or existed between two parties now in a position to evaluate each other.

Employment of Relatives

The basic criteria for the appointment and promotion of employees in the University shall be appropriate qualifications and performance as set forth in the policies. Relationship by family or marriage shall constitute neither an advantage nor a disadvantage.

No individual shall be employed in a department with the result being the existence of a subordinate-superior relationship between such individual and any relative of such individual through any line of authority. As used herein, "line of authority" shall mean authority extending vertically through one or more organizational levels of supervision or management. Exceptions may be approved by the President upon recommendation as being clearly in the best interest of the institution.

For the purpose of this policy, relatives are defined as spouse, domestic partner, parents and children, (step) siblings, nieces, nephews, aunts, uncles, cousins, and any in-laws of any of the foregoing.

102 Categories of Employment

Depending on the number of hours worked, employees will be designated as a full-time or part-time employee. At Heritage University, employees whether full-time or part-time, are classified as either exempt or non-exempt in accordance with the requirements of applicable wage and hour laws. The terms exempt and nonexempt are from federal law (the Fair Labor Standards Act, or FLSA). The FLSA designates the types of jobs that must be tracked and paid on an hourly (non-exempt) basis, and the types of jobs that may be paid on a salaried (exempt) basis.

The University's employment categories are as follows:

Regular

Personnel employed for a continuous period expected to exceed one semester, or six calendar months are "regular" employees. The Department of Human Resources is responsible for determining if a position is to be designated as either exempt or non-exempt in compliance with Federal law.

Full-Time

Full-time employment consists of a regular schedule of 40 hours per week and is generally eligible for all University benefits.

Part-Time

Part-time employment consists of a regular schedule of less than 40 hours per week. Employees regularly scheduled to work 30 or more hours per week may be eligible for participation in most benefit programs, subject to any specific requirements described under each benefit program.

Employment on a Grant or Project

If a position at Heritage University is funded by a grant or a project, it is subject to the availability of funds. In the event that the grant or project funds are exhausted or reduced, or the grant or project is completed or canceled, this employment may terminate. An employee working in a position funded by a grant or project should take accrued vacation during the term of the project since funds will not be available to pay for accumulated vacation after the grant or project ends.

Temporary

Personnel who are not employed as regular classified employees are considered temporary employees. Temporary employees may be employed part time or full time for a period no longer than six calendar months. However, such employees may be terminated at the conclusion of this six month period and may be rehired as a temporary worker after a period of 30 calendar days has elapsed. Temporary employment may be extended up to an additional six months at the request of the supervisor or department head, with approval from the responsible Vice President. After 12 months of temporary employment, the individual will be terminated and may be rehired only after a period of 30 calendar days has elapsed. Although student assistants are considered temporary employees, they are NOT subject to these service and reemployment restrictions.

Temporary employees can be terminated at any time with or without cause at the discretion of the supervisor or department. Temporary employees are not eligible for benefits.

Non-Student

All temporary, hourly employees who are not currently enrolled in classes at the University and who are not identified as Work Study student assistants are designated as temporary non-student employees. Temporary non-student employees may work no more than 40 hours per week in a University department or in combination with a job elsewhere in the University, except in cases of pre-approved authorization by the immediate supervisor. For further clarification, contact Payroll and the Department of Human Resources.

Work Study Student Assistants

All hourly employees who are currently enrolled in classes at the University and are not identified as temporary non-student employees or as regular classified employees are designated as work study student assistants.

Work Study Student assistant employment is considered temporary employment. Work Study student assistants are exempt from FICA withholdings (Social Security) if they are registered for at least half time and seeking a degree AND work no more than 19 hours per week. Students who do not meet the criteria will be taxed as a temporary non-student employee. Student assistants may not work more than 40 hours per week in a University department or in combination with a job elsewhere in the University, except in cases of

pre-approved authorization by the immediate supervisor. Work Study Student assistants are temporary employees, not benefit eligible.

Consultant/Independent Contractor

Persons in this category are not University employees. They are on a contract to provide services to a department or unit and are not subject to the benefits outlined in this Employee Handbook.

Hourly/Temporary

Hourly/Temporary employees are personnel who are paid on an hourly basis and are not eligible for benefits.

Special Employment Situations

Employment of Foreign Nationals

The employment and/or payment of nonresident foreign nationals shall be in compliance with all applicable federal laws and shall comply with all relevant visa restrictions.

Employment of Minors

The employment of all persons under the age of 18 years shall be in compliance with the regulations of the U.S. Department of Labor and Washington State Department of Labor and Industries. The Director of Human Resources must approve employment of all minors.

103 Hiring and Termination Guidelines

Pre-Employment Screening

The pre-employment screening process consists of a background check, credit check and drug testing for all positions as well as a probable skills proficiency demonstration based on the assigned position and departmental requirements.

Background Check

It shall be a condition of all regular employment with Heritage University to submit to a background investigation. A background check shall also be performed on any existing employee being transferred, reassigned, reclassified or promoted to a "position of trust" unless a background investigation confirming this procedure has been performed on such employee on or after July 1, 2009. (Positions determined by the hiring department in conjunction with the Office of Human Resources to be of trust are those that routinely as part of the job involve interaction with children, after-hours access to facilities, access to financial resources or that have been otherwise identified by the hiring department in conjunction with the Office Human Resources to require a more extensive background investigation.)

Offers of employment shall be conditional pending the result of the background investigation, which shall include, at a minimum, the following:

- A state and federal criminal history check covering seven (7) years;
- A nationwide sex offender registry search;
- A social security number check;
- For positions of trust with financial responsibility, a financial report; and
- For all professional, faculty and academic positions, an academic credentials check.

Offers of employment for positions of trust may be conditional pending the result of a state and federal criminal history check covering more than the minimum of seven (7) years.

Credit Check

A criminal background investigation plus credit check will be conducted on final candidate(s) if the position handles cash, checks or financial information.
If a credit check has been conducted within the last year, a new investigation will not be conducted.

Drug Testing

The University reserves the right to conduct pre-employment screening at the time of hire and/or reasonable suspicion screening. Prospective employees will only be asked to submit to a test once a conditional offer of employment has been extended and accepted. An offer of employment by Heritage University is conditioned on the prospective employee testing negative for illegal substances. These practices are designed to prevent hiring individuals who use illegal drugs or abuse alcohol or individuals whose use of illegal drugs and alcohol indicates a potential for impaired or unsafe job performance.

Heritage University management has sole discretion to determine reasonable suspicion. If facts, circumstances, physical symptoms, patterns of performance or behavior would cause a supervisor or manager to reasonably conclude that an employee may have used, or be under the influence of, or intoxicated by drugs or alcohol, the employee will be asked to undergo a drug screen. A refusal to test will be considered a positive test result and the employee will be terminated.

Any individual who refuses the testing requirement or who tampers with the drug screen will be terminated. Any employee whose drug screen is positive, who alters screening specimens or is unsuitable for analysis will be terminated. All reasonable suspicion employees will be suspended without pay pending the release of drug screen results. Employees whose results are negative will be paid for time lost and allowed to return to work at the beginning of the next regularly scheduled day.

Skill Proficiency Demonstrations

For certain positions, candidates may be asked to demonstrate proficiency in word processing, spreadsheet software, data entry, ten key or other job-related skills.

Conditions of Employment

The following Actions are required of all Employees as a condition of employment.

Personal Data Record/Change Form

This form obtains pertinent data such as address, phone number and emergency contact that will be kept in the employee's personnel file. This form may also be used to update this information.

Completion of I-9

This form identifies an individual's legal right to employment in the United States and must be completed within three days of employment.

Direct Deposit of Paycheck

All employees of Heritage University are encouraged to use the automatic payroll deposit service, which provides for the direct deposit of pay to bank or credit union accounts.

Federal Withholding W-4 Forms

These documents indicate the amount of federal taxes to be withheld by the employer and must be completed upon employment.

Benefits Forms Completion

For benefits-eligible employees only: optional benefit forms (for example, health insurance) must be completed within 31 days of the employee's original hire date with the University in order to participate in benefit programs.

Official Transcripts

The University may require copies of transcripts to verify education and degrees awarded.

Official Forms and Updates

New employees will be asked to fill out information forms for payroll and benefit purposes and will be responsible for the continuing accuracy of all information, including all criminal actions. If necessary, new forms may be obtained from Payroll or the Human Resources Department. Be certain to notify Payroll or Human Resources of change of address. To change federal withholding, pick up the forms at Payroll or Human Resources Office.

104 Orientation

A general orientation program is regularly scheduled for all new regular employees. The orientation program provides information regarding Heritage University History, Mission, and Vision as well as critical information concerning policies, procedures and employee benefits. All new employees are required to attend the orientation program as scheduled. In addition to attending the general orientation program, each new employee should meet with his or her supervisor, who will explain the duties and responsibilities of the position. Any specific departmental policies, procedures, and regulations will be explained by the supervisor at that time.

Identification Card

A new employee may obtain an identification card as soon as his/her payroll information is added to the automated system. Employees are required to obtain a Heritage University ID card within ten (10) days of employment from the Maintenance and Plant Operations Office.

The card is the bearer's official University identification and should be carried at all times. It is to be shown upon request to any University employee whose assigned responsibilities authorize him/her to verify employee identification. The card is not transferable and is the property of Heritage University. It should be returned to the University upon termination of employment. Loss of a card should be reported immediately to the Maintenance and Plant Operations Office.. After the card has been reported a new card can be issued. There is a replacement fee for lost, stolen or damaged cards; the fee will increase for each subsequent replacement.

Duty to Report Criminal Charges/Determinations

Employees have the responsibility to report criminal charges/determinations.

Criminal charges:

Any employee of Heritage University who is charged with a crime (other than a minor traffic offense and/or local ordinance violation) shall report having been charged to his/her supervisor within 3 days of becoming aware of such charge. The employee shall report the crime(s) he/she has been charged with and provide documentation of the charges upon request. Within 3 days of receiving notice from the employee, the supervisor will contact the Human Resources Office so a determination can be made as to what action, if any, is immediately warranted.

Criminal Determinations:

Within 3 days of the employee receiving a determination of the criminal charges (e.g. charges dismissed, allowed to plead *nolo contendere*, found guilty, acquitted), he/she will notify his/her supervisor and provide documentation of the disposition. Within 3 days of receiving notice from the employee, the supervisor will contact the Human Resources Office so a determination can be made as to what action, if any, is warranted.

105 Provisional Period

Provisional Period for New Hires, Transfers and Rehires

Each new employee is required to serve the first six (6) months of employment at Heritage University in a provisional status. During this time, the new employee has the first opportunity to evaluate the University as a place to work. Likewise, the supervisor will evaluate the employee's job performance. In the event of an approved leave of greater than thirty (30) days, an equivalent extension of the provisional period may be granted with the approval of the Director of Human Resources. An extension should be granted only in exceptional circumstances, and in no instance shall the provisional period be extended such that the total provisional period would exceed nine (9) months. Employees in the six-month provisional period are eligible for transfer or promotion within the University during that period only when granted permission by the Dean/Vice President of their current college/division.

Employees who have successfully completed a provisional period and who are transferring to or being promoted into a new position will not be subject to another provisional period.

Former employees who are rehired will be considered new employees and will have another provisional period.

Benefit Status during Provisional Period

A new hire must be employed on or before the fifteenth of a month to qualify for accrual of vacation/annual leave for that month. Employees on provisional status who are otherwise eligible may enroll in benefit programs.

106 Reduced Hours and Shift Modifications

Occasionally, due to the needs of the University, employees may be required, with sufficient notification, to reduce their hours worked per week. In these instances, the employee will be given two weeks notice when possible.

107 Termination Guidelines

Employment at Heritage University is on an “at will” basis which means the employment with Heritage University is not for a definite time period, and terms and conditions of employment can be modified at any time, except as otherwise provided by law. Both the University and its employees may terminate the employment relationship, with or without cause, at any time. This at-will employment relationship may not be changed orally or by any behavior. This Employee Handbook does not modify or alter the at-will employment relationship.

Exit Interview

An Exit Interview should be conducted by the Human Resources Office. The terminating employee's supervisor should ensure that an Exit Interview is scheduled prior to employee's departure.

Termination

Normally the last day worked is the termination date. Health care and other benefits provided by Heritage University end on the last day of the month in which the employment terminates. Some may be continued or converted on an individual basis. The Human Resources Director can provide contact information for conversion details for terminating employees.

By 4:00 pm on the last day of work, the employee should submit final timesheets or Time and Accountability form to Payroll or to the Human Resources Office. A final paycheck will be mailed to the last address of record or deposited directly into the terminated employee's account.

When notified of termination, the employee must return all University property and must leave the University premises by the date specified. If the employee owes money to the University, Heritage is authorized to hold accrued vacation pay to cover the obligation.

Involuntary Termination

Heritage University encourages all supervisors to follow the progressive discipline process; however, there are certain offenses that warrant immediate termination. Those offenses should be discussed with employees by their supervisor. When notified of termination, the employee must return all University property and must leave the University premises by the date specified.

Reductions in Force

Should it become necessary to reduce the work force at the University, job eliminations or job consolidation may be required. When personnel reductions become necessary, affected employees will be given as much notice as possible so that they may seek employment elsewhere within or outside of Heritage University.

Employees who are terminated, demoted or otherwise adversely affected by reorganization, redirection, program modification or financial exigency, as approved or determined by the University president or designee, are not governed by the procedures described in the Complaint Process.

Rehire after Termination

Former employees who are involuntarily terminated are generally not eligible for rehire. However, former employees who were involuntarily terminated may request the Director of Human Resources to review the case and determine eligibility for rehire.

Director of Human Resources' decision will be rendered after a review of the employee's work records at the University and other information as deemed appropriate.

Resignation

Resignation is voluntary relinquishment of employment by an employee. An employee should submit written notification of termination a minimum of two weeks prior, or as required per contract, to his or her last day worked. Before leaving, the employee must return all University property including keys, I.D. cards, etc. Employees who resign for any reason are requested to give as much notice as possible.

Retirement

No staff member may be required to retire because of age. Employees planning retirement are encouraged to discuss their plans with the Human Resources Department well in advance of their planned retirement dates.

(SECTION 200)
CLASSIFICATION AND COMPENSATION

201 Compensation

The pay rates for each job title are determined by the knowledge, training, skills and level of responsibility assigned to that position. In addition, every effort is made to ensure equitable salary ranges are in keeping with other universities and similar positions in the local, regional and national markets.

202 Employment Classification

All employee job titles at Heritage University are assigned a Fair Labor Standards Act (FLSA) status either exempt or non-exempt.

Exempt

Exempt status is assigned to positions that are not eligible for overtime pay as defined by the Fair Labor Standards Act (FLSA). Employees in executive, administrative, and professional positions are typically exempt under the FLSA and are paid a designated salary, regardless of the number of hours they might work in a week. Such positions are hence “**exempt**” from the FLSA. Exempt employees are not entitled to additional pay or compensatory time off for hours worked in excess of 40 hours in a given work week. Any schedule adjustments for an exempt employee must be approved by his/her immediate supervisor.

Non-Exempt

Non-exempt employees are subject to the provisions of the Fair Labor Standards Act (FLSA) and are eligible to be compensated for hours worked in excess of 40 per week as provided by law. Employees that are assigned non-exempt status must complete timesheets or time and accountability forms and be paid on an hourly basis for all hours worked over 40 in a workweek. If a non-exempt employee works more than 40 hours in the workweek, they must be compensated overtime at a rate of time-and-a-half. *OVERTIME MUST BE APPROVED IN ADVANCE BY THE SUPERVISOR OR DEPARTMENT HEAD.*

203 Employment Opportunities Posting

The Department of Human Resources posts a current listing of position vacancies on the Heritage University website. Employees are encouraged to use the website as a resource for potential promotion or transfer opportunities. The listings can be accessed online at www.heritage.edu.

204 Minimum Hiring Standards

Minimum Hiring Standards are intended to help ensure comparable basic hiring standards for comparable positions across campus. A minimum Hiring Standard is the minimum threshold of education and experience required to perform a given job. An individual with an education level and/or experience below the stated minimum hiring standard for a job title is not considered minimally “qualified” for the position, and is not referred by the Human Resources Department to a hiring department.

New Hire

The salaries of new employees are set based on the classification of the position, the salaries paid in the market, and the applicant's education, skills, and previous related experience. When an individual meets the minimum qualifications of the position, the salary is normally set at the minimum of the salary range. However, if an individual has directly related prior job experience, or if the market warrants, the salary may be established above the minimum. Starting salaries are not normally set above the midpoint of the salary range. Exceptions to this practice must be approved by the CFO.

Promotion

Salary advancement and promotions will be based on merit. A promotion is the shift of an employee from one job title or position to another having more responsible duties or involving more skill (higher classification). To be promoted, the employee must meet the minimum job qualifications required by the new job title or position.

Employees can only be promoted during the fiscal year as a result of significant changes in assigned duties, the organizational structure, mission, or funding of the department/project. The supervisor is responsible for completing all of the necessary paperwork for this action. Any promotion to a vacant position within the same department cannot be made without advertising the position via the website.

Employees in the six-month provisional period are eligible for promotion only when granted permission by the Dean/Vice President of the employee's area.

Transfer

An internal transfer is the movement of an employee from one position to another within the University. All vacant positions must be formally advertised through the Human Resources Office. A formal recruitment process will be required to fill all vacant staff positions. An employee must be in good standing in their currently held position to be considered for a transfer. This includes promotion and lateral transfers.

Employees in the six-month provisional period are eligible for transfer within the University only when granted permission by the Dean/Vice President of the employee's area.

All accumulated leave, retirement benefits and service date will be transferred if there is no break in service and the effective date may not be a holiday.

205 Pay Adjustments

Promotion

A promotion is an authorized reassignment from one position to another position in a higher salary grade. Upon promotion, an employee is eligible for a salary increase. Promotion increases are determined on an individual-case basis within guidelines.

Stipend

Additional compensation is appropriate when an individual is assigned, in writing, a major component of a job at a higher pay grade and is held accountable for the full scope of the job on a temporary basis in the absence of another member of the organization. All employees are expected to fill in for their co-workers during vacations and other short-term absences. The supervisor should determine if a stipend or additional temporary compensation is warranted. The amount of temporary compensation is determined on a case-by-case basis considering the additional responsibility and/or added workload. Requests for additional compensation must be made by the department head in advance and in writing to the Department of Human Resources. Stipends generally should not continue for more than 12 months.

If a position has changed over time or if substantive duties have been assumed that are beyond the scope of what is generally considered for the position, the supervisor in collaboration with the incumbent should request a position review. The request and supporting information for the request should be submitted to the Human Resources Department. The Human Resources Department will present the request to the CFO and area VP for review and recommendation.

Lateral Transfer

A lateral transfer is defined as movement from one position to another at the same pay level. A lateral transfer should not result in a change in salary since the assignments are in the same pay level. Should a situation arise that may justify a salary adjustment, a request and supporting information for the request should be submitted to the Human Resources Department. The Human Resources Department will present the request to the CFO and area VP for review and recommendation.

206 Job Evaluation Process

The University's job evaluation process is designed to maintain consistency in the utilization of various job titles. This process ensures that employees performing similar duties have the same or similar job titles with corresponding pay levels. The job evaluation process requires a comparative analysis of a position to determine if the current classification and/or compensation levels are appropriate. The job evaluation process also includes the review of required knowledge, skills and abilities needed to perform duties assigned to a position. A review of current market data may be required during the job evaluation process as a means of obtaining the University's goals in:

- Attracting and retaining qualified individuals by matching job skills with the assigned position
- Ensuring that internal and external equity issues are addressed
- Encouraging professional growth for employees
- Recognizing necessary knowledge and skills required for a position and ensuring that the employee is appropriately compensated for performing them

Job Analysis and Job Audit

Generally, a position only needs to be reviewed if its duties have changed significantly over time or if substantive new duties have been assumed that are beyond the scope of what generally might be expected for a position with that title. This process will be applied for both, increase and decrease in job responsibilities.

If an employee believes their position should be reviewed for reclassification, the employee should discuss the possibility with their immediate supervisor and/or the department head. If the manager and department head concur, a petition for position review should be submitted to the Human Resources Director. The Human Resources Director will present the petition to the CFO and the area VP for review and recommendation. Employees may be asked or may offer to help describe the duties they perform so that their manager can fully reflect the current scope of their responsibilities.

The CFO and area VP will review the information provided and make a determination.

207 Administrative Salary Adjustments

Certain rare and exceptional circumstances may occur from time to time that warrant special salary adjustments. Such adjustments are not part of the normal compensation plan for staff. Requests for special salary adjustments must be sent in writing to the Human Resources Office by the Department Director.

208 Payroll Deductions

Each employee's paycheck will have specific deductions as required by law, Heritage University policy and/or at the employee's request. For your specific deductions please contact the payroll office.

209 Garnishments and Withholding

The University considers the acceptance and settlement of just and honest debt to be a mark of personal responsibility. The University is required by law to accept and process garnishments served by officials of the court. Employee failure to meet their financial obligations may reflect negatively on the reputation of the University.

In addition, the University is authorized to hold paychecks and/or deduct from regular paychecks or vacation pay amounts owed by its employees for any fine, fee, penalty or other financial obligation to the University.

210 Pay Periods

The official workweek for all nonexempt employees begins at 12:00 a.m. Sunday morning and ends at 11:59 p.m. Saturday evening.

Timesheets

Non-exempt hourly employees are required to record and submit a timesheet as a record of the hours worked per workweek per pay period. Timesheets must reflect hours worked for each work week of the pay period and should include all absences taken in the pay period.

Blank timesheets are located at L:\FORMS\HR FORMS. Timesheets must be filled out completely by the employee and signed by the employee and the supervisor. The supervisor is responsible for submitting the timesheets to Payroll and ensuring that the employee's and supervisor's signatures are on the document.

ALL TIME RECORDS MUST BE SIGNED BY BOTH AN AUTHORIZED REVIEWING AUTHORITY AND THE EMPLOYEE.

Paychecks

Salaried exempt and non-exempt employees are compensated on the last day of the month. All new hires regardless of exemption status will be paid monthly. Hourly staff, temporary staff, and work study assistants are compensated for all hours worked on the 16th of the month and last day of the month.

Direct Deposit

All employees of Heritage University are encouraged to use the automatic payroll deposit service, which provides for the direct deposit of pay to bank and credit union accounts. Employees using direct deposit are required to complete an *Authorization Agreement for Automatic Deposit* form available in the Payroll Office.

If you do not have or are unable to obtain a bank account for direct deposit, please contact the Payroll department.

Time and Accountability

Salaried exempt & non-exempt employees must complete a *Time and Accountability* form for all absences. This form must be signed by the employee and supervisor and filed with the Payroll office by the eighth (8th) day of the month for the previous month's absences. Failure to submit Time and Accountability forms timely will result in forfeit of accruals for the month.

**(SECTION 300)
BENEFITS****301 General Benefits Information**

Heritage University offers eligible employees the opportunity to participate in various benefit plans provided by Heritage University, which include but are not limited to health insurance, dental insurance, vision insurance, life insurance, accidental death and dismemberment insurance, disability income insurance, flexible spending accounts, and retirement plans.

The Human Resources Office provides each eligible employee with complete descriptions the of benefit plans, along with the respective monthly premiums for optional dependent coverage. For specific information on the available benefit plans, please contact the Human Resources Office.

302 Benefits Eligibility

To be considered "benefits-eligible", an individual must be appointed to a regular faculty or staff position that has an anticipated duration of six months or more and is at least .75 FTE. Benefits-eligible faculty and staff may cover their spouses and eligible dependent children.

New Employees

New benefits-eligible employees may enroll in available benefit plans within the first 31 days of employment. Employees who do not enroll in benefit plans within the first 31 days of employment must wait until the annual open enrollment period to enroll. Employees should be aware that their first 31 days of employment may be their only opportunity to enroll in certain benefits. The Human Resources Office will notify you of any benefits which fall into that category.

Eligible Dependents

Eligible dependents include the spouse and dependent children up to age 25.

Registered Domestic Partners

Registered domestic partners of employees are eligible to enroll in certain benefit plans offered by Heritage University as provided by law.

303 Health Insurance

New employees who are benefits-eligible have 31 days from their date of hire to select a medical plan for themselves and any eligible dependents. On an annual basis, the University offers an Open Enrollment period. During the Open Enrollment period, employees may change their healthcare plan elections and/or levels of coverage. Please contact the Human Resources Department for benefit details.

304 Dental & Vision Insurance

The University provides dental and vision program for all eligible employees as a part of the medical insurance plan.

305 Life Insurance**Group Life Insurance**

The University provides \$50,000 of basic life insurance for all eligible employees at no cost to the employee. This benefit is reduced for eligible employees over the age of 65.

Accident Insurance

All benefits-eligible employees under age 65 are eligible for accidental death and dismemberment insurance. All benefits-eligible employees 65 and over are eligible for accidental death and dismemberment insurance at a reduced rate according to given age. Contact the Human Resources Department for details. The University pays 100% of the monthly insurance premium.

Voluntary Life Insurance

Additional life insurance may be purchased for the employee, spouse, and dependent children. Premiums are payable through payroll deduction. Please contact the HR department for the current rates and additional details.

306 Disability Income Insurance

The University provides eligible employees long-term disability income insurance. The plan allows employees to receive a benefit if employees are ill or injured and unable to perform their jobs. Benefits for Long-Term Disability begin after employees have been ill or injured for 90 days.

Short-term disability optional coverage is available through AFLAC. Employees pay the full premium for Short-term disability insurance through payroll deduction.

307 Flexible Spending Accounts

Heritage University offers programs which allow individuals to set aside funds on a pre-tax basis for certain healthcare and dependent care related expenses. See Human Resources for current maximum allowed amounts.

Healthcare Spending Account

The healthcare flexible spending account may be used to cover the cost of medical, dental, and related expenses that are not otherwise paid by other insurance (i.e., healthcare and dental plan deductibles and qualifying out-of-pocket medical & dental expenses that fall outside your plans' coverage). Employees may enroll within 31 days of being hired or during the annual Benefits Open Enrollment period.

Note that setting up a Healthcare FSA can save employees substantial tax dollars on predictable medical costs. However, employees are forewarned - **Any** unspent funds left in the account after the end of the plan year will be forfeited.

Dependent Care Spending Account

The dependent care flexible spending account may be used to cover the cost of qualifying childcare, eldercare, or care of other legal dependents. Employees may enroll within 31 days of being hired or during the annual Benefits Open Enrollment period.

Note that setting up a Dependent Care FSA can save employees substantial tax dollars on predictable childcare costs. However, employees are forewarned - **Any** unspent funds left in the account after the end of the plan year will be forfeited.

Under the law, the combined dependent care contributions of both parents can not exceed the maximum allowable election set by the IRS. See the Human Resources Department for current maximum contribution amount.

308 Wellness Benefit

As part of our benefit package, Heritage University offers a Wellness program to encourage employees to participate in physical activity and promote a healthy life style. The Wellness program offers (eligible .75 FTE) employees up to \$30/month to help with the cost of items such as gym memberships and exercise equipment. In order to participate or continue the benefit, employees must submit receipts of these expenses to payroll on a regular basis (yearly minimum).

Eligible Reimbursable Items:

- Gym Membership
- Pool Session Membership
- Fitness Equipment (ex. Universal home gyms, treadmills, elliptical machines, exercise bicycles, weights)
- Weight loss program fees (ex. Weight Watchers, Jenny Craig)

Ineligible Items:

- Fitness or sports related apparel
- Bicycles
- Dietary Supplements

309 Employee Assistance Program

An Employee Assistance Program (EAP) is available at no cost to Heritage University faculty, staff, eligible dependents, and household members. EAP is a special benefit offering confidential consultations, assessments, and short-term counseling for a variety of issues ranging from work-related concerns to personal difficulties that affect everyday life. EPA will provide assistance with exploring appropriate community resources if an outside referral is needed for ongoing or specialized services.

For additional information and assistance regarding benefits contact the Human Resources Office.

310 Section 125 Plan

Heritage University participates in a Section 125 Plan as authorized by the Internal Revenue Code. Employee health, dental, vision, and flexible spending account premiums are deducted on a pre-tax basis and are not subject to federal tax, state tax or FICA. The choices made by a new employee or during the annual open enrollment period must remain in effect for the entire plan year (July 1 – June 30), unless the employee has a mid-year qualifying event.

The annual open enrollment period normally occurs during the month of May with coverage dates effective July 1 for all benefits. A Benefits Fair is held during the open enrollment period to give employees the opportunity to gather benefits information and talk with the various providers before the open enrollment period ends.

311 Qualifying Events for Mid-Year Changes

The IRS regulation, under Section 125, has strict rules regarding the operation of these plans. Exceptions are permitted under IRS rules when a member has a mid-year qualifying event. Employees are required to notify the Human Resources Office within 31 days of the qualifying event and complete the appropriate forms to make mid-year changes. Some examples of mid-year qualifying events include:

- Change in marital status
- Birth or adoption of a child
- Death of a covered dependent
- Loss of eligibility status by a covered dependent
- Change in employment status that affects eligibility for coverage
- Losing or gaining healthcare coverage eligibility under Medicare or Medicaid
- Change in residence to a location outside of a healthcare plan's service

312 Continuing Benefit Plans at Termination

Terminating employees will retain insurance benefits through the end of the month that they terminate. Under the Consolidated Omnibus Budget Reconciliation Act (COBRA), employees may elect to continue medical, dental, vision, and/or flexible medical spending account for up to 18 months. In special instances, the 18 month period may be extended. The flexible spending medical account terminates on the date of employment separation. Claim forms may be submitted up to 60 days after separation date for expenses incurred prior to employment termination date. COBRA election must be made within 60 days from the date COBRA notification is received.

The cost for COBRA for employees and/or dependents is 100 percent of the total premium, plus a 2% administrative fee. It is the participant's responsibility to ensure that premiums are paid in a timely manner. This premium must be paid on time each month or COBRA coverage will be discontinued. Employees interested in electing COBRA benefits should contact the Human Resources Office.

Disabled Status

If a qualified beneficiary is determined to be disabled under Title II or XVI of the Social Security Act at the time employment ended and the plan administrator is notified within 60 days, the qualified beneficiary may elect continuation for up to 29 months following the termination of employment.

Dependents

A spouse of an employee whose coverage ends due to divorce or a child who reaches the maximum age for coverage as a dependent may continue coverage for thirty-six (36) months. Election must be made within sixty (60) days from the date COBRA notification is received.

313 Appealing Denied Benefit Claims

Denied benefit claims must be contested directly through the benefits provider. Contact Payroll or Human Resources department for additional information.

314 Tuition Benefit Program

The tuition waiver program is available to full-time (.75 FTE or greater), benefits-eligible employees of the University who have successfully completed at least six (6) months of employment in a benefits-eligible position as of the date of the Tuition Waiver application deadline for the desired academic semester.

- Employees are required to go through the regular student admissions process, prior to applying for the tuition waiver program.
- Employees must complete a tuition waiver application for each semester in attendance.
- Number of allowed credits varies based on the number of requests for tuition waiver and budget for fiscal year.
- Employees may seek approval to enroll in up to the maximum allowed academic semester credit hours for each of the two designated semester periods: Fall Semester and Spring Semester.

Please contact the Human Resources office for additional requirements and details of the Tuition Benefit.

315 Retirement Plans {403(b)} Tax-Sheltered

Benefit-eligible employees are able to participate in a voluntary tax-deferred retirement plan offered through Heritage University under provision 403(b) of the Internal Revenue Code (IRC). This plan allows participants to direct a portion of their income, on a tax-deferred basis, into any of a number of investment vehicles such as annuity contracts and mutual funds. Taxes are deferred until the money is withdrawn - usually upon retirement (withdrawal prior to retirement age carries a penalty). Employees make the full contribution, via salary reduction. Employees may enroll or change their elections for the 403(b) plan at any time, including during the annual Benefits Open Enrollment period.

In general terms, employees may set-aside up to the current IRS mandated limit in a 403(b) plan. Employees age 50 or older may set aside up to an additional \$5,000. The annual contribution is allocated equally across the number of paychecks an employee receives during the year for his/her base salary. TIAA-CREF is the authorized vendor and administrator.

After one year of service, Heritage University will contribute 5% of gross base salary for all Full-Time benefit-eligible employees regardless of an elective deferral by the employee. In addition, Heritage University will match 100% of the employees' before tax contribution to the plan up to 2% of the employees' gross pay, for a total of 7% contribution from the University.

Vesting

Vesting in Heritage University contributions is immediate once employee is eligible. Since vesting is immediate, the total funds remain in the member's name for his or her ultimate retirement as per social security guidelines.

If the member becomes permanently and totally disabled or dies, all monies in the fund would be made available to the member or named beneficiary.

(SECTION 400)

VACATION, SICK LEAVE AND LEAVE OF ABSENCE

401 Time-off Benefits

Time-off benefits are provided to eligible employees of the University for a variety of reasons, including rest, enjoyment, and illness. The University has designed a comprehensive time-off benefits program.

Holidays

Heritage University currently observes the following official paid holidays each year. An exact schedule of these holidays is published each year by the University administration. This schedule can be found at: [myheritage.edu/staff/HR/Holiday Schedule](http://myheritage.edu/staff/HR/Holiday%20Schedule). Employees working less than .75 FTE, student work study assistants, and temporary non-students are not eligible to receive holiday pay.

- Independence Day
- Labor Day
- Veteran's Day
- Thanksgiving Day
- Friday following Thanksgiving
- Christmas & New Year's Break (see schedule for dates)

- Martin Luther King Jr.
- Presidents Day
- Spring Renewal Day
- Memorial Day

These holidays are observed in accordance with the rules and regulations set forth by the University. To receive pay for the holidays, an employee must be in pay status the day before and the day after the holiday. When a non-exempt employee is required to work on an university observed holiday, the employee shall receive payment of hours worked plus an additional 8 hours of holiday pay. A terminating employee will not be paid for any official holiday occurring after the last working day of his or her employment.

402 Personal Leave

Regular, full-time benefits-eligible employees receive 24 hours of personal leave per fiscal year. These hours are granted on July 1. This leave is pro-rated for employees working between 30-40 hours per week and per hire date. Personal leave may be used for emergency and/or short notice purposes. These hours may not be carried over to the next fiscal year. Unused personal leave is not paid to an employee upon separation of employment.

403 Vacation

Vacation time must be approved in advance by the supervisor before it may be taken.

Eligibility

Regular, full-time benefits-eligible employees are eligible to accrue vacation hours. Accruals are pro-rated for employees working between 30-40 hours per week. Full-time staff employees accrue 6.67 hours of vacation per month for the first five years of employment. After the completion of the 5th year of service, vacation will accrue at 10 hours per month. Employees with 10 or more years of service will accrue at 13.33 hours per month. Administrators accrue at 13.33 hours per month.

An employee must be hired on or before the 15th of the month to accrue leave for that month. Leave is accrued on the last working day of the month. An employee must have a sufficient leave balance from prior months to cover the hours taken through the last day of the vacation. Otherwise, the employee will be in a Leave without Pay Status.

Carryover of Unused Vacation Days

On June 30 of each calendar year, each employee's leave record shall be adjusted to reflect no more than one year amount of accrued vacation/annual leave.

Terminal Vacation Pay

All unused, accrued vacation leave, not to exceed one year's accrual, shall be paid to an employee upon his/her termination from employment when all HU issued property is returned and up to date time & accountability sheets have been submitted. If any portion of an employee's compensation is funded by a grant or other funding sources, the terms set forth by the grant or funding partner will determine if the payout of vacation hours is permitted.

An employee who terminates on or after the fifteenth of a month shall accrue vacation/annual leave for that month.

Record of Earned Vacation

A Timesheet or Time and Accountability form must be completed to document the vacation leave taken. Timesheets for non-exempt employees are due in Payroll by the day following the last day on the timesheet. The Time and Accountability Form that exempt employees complete is due by the 8th of the month for the previous month's absences. Failure to submit Time and Accountability forms timely will result in forfeit of accruals.

404 Sick Leave

Eligibility

Regular, full-time benefits-eligible employees are eligible to accrue sick leave hours. Full-time employees accrue 8 hours of sick leave per month up to a maximum of 480 hours. Accrual is pro-rated for employees working between 30-40 hours per week. Sick leave may be granted at the discretion of the institution and upon approval by the supervisor for an employee's absence for any of the following reasons:

- Illness or injury of the employee;
- Medical and dental treatment or consultation;
- Quarantine due to a contagious illness in the employee's household; or
- Illness, injury, or death in the employee's immediate family requiring the employee's presence.

*Sick leave cannot be granted to substitute for vacation leave.

For the purpose of this policy, immediate family is defined as spouse, parents and children, brothers, sisters.

An employee must be hired on or before the fifteenth (15th) of the month to accrue leave for that month. Leave is accrued on the last working day of the month. An employee must have a sufficient leave balance from prior months to cover the hours taken through the last day of the absence. Otherwise, the employee will be in a Leave without Pay Status. Employees are not to perform University related tasks while on sick leave.

Annual Allowance and Accumulation

For all regular full-time employees, sick leave shall be accumulated at the rate of one working day per calendar month of service. Temporary employees, including student work study assistants, adjunct instructors, and regular employees employed at less than .75 FTE do not earn or accrue sick leave time.

Reporting Absences Due to Illness

Employees are expected to report all absences due to illness or injury directly to their supervisors or department heads as soon as possible and should indicate probable length of absence so that schedule adjustments may be made.

Employees absent for prolonged periods should communicate with their supervisors weekly, unless on approved leave of absence.

A Timesheet or Time and Accountability Form must be completed to document the sick leave. Timesheets for hourly/temporary employees are due in Payroll as outlined in the payroll calendars. The Time and Accountability Form for salaried exempt and non-exempt must be completed submitted to the payroll office by the eighth (8th) of the month for the previous month's absences. Failure to submit Time and Accountability forms timely will result in forfeit of accruals.

Physician's Statement

If an employee is out of work due to illness or care of an ill relative for five consecutive days, a physician's statement is required covering the dates of absence upon return to work. Under some circumstances, supervisors may require an employee to provide a physician's statement for sick leave absences of less than three days.

Physician's Return to Work Certification

Supervisors reserve the right to request a release from a physician to allow an employee to return to work. Such certification may also be requested of employees returning from FMLA leave. (FMLA section 406)

Terminating Sick Leave

A terminating employee shall not be paid for any sick leave earned but not taken.

405 Donated Vacation Leave

The Donated Leave Program allows University employees to donate paid vacation leave voluntarily to a fellow University employee who is experiencing a serious health condition, or who is a primary care giver for a seriously ill family member. Donated leave keeps eligible employees from taking leave without pay during their time of crisis.

Employees may donate a maximum of 20 hours of vacation leave to the donated leave pool during the month of August of each year. A maximum of 160 donated hours may be received by any one employee per year. Donated leave is approved on a case-by-case basis by the Director of Human Resources.

406 Leave without Pay

Leave without pay may be granted for a period not to exceed one year at the discretion of the department with the approval of the Human Resources Director and will be without pay.

Duration of Leave without Pay

All leave must be approved and filed with Payroll and Human Resources on either a Time and Accountability form for exempt employees or a timesheet for non-exempt employees. Any leave, except that charged to accrued vacation that is anticipated to extend beyond two weeks in duration, must be approved and filed on a Personnel Action form (PAF). A minimum of 10 days advance notice is requested when possible.

Benefits during Unpaid Leave

Approved unpaid leave allows employees to elect to continue their group insurance benefits through COBRA. However, employees on unpaid leave will not continue to accrue vacation or sick leave.

Upon return from approved leave without pay the employee will be restored to his or her original position, or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. Heritage University cannot guarantee that an employee will be returned to his or her original job. Should an employee be unable to return to work after being granted leave without pay for one year, the employee will be terminated. During an unpaid leave status, vacation and sick leave benefits will not continue to accrue.

407 Unapproved Leave

An employee not at work must be in an approved leave status. When an employee is absent from work and has not made arrangements to be on official leave, accrued vacation will be charged until exhausted. Once exhausted, the employee will be in an "hours without pay" status. This means that paychecks will no longer be issued, unless Human Resources or Payroll determines otherwise. (see Job Abandonment Section 800)

408 Workers' Compensation

All University employees are covered by state Workers' Compensation laws, which may provide medical and income benefits if you are injured on the job. Workers' Compensation also provides benefits to your dependents if you die as the result of a job-related illness or injury.

Work Related Injuries

In the event of an injury while performing job duties, the employee should immediately report the injury to the supervisor or supervisor's designee. The supervisor (or designated alternative) is responsible for reporting employee injuries/accidents, following the established reporting system. An employees' failure to report the accident promptly could result in failure to receive benefits and disciplinary action.

In the event of a life-threatening emergency, call 911 for immediate assistance. For all other work related injuries, employees may report to University Security during evenings and weekends. University Security will refer injured employees to seek medical attention according to the Workers' Compensation instructions.

If treatment is required, Heritage University has made arrangements with medical facilities to provide care for employees. A listing of these facilities should be posted in each department. All employees are encouraged to seek care and follow-up care from posted medical facilities, even after an emergency room visit.

Return to Work from Workers' Compensation Leave

When an employee returns to work, it is the responsibility of the supervisor to inform the Human Resources Department and the Payroll Office immediately. Late notification of return to work status may result in incorrect payroll reporting for the employee.

409 Administrative Leave

Administrative leave is a leave of absence initiated by the University to deal with special circumstances in which it is desirable to continue an employee's association with the University for the period of the leave. Administrative leave may be with or without pay and carries no promise of future re-employment.

410 Family and Medical Leave

The Family Medical Leave Act (FMLA) entitles eligible employees to take up to 12 weeks of unpaid, job protected leave each rolling 12-month period. A rolling 12-month period is defined as 12 months from the date of first absence. To be eligible, the employee must be employed for at least one year and have worked at least 1,250 hours over the previous 12 months.

Family Leave Entitlement

Employees may request Family Leave for the following events:

- Birth of a child
- Adoption of a child
- Serious health condition of employee's child, spouse, or parent
- Serious health condition of employee

"Serious health condition" means an illness, injury, impairment, or physical or mental condition that involves:

- any period of incapacity or treatment connected with inpatient hospital care (such as an overnight stay), hospice, or residential medical care facility;
- any period of incapacity requiring sporadic absences from work, school, or other regular daily activities that also involves continuing treatment by (or under the supervision of) a health care provider; or
- continuing treatment by (or under the supervision of) a health care provider for a chronic or long-term health condition that is incurable or so serious that if not treated, would likely result in a period of incapacity;

Spouses who are both employed by the University are jointly entitled to a combined total of 12 workweeks of family leave for the birth or placement of a child for adoption or foster care, and to care for a child or parent (but not parent "in law") who has a serious health condition. Leave for birth, adoption or foster care placement must conclude within 12 months of birth or placement.

Under some circumstances, employees may take FMLA leave intermittently—which means taking leave in blocks of time, or by reducing the normal weekly or daily work schedule. Where FMLA leave is for birth or placement for adoption or foster care, use of intermittent leave is subject to approval by Heritage University. FMLA leave may be taken intermittently whenever it is medically necessary to care for a seriously ill family member, or because the employee is seriously ill and unable to work.

Notice and Certification

Employees seeking to use FMLA leave are required to:

- Provide 30-days advance notice to the Human Resources Office of the need to take FMLA leave, when practical. The Human Resources Office will notify the supervisor of necessary action.
- Complete a Request for Family/Medical Leave form. FMLA leave requires a Physician Statement (DOL Form WH-380-E). *Required forms may be obtained from Department of Human Resources.*
- Meet with the Human Resources Director and provide periodic reports during FMLA leave regarding the employee's status and intent to return to work.

The employee may be required to obtain a second or third medical certification, at Heritage University's expense.

Sick leave **MUST** be used while on FMLA leave. When sick leave has been exhausted, the employee may elect to use his or her accrued vacation leave. Once all accrued leave has been exhausted, the remainder of the FMLA leave will be in an unpaid leave status.

Benefits Coverage during Leave

During the period of FMLA leave, an employee may retain health, dental, and life benefits under the same conditions that applied before the leave began. If an employee's share of insurance premiums cannot be deducted from his/her pay, the employee will be required to pay his or her share of insurance premiums each month while on leave. Failure to pay the employee share of the insurance premiums by the 1st of each month may result in loss of coverage.

Job Restoration

Upon return from FMLA leave, the employee will be restored to his or her original position or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. Heritage

University cannot guarantee that an employee will be returned to his or her original job. The employee's use of FMLA will not result in the loss of any employment benefit that the employee earned or was entitled to before using FMLA leave. In an unpaid leave status, however, the employee will not continue to accrue vacation or sick leave benefits.

Return from Leave

Employees must notify the Human Resources Office of their return to work date at least five (5) business days in advance of the return to work date. A statement from the employee's physician certifying that the employee is physically able to return to work is to be turned into the Human Resources Office on the employee's first day back to work. The employee is responsible for ensuring that the documentation is delivered to the Human Resources Office - either in person, via e-mail or facsimile. Upon receipt of the statement, the employee will be added to payroll if he or she was on leave without pay. In some cases, the employee may be required to provide a fitness-for-duty certificate prior to being restored to active status.

If an employee wishes to return to work prior to the expiration of FMLA leave, notification must be given to the Human Resources Office at least five (5) business days prior to the employee's planned return. The Human Resources Office is then responsible for notifying the employee's supervisor of the employee's status. The employee must provide medical certification that he or she is able to return to work earlier than expected.

Extension of Leave

An employee requesting an extension of FMLA leave due to the continuation, recurrence or onset of his or her own serious health condition or of the serious health condition of the employee's spouse, child or parent must submit a request for an extension in writing to the Human Resources Office. The maximum amount of FMLA leave that an employee may take during a rolling 12-month period is 12 weeks. The employee is required to notify the Human Resources Office as soon as it is determined that he or she will not be able to return from leave as originally planned. The Human Resources Office is then responsible for notifying the employee's supervisor of the employee's status.

411 Military Leave

Definition of Military Leave

Military duty, for the purpose of these regulations, includes any ordered military duty in the service of the United States. This includes schools conducted by the armed forces of the United States.

Duration of Military Leave

The University recognizes the nation's need for an adequate military and intends to abide by all applicable federal and state statutes for employees on Active Duty, National Guard or the Military Reserves. Employees must notify their supervisors at the earliest date possible by providing a copy of their orders and completing a Leave of Absence form.

According to federal and state requirements, the University will provide re-employment to employees returning from active military duty. To be eligible for reinstatement, the employee must have been employed in a regular position and the total amount of active duty cannot exceed five years.

Benefits during Military Leave

The employee on Military Leave may elect to exhaust accrued vacation leave hours prior to going on an unpaid leave status. During the period of military leave without pay, an employee may retain health, dental, and life benefits through COBRA under the same conditions that applied before the leave began. If an employee's share of insurance premiums cannot be deducted from his/her pay, the employee will be required to pay his or her share of insurance premiums each month while on leave. Failure to pay the employee share of the insurance premiums may result in loss of coverage.

Return from Military Leave

The employee must provide advance notification to the department and the Human Resources Office of the return-to-work date. The individual will be reactivated in payroll if the individual was on leave without pay status. The effective date will be the return to work date. Employees may be required to provide fitness-for-duty certification prior to being restored to active status.

Failure to return from leave for reasons other than a continued serious health condition may require the individual to repay the employer's contributions to healthcare premiums during the period the individual should have returned.

Leave for Spouses of Deployed Military Personnel

Spouses of military personnel deployed or on leave from deployment during times of military conflict are eligible to take up to 15 days of unpaid leave from work per deployment. The eligible employee may choose to use vacation accruals during this leave. Spouses of returning military personnel whose deployment orders have ended are not eligible for this leave. Employees must notify their supervisors at the earliest date possible by providing a copy of their spouses' orders and complete a Leave of Absence form.

412 Leave for Victims of Domestic Violence, Sexual Assault, & Stalking

Under Washington State law victims of domestic violence, sexual assault or stalking may take reasonable unpaid leave to seek medical treatment, counseling, legal or law-enforcement assistance. Family members may also take reasonable unpaid leave to help a victim obtain needed treatment or services. Employees must give advance notice when possible and will be required to use available leave accruals during this leave.

413 Maternity Leave

Disability due to pregnancy is considered as any other disability and appropriate sick leave provisions of these policies apply. See Sick and/or Family and Medical Leave for further information.

414 Educational Leave

The President or a designee may grant educational leave without pay to full-time employees who have at least 10 year of service at the time of requesting leave. Educational leave may not exceed one year at a time and is to be used for obtaining a degree or professional certification. Such approved leave allows the employee the right to elect to continue his or her group insurance benefits through COBRA election. Failure to pay the insurance premiums may result in loss of coverage.

415 Death in the Family

Regular employees working full-time (.75 FTE) or more who have a death in the immediate family may be allowed to use accrued sick leave for absences related to the death. Sick leave granted to employees in excess of five days for a death in the employee's immediate family requires a memorandum from the supervisor, prior to the leave being taken, explaining the circumstances to be submitted to the Human Resources Director for approval. If approved this memorandum should be attached to the employee's time sheet or *Time & Accountability* form filed for the absence. The immediate family in this instance includes the employee's spouse, domestic partner, parents, children, siblings, stepchildren, grandparents, grandchildren, aunts, uncles, foster parents and legal guardian and in-laws in the same categories.

Vacation and personal leave may be used for attendance of funeral services of non-immediate family.

Employees who work less than .75 FTE may be granted time off due to a death in the family. However, since such employees do not accrue sick or vacation leave, they will not be paid for time off due to a death in the family.

416 Court Duty

Court duty leave with pay is granted up to a maximum of 80 hours at regular pay rate to full-time employees working full-time (.75 FTE) or more for the purpose of serving on a jury or as a witness. Such leave is granted upon presentation of official documentation. A subpoena from the appropriate court to serve as a witness qualifies as documentation. A receipt from the appropriate court stating the number of days served qualifies as documentation for serving on a jury. In the event that an employee is required to serve on a jury that exceeds the 80 hours paid benefit, the employee will be placed on leave without pay status for the remaining jury service.

Employees may retain juror or witness fees paid by the court. An employee appearing in court related to a personal matter will not be granted leave with pay but may take vacation time, if available. An employee serving as an expert witness must take vacation time and it must comply with the "Conflict of Interest and Commitment" (See Section 100).

(SECTION 500)
WORKPLACE PRACTICES

501 Confidentiality

As an employee of Heritage University, you may encounter a variety of confidential matters regarding other employees, faculty, staff, students, clients, and donors. When doing so, it is your responsibility to maintain the highest level of privacy for your fellow employees and other members of the Heritage community.

FERPA

Family Educational Rights and Privacy Act (FERPA) of 1974 is a federal law designed to protect the privacy of education records and to establish the right of students to inspect, review, amend and restrict access to their education records. All policies and practices governing the collection, maintenance, review, and release of student education records are based on the principles of confidentiality and the student's right to privacy, consistent with the FERPA.

All members of the faculty, administration and staff must respect confidential information about students which they acquire in the course of their work. Contact the Registrar's office for a full copy of the University FERPA policy.

502 Work Schedules

The normal work week for full-time regular employees consists of 40 hours per week. Employees may on occasion, have to work more or less than forty hours per week. In these instances, advance notice will be provided when possible and the employee will be compensated for the hours worked in excess of 40 hours per week in accordance with the Fair Labor Standards Act. Work hours and days are determined by the needs of the University and will be communicated to the employee by the supervisor. There may be instances when the needs of the University dictate a change in schedule. This change will be communicated to the employee by the supervisor with at least two weeks notice where possible.

Breaks, including lunch or rest periods, will be communicated by the immediate supervisor. Breaks may not be skipped in order to leave early or come in late.

The University reserves the right to change work schedules as necessary to meet changing departmental needs.

Attendance

Each employee, exempt and non-exempt, is expected to adhere to his/her scheduled hours. If the employee is unable to report to work as scheduled for any reason, the employee should promptly notify his/her supervisor. It is not sufficient to leave a message with a co-worker nor should the notification be made by a friend or family member except under emergency situations. Such notification should be made as far in advance as possible.

Personnel Action Form

It is the responsibility of the supervisor to ensure that documentation reflecting salary payment is received in the Payroll Office in a timely manner. The supervisor must complete the Personnel Action Form (PAF) relating to salary payment. The completed and approved form must be received in the Payroll Office no later than 4:30 pm 15 days preceding the payday. PAFs received after the deadline may require an adjustment to the following paycheck.

Supervisors should ensure that all new-hire paperwork is completed within three (3) business days of the employee's start date.

Timesheets

Non-exempt hourly/temporary employees must submit a timesheet to record the hours worked per pay period. Regular non-exempt employees that must also submit a timesheet for hours worked in excess of 40 hours in a workweek. The current official workweek for all non-exempt employees begins at 12:00 a.m. Sunday morning and ends at 11:59 p.m. Saturday evening. Timesheets must reflect hours worked for each work week of the pay period and should include all absences taken in the pay period.

Blank timesheets are currently located on the L Drive under HR Forms. Timesheets must be filled out completely by the employee and signed by the employee and the supervisor. The supervisor is responsible for submitting the timesheets to Payroll and ensuring that the employee's and supervisor's signatures are on the document.

ALL TIME RECORDS MUST BE SIGNED BY BOTH AN AUTHORIZED REVIEWING AUTHORITY AND THE EMPLOYEE.

Time and Accountability Form

It is the responsibility of the exempt employee and non-exempt regular employee to complete a monthly *Time & Accountability (TA)* form for all absences taken during the month. This TA form must be signed by the employee and the supervisor and filed with Payroll **within eight (8) days of the beginning of the next calendar month**. The supervisor is responsible for submitting the TA form to Human Resources and/or Payroll and ensuring that the employee's and supervisor's signatures are on the document. TA forms must be submitted to Payroll on a monthly basis even if leave is not been taken. Failure to submit TA forms in a timely manner may result in loss of accruals for the month.

Meal and Rest periods

Full-time non-exempt employees receive a fifteen minute rest period the first half of their work shift and another fifteen-minute rest period the second half, and are limited to fifteen minutes of absence from the job. Part-time non-exempt employees receive a fifteen minute rest period for each four hours of continuous work time.

Employees **may not** forego rest periods to accumulate extra time off in the future or to make up for tardiness or previous absence. Rest periods may not be skipped in order to leave early or come in late.

Meal schedules may vary by department and can be adjusted to meet departmental needs. An unpaid meal period of one hour (30 minutes minimum) should be scheduled as close as possible to the mid-point of a work schedule greater than 5 hours.

Meal periods may be reduced to 30 minutes as part of a flex schedule but may not be forgone entirely.

Flexible Scheduling

Flextime allows for flexible scheduling arrangements that permit variations in starting and departure times, but does not alter the total number of hours worked in a workweek or workday and does not allow for working away from the office location. Flextime can be used to improve coverage and extend service hours.

Flextime is a privilege and may be discontinued, temporarily suspended or altered, with or without notice, at the sole discretion of the appropriate supervisor, Vice President or Dean when the work needs change or if service is impaired. Each request for a flextime schedule will be decided on an individual basis. All decisions should be consistent with Department practices.

503 Employee Records

The Payroll and Department of Human Resources, maintains for each employee a personnel file that contains vital employment information. To ensure that personnel records are up to date, it is the employee's responsibility to promptly notify Human Resources by completing a Personal Data Record/Change form of any changes in name, home address, marital status, number of dependents, telephone number, and person to notify in case of emergency. It is also important to notify Human Resources of scholastic achievements that may enhance your opportunities for advancement. The Personal Data Record/Change form is located on the L drive under HR forms.

Access to Employee Records

Employee personnel records are maintained by Human Resources. Employees may review their personnel file in the Human Resources office during business hours. Supervisors also may review the files of those employees for whom they are directly responsible. Contact the Human Resources office to schedule personnel record reviews.

Privacy of Health Information: Government regulations define standards to protect the privacy of health information. In the course of the employment relationship, an employee's health information may be used by the University when necessary for the administration of workers' compensation benefits or health insurance plan benefits. Employees may be asked to sign an authorization form to permit a Medical Provider or health plan to disclose health information to the University. Any such disclosure will only be used for the specific purpose of the disclosure and the University will take all reasonable precautions to protect the privacy of this information.

Disclosure of Information

As a service to employees, the Department of Human Resources will furnish upon written request of third parties outside the University an employee's dates of employment at the University and his or her title or position. In instances where payroll information is requested (e.g., salary information for the purpose of obtaining a mortgage), the requesting party will be advised that this information will only be made available with the written consent of the employee.

504 Employee Health and Safety

The prevention of accidents and the promotion of safety are the responsibility of everyone in the University community. Everyone is encouraged to be alert to and report any unsafe practices and conditions that may present an imminent danger to individuals or property. Employees should report these types of conditions to their immediate supervisor or to the Physical Plant and Maintenance Office.

Emergency Treatment

In the event of a serious or life threatening emergency, call 911 for immediate assistance. If the situation is not an emergency, Heritage University Security may be contacted 509-961-4674. If additional treatment is required, Heritage University has made arrangements with local medical facilities to provide care for employees. A list of all available providers should be posted in each department on campus.

The University encourages employees to seek all care and follow-up care from these medical facilities, even after an emergency room visit.

Campus Safety and Security Fire and Emergency Services

Each Heritage University building has fire evacuation plans posted in common areas. All employees are encouraged to become familiar with the escape routes for all buildings, the locations of fire extinguishers, hoses and alarms. In the event of a fire or evacuation, every employee should follow the fire safety evacuation route, vacate the premises and muster in a safe area until the officials in charge declare the premises safe to enter. Exits and areas around fire extinguishers must be kept clear at all times. Periodic fire safety inspections and drills are held to test equipment and procedures.

Employees are strongly encouraged to become familiar with the emergency action procedures associated with their work area and how Heritage University prepares for, responds to and recovers from a major emergency. A copy of the University Emergency Management Policy and Emergency Action Plan can be obtained through the Physical Plant and Maintenance Office.

Employee Right to Know

The Public Employee Hazardous Chemical Protection and Right to Know Act of 1988 were passed to help protect public employees from dangerous exposure to hazardous chemicals. In compliance with this law, Heritage University has established labeling, reporting and training procedures relating to the use of hazardous materials. All University employees have access to Material Safety Data Sheets (MSDS), which outline specific information about hazardous chemical materials.

As part of its responsibility as your employer, Heritage University has developed a written plan for implementing the Hazard Communication Program. All new hires are provided with an overview of the major elements of the Hazard Communication Standard and an understanding of the potential hazards of the chemicals they handle and the procedures to be used to ensure personal safety.

Heritage University requires the training of employees about hazardous chemicals, labeling of chemical containers, and the management of chemical information sheets (Material Safety Data Sheets). The intent of the training is to provide employees with the chemical health and safety information they need to help protect themselves and to work safely with hazardous chemicals. Deans, Vice Presidents, department chairs, business managers and supervisors are responsible for assuring that their employees are trained if they are covered by this regulation, that containers are labeled, and that an updated list of non-laboratory chemicals used in their work areas is maintained.

The manner in which Heritage University is complying with each of these requirements is detailed in the Hazard Communication Plan.

As an employee of the University, you must follow established procedures, attend a Hazard Communication training session (in some cases just reading this manual suffices), read chemical labels and Material Safety Data Sheets, and follow their instructions and warnings.

For information, contact the Safety Administrator located in the Physical Plant and Maintenance Office.

505 University Closing

In the event of inclement weather or any emergency that jeopardizes the safety of employees, the President or designee of the University may declare leave with or without pay. In the case of inclement weather, the following details the procedures for advising faculty, staff, students and community when weather conditions require closure or delay the opening of the University. These procedures will apply to both weekday and weekend activities. The communications protocols for closures or delayed openings of the University during periods of inclement weather are described below:

- If snow or ice falls during the night, the decision to close or delay opening will be communicated through the following media: the Heritage emergency notification system.
- If snow or ice conditions develop during regular daytime working hours and a decision is made to cancel classes and close offices, the University community will be notified via email and the Heritage emergency notification system.

Web Site Notification

University closings will also be posted on our web site at www.heritage.edu. We will do our best to inform employees as early as possible about the University's operating status during periods of inclement weather.

506 Use of University Services and Property

The University strives to maintain the highest standards of personal and business ethics and professional conduct. As an employee, you are required to do the same. Your daily activities on behalf of the University should always be carried out in an ethical and legal manner and conflicts of interest should be avoided.

Use of Heritage Stationery

Heritage University stationery is intended for University business and must not be used by staff members for personal or non-University correspondence.

Use of Telephones

The use of all telephone services should be limited to official University business only. Telephone calls should be handled in a prompt and courteous manner, and University telephone lines must be kept clear for business calls.

Using office phones for personal long distance calls is a violation of University policy. Employees may not make personal long distance calls with the intention of repaying the University at a later date.

Use of Campus Mail

Employees may not use the Campus Mail services for personal mail. This service is staffed to handle only official University correspondence; its use for other purposes slows down delivery of official mail. While the Campus Mailroom Staff does not ordinarily inspect individual letters and packages for conformance to this policy, they are required to call to the attention of proper department manager any apparent violations.

University Equipment

Electronic mail, voice mail, fax machines and copiers should be used for official Heritage University business only. Employees should understand that electronic mail and voice mail messages are not secure and therefore should not be assumed to be private.

Computer Usage

Heritage University equipment including computer hardware and software are valuable assets. They should be used for official Heritage University business only. Although every effort is made to secure the privacy of each authorized user, messages or files stored on the computer or system network should not be considered to be entirely private or secure. Heritage University reserves the right to have access to any information stored on a University owned computer or network. Under no circumstances may software be copied or installed on a Heritage University computer if such copying or installation would violate any copyright or licensing agreement. All system users are expected to follow the guidelines outlined in the "Computer Use Policy" published by Information Systems and Technology.

507 Business Activities

Employees who supplement their earnings by the promotion or sale of products and services do so entirely on their own initiative and without implied approval or endorsement by the University. All such activity,

including sampling, soliciting orders, and deliveries, must be conducted entirely outside of working hours and entirely outside of University property.

508 Children in the Workplace

It is expected that employees will not bring their children to work during the employee's scheduled work hours. In addition, children may not be cared for in the workplace. Other arrangements must be made. Employees bringing children to work may be asked to leave and be required to use accrued leave.

509 Visitors

It is expected that employees will not receive personal visitors during working hours or in staff working areas.

510 Pets

Health, safety, and courtesy reasons preclude the presence of pets in the workplace, except approved service animals.

(SECTION 600) STAFF DEVELOPMENT

601 Performance Evaluations

Heritage University has established a system of performance evaluations for all exempt and nonexempt employees. These evaluations are used for making decisions regarding transfer, promotion, demotion, retention, supervisory assistance, employee training and development, and salary. All full-time regular employees are evaluated by the immediate supervisor or department head on an annual basis, no less frequently than in twelve month intervals. The supervisor or department head is not restricted to the listed categories on the Evaluation form as criteria for performance evaluation.

Employees in the six-month provisional period will have an informal written evaluation after and the completion of six months. Evaluations may occur prior to the completion of the six-month provisional period if the supervisor sees it necessary.

602 Training and Development Programs

The University recognizes that training and development programs improve individual and organizational performance and help the University achieve its overall institutional goals. Employees should develop, with their supervisors, plans to enhance skills and prepare for continually evolving responsibilities in their positions.

Since professional development is part of all employees' performance expectations, supervisors should plan for and allow release time from work for training programs determined to be mutually beneficial for employees and the University. Such release time should be granted to employees in a fair and equitable manner, regardless of experience, educational background, or job title.

Many work-related training programs are provided on campus by the Human Resources Department. Employees may register for training by registering when the training is announced. The Human Resources Office can assist departments with coordinating in-house customized training opportunities to meet their specific needs.

All training that will be attended during work hours must be approved by the supervisor before attending. The supervisor must verify that the employee's attendance will not adversely affect department services.

603 Auditing Courses at Heritage (Non-Credit Courses)

A full-time employee may audit classes without paying the usual tuition and fees. This benefit is contingent upon approval by the course instructor and area Vice President.

Approvals for Auditing Courses

In most circumstances, courses should be taken outside of normally scheduled working hours. However, if the course is not offered at that time and the employee wishes to take the course during working hours, the employee must have the approval of his or her supervisor and the Human Resources Director. The supervisor must verify that the employee's attendance in class will not adversely affect department services. The employee will be expected to take vacation or make up any time spent in class and away from the designated work area.

(SECTION 700)
DISCRIMINATION & HARASSMENT COMPLAINT PROCESSES

701 Discrimination or Harassment Complaint Process

Heritage University is committed to creating and maintaining a community in which students, faculty, staff and other employees, can work together in an atmosphere free of discrimination and discriminatory harassment. The University encourages complainants to avail themselves of counseling services prior to and during the pursuit of informal and formal procedures. At Heritage we seek to provide an environment that not only complies with state and federal laws, but which also encourages respectful and professional treatment of each individual.

The Human Resources Department serves as a resource for potential complainants and provides an investigatory function for discrimination complaints. One of the responsibilities of the Human Resources Department is to uphold the laws that prohibit discrimination in education and employment. It is illegal to discriminate against a person because of that person's national origin, race, color, sex, religion, age or disability.

Informal Resolution Process

Employees are encouraged to participate in an informal resolution process. As an initial step, where possible and comfortable, discriminating or harassing conduct should be discussed with the offending person, since individuals are sometimes unaware of how their words or actions are perceived by others. In any case, inappropriate behavior, whether directed toward oneself personally, toward another individual, or toward a generalized class of individuals should not be tolerated.

In the event that any of these informal processes are not successful, the employee may initiate a formal complaint through the Human Resources Department.

Formal Complaint Process

To begin the formal complaint process, the employee must contact the Human Resources Director. The initial interview serves the purpose of establishing that the complainant is a Heritage University employee and that the complaint may involve an illegal act of discrimination or retaliation. If the alleged facts do not constitute a prohibited form of discrimination, informal resolution procedures are still available to the employee.

Whether the complaint arises from a single incident or from a pattern of behavior, the employee should contact the Human Resources Director as soon as possible.

If an employee wishes to file a formal complaint, the employee must complete an Employee Complaint Intake Questionnaire. The employee may do so by contacting the Human Resources Director. After the Employee Complaint Intake Questionnaire has been completed and signed by the employee, the investigation will begin. Based on information from the employee, the other parties involved, the witness interviews, and all relevant and supporting documentation, a determination will be made as to whether there is cause to believe that statutes and/or policies as they relate to discrimination have been violated.

Once a determination has been made, the employees who are directly involved and appropriate officials will be contacted to discuss the findings of the complaint.

(SECTION 800)
EMPLOYEE PERFORMANCE AND CONDUCT

The concepts discussed in section 800 (Employee Performance and Conduct) do not modify the "at-will" employment relationship, but provide information consistent with our employment philosophy.

801 Performance Policy

Heritage University supports a consistent, continued and communicated performance management process. A formal, written performance evaluation should be completed at least once every fiscal year. The performance evaluation should include but not be limited to an evaluation of the employee's job knowledge, accuracy and quality, customer service, attendance and punctuality, productivity, supervision required, adaptability, organizational skills, communication skills and interpersonal relations/teamwork.

802 Performance Expectations

Supervisors should provide employees with a job description, related performance expectations, and a copy of the evaluation instrument. The job description should be reviewed with the employee to ensure that it accurately reflects current responsibilities and expectations. The Heritage University Performance Evaluation Form must be used by the evaluator in evaluating his/her direct subordinates.

803 Performance Evaluations

The job performance of each Heritage University staff member should be appraised:

- During the provisional period (first six months of employment) for new University employees.
- Once a year for Regular Employees outside of their probationary period.

Performance Evaluation Forms are currently available on the L drive in HR forms. Completed evaluations, signed by the supervisor and the employee, are to be submitted to the corresponding Vice President and to the Department of Human Resources between May 1st and May 31st.

Interim Evaluation

Supervisors are encouraged to give continuous and ongoing feedback to employees as it relates to their performance. If deemed necessary by the supervisor or requested by the employee, an interim performance evaluation during the evaluation period may be conducted. This evaluation does not have to be formal, but should provide feedback to recognize and reinforce positive performance, to identify areas needing improvement, and to develop an improvement plan when necessary. This evaluation should be documented for the record.

804 Conduct Guidelines

Each employee must be responsible for his or her own behavior. Common sense, good judgment, cooperation, and appropriate personal behavior are part of the essential responsibility of every employee at Heritage University.

Examples of Inappropriate Conduct

Across Heritage University, there are common themes for performance. Though jobs may vary across the University, there are some common conducts that are unacceptable. The following are examples of inappropriate behavior:

- Falsification of employment or other records, including timesheets
- Working under the influence of alcohol or an illegal substance
- Inappropriate handling or disclosure of confidential information or records
- Submission of falsified claims under the University's medical or other insurance plans
- Excessive absenteeism or lateness or job abandonment
- Sleeping on the job
- Failure to maintain professional standards or conduct with clients and co-workers
- Neglect of duty or failure or refusal to perform job-related duties and assignments
- Illegal manufacture, possession, use, sale or distribution of drugs, or use of alcoholic beverages on University premises
- Refusal to cooperate with a Heritage University investigation
- Larceny, misappropriation, or unauthorized possession or use of property belonging to Heritage University or any employee or visitor
- Creating unsafe conditions or contributing to such conditions by act of omission
- Misappropriation of departmental or organizational funds
- Unauthorized possession, copying or use of the University records to unauthorized persons
- Threatening, intimidating, harassing or coercing of another employee
- Gambling on University premises or while engaged in University business
- Violation of the University nondiscrimination or sexual harassment policy

The conduct listed above is not an exhaustive list of inappropriate conduct. In addition, employees participating in such conduct will be subject to disciplinary action including termination.

805 Progressive Discipline

The Progressive Discipline process is designed to be constructive and corrective and to promote employee success. It gives employees the information necessary to understand what aspect of work performance, attendance and/or behavior is unacceptable, identifies the improvements that are expected, and provides the opportunity for employees to demonstrate the expected improvements. The goal is to improve

performance, attendance, or behavior of employees and to assist employees in taking ownership of their performance, attendance, or behavior.

It is the responsibility of the employee to adhere to the expectations outlined by the supervisor and to adhere to the standards of conduct.

It is recommended that all employees be provided an opportunity to go through the progressive discipline process; however, there are circumstances that warrant immediate termination. In addition, there is no required number of instances that a supervisor must warn or counsel an employee before termination is warranted.

806 Progressive Discipline Steps

It is recommended that department management document all steps of the corrective discipline process as they occur, as well as warnings of further corrective action if the unacceptable performance and/or behavior is not corrected. The Human Resources Director should be notified of all progressive discipline steps.

In each step, department management is advised to state the next step to be taken if the performance does not improve. However, at the discretion of University administration, the employee may be immediately terminated, or suspended from the work force.

When an employee's performance or behavior is unsatisfactory, a progressive process is usually warranted. The steps involved in the process may include verbal discussion, written warning, and termination. Any disciplinary step may be omitted at the discretion of University administration.

Verbal Notice

The initial notice should be verbal, whenever possible. The discussion should be firm but fair and should ensure that the employee clearly understands the established standards and expectations with respect to the unacceptable performance or behavior.

A written record of the date and content of such discussions should be maintained in the appropriate files in the department. A written communication may be used to communicate expectations of the employee.

Written Notice

Written warnings may follow a verbal notice that does not result in the needed improvement or be used if the initial problem requires stronger action. The written warning outlines the undesired behavior, states expectations and lists consequences if issues continue.

Department of Human Resources is available to assist department management with the communication process. Copies of the warning letter should be provided to the employee and also sent to Human Resources to be placed in the official employee file.

Dismissal Action

Prior to dismissing an employee, the department manager should review the situation and related information with the Human Resources Director and supply appropriate documentation.

807 Job Abandonment

When an employee does not report to work for three consecutive, scheduled workdays and does not communicate with the department as to his/her whereabouts or intentions regarding the job the department may terminate the employee for job abandonment. Prior to taking such action, department leadership is advised to contact the Human Resources Director and make reasonable efforts to contact the employee to determine the employee's intentions regarding the job.

Termination Procedure for Job Abandonment

After it has been determined by the manager that an employee has abandoned his/her position (has not shown up or called into work for three consecutive scheduled workdays) the manager should take immediate action. The manager should work with the Human Resources Director to conduct the following procedures (these procedures should be followed within 24 hours of determining an employee has abandoned their job):

- Contact Human Resources to draft a termination letter to the employee and to discuss other steps that need to be taken in the termination process (i.e. Clearance Form, return of equipment, etc.)
- Contact IT to restrict access to Heritage University Systems

- Contact Physical Plant and Maintenance office to determine if locks need to be changed or if additional keys are needed for the department

808 Personal Appearance

Heritage University is a varying environment where one person may be required to care for campus grounds and another person may be required to meet with elected officials. Because of the varying degrees of performed duties on campus it is difficult for the University to have one uniform dress code. However, Heritage University is a professional organization with a high level of visibility in the community. Our premises are visited by state/elected officials, students, clients and guests on a daily basis. Discretion in style of dress and behavior is essential to the efficient operation of the University. Employees are, therefore, required to dress in appropriate attire and to behave in a professional, business-like manner. Please use good judgment in choice of work attire and remember to conduct yourself at all times in a way that best represents you and the University.

809 Work Environment Appearance

Employees are required to keep their work environments clean and orderly. Before departing work, employees should lock all files and cabinets and clear work materials from desk surfaces. Materials of a sensitive or confidential nature must be secured.

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