



UNIVERSITY
of NORTH
ALABAMA

**STAFF AND SERVICE EMPLOYEES'
PERSONNEL HANDBOOK**

*Prepared by the
Office of Human Resources and Affirmative Action*

Adopted by the
UNA Board of Trustees
March 7, 1994

**UNIVERSITY OF NORTH ALABAMA
STAFF AND SERVICE EMPLOYEES' PERSONNEL HANDBOOK**

STATEMENT OF PURPOSE, ROLE AND GOALS

The University of North Alabama is a comprehensive regional state university, offering undergraduate and graduate degrees and serving the educational needs of students through all appropriate means of delivery. The University shares the broad purpose of all institutions of higher learning for the discovery, preservation and transmission of knowledge through teaching, research and public service. Within this broad purpose the University recognizes an obligation of service to the people and the needs of the state and the region. Toward the fulfillment of its purpose and role the University seeks to provide:

- ✚ a quality foundation of common knowledge, skills and insights based on general studies to meet the students' needs for academic advancement, vocational attainment, responsible citizenship and personal fulfillment;
- ✚ a broad range of quality academic programs to prepare students to succeed in general, professional and career fields founded in the arts and sciences, business, education and nursing and allied health;
- ✚ a university environment which serves as a source of pride, which supports and complements academic preparation and which extends the students' opportunities for intellectual, personal, ethical and social development;
- ✚ an intellectual climate which promotes critical and independent thinking and a free and open exchange of ideas;
- ✚ emphasis on and support for a high standard of excellence in teaching;
- ✚ aesthetic and cultural enrichment and activities for the surrounding community;
- ✚ support to individual and institutional basic and applied research which are integral to effective teaching and learning as well as to the University's fulfillment of its obligations for the general expansion of knowledge and for the economic development of the region and the state;
- ✚ extended access to the University's public service resources and programs in the interests of occupational advancement, personal enrichment and community needs; and
- ✚ world wide access to high quality distance learning opportunities.

The University goals flow from and complement the Statement of Purpose and Role. These measurable goals are as follows:

- ✚ to offer general education programs which will provide students with a broad foundation of common knowledge, basic skills and cultural insight;
- ✚ to graduate students who are competitive in their major fields and who demonstrate mastery of their subject areas;
- ✚ to provide library/informational resources and other support functions which include technologies, materials, facilities and services needed for quality teaching, research and public service;
- ✚ to recruit and retain a diverse student population that indicates admission without regard to age, color, disability, national origin, race, creed, sex or religion;
- ✚ to maintain an administrative system, including university advancement, which will support the attainment of institutional goals through effective management;
- ✚ to provide student-life programs, activities and services that complement academic preparation and extend student opportunities;
- ✚ to provide a campus environment that serves as a source of pride and supports and complements the concept of a university community;
- ✚ to provide an intellectual climate which promotes critical and independent thinking, innovative programs and a free and open exchange of ideas;
- ✚ to recruit and retain a diverse and highly qualified faculty who demonstrate excellence in teaching, in scholarly activities and in public service;
- ✚ to recruit and retain faculty and staff without regard to age, color, disability, national origin, race, creed, sex or religion;
- ✚ to extend access to university programs which will maintain a positive university-community relationship;
- ✚ to provide university research and public service support for economic development, which enhances the region and the state; and
- ✚ to offer high quality distance learning opportunities with world wide access.

MESSAGE FROM THE PRESIDENT

The continued success of the University of North Alabama in reaching its goals is, to a great degree, dependent upon an efficient work force, a cooperative and dedicated effort of all personnel working as a team, and pleasant working conditions.

The University endeavors to maintain a highly qualified and motivated work force that will accomplish its goals and to create a work environment in which working conditions will be beneficial to the University and its employees. The contribution of each staff and service employee is, therefore, vital to the success of the entire institution.

Whether you are a new employee or have been with the University for years, you have an important part to play in the present and future of the University. You were selected for your position because of your unique qualifications, skills, abilities, knowledge, and potential for contributing to the University's success. You should take pride in the accomplishments of all of those who have contributed so much to this unique institution.

Further, all employees of the University are expected to be goodwill ambassadors and recruiters for the University. I personally hope that in every contact you make with prospective students, current students, other University employees and the public, you will promote the University and what it offers to students, the community and the region.

To maintain the requisite working conditions and facilitate the University of North Alabama in reaching its goals, the University has certain policies, rules, and regulations which govern employee conduct, relationships, and work performance. The provisions governing faculty terms and conditions of employment are contained in the Faculty Handbook and those governing staff and service employees are contained in this Staff and Service Employees' Personnel Handbook (subsequently referred to as the Staff Handbook). The purpose of these provisions is to protect the rights and increase the safety and wellbeing of all, to help people work together harmoniously, and to enhance the work performance of all employees. The provisions in this Staff Handbook define the rights and responsibilities of staff and service employees of the University. It is important that you know not only that the regulations exist, but also that you understand why they are important to the University and how they benefit you as an employee.

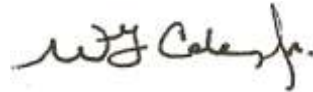
As a good employer, the University of North Alabama provides a benefit package for its employees which includes: paid leave, holidays, sick leave, annual leave, and various other categories of leave; retirement benefits; and financial safeguards against the hazards of death, sickness, and accident.

A summary of the University of North Alabama's personnel policies and procedures, and employee benefits is presented in this Staff Handbook. It serves as a means of relating to employees the established rules which they are expected to observe in the workplace. It also serves as a useful guide and reference on matters pertaining to the University-employee relationship. Supplemental work rules and behavioral

requirements will be passed on to you by your supervisor. If you need further information about any aspect of your employment, feel free to contact your supervisor, department head, or a member of the Office of Human Resources and Affirmative Action.

I solicit your support in keeping the University of North Alabama a superb institution of higher learning and a great place to work.

Sincerely,

A handwritten signature in black ink, appearing to read "W.G. Cale, Jr.", written in a cursive style.

William G. Cale, Jr.
President

June
2006

UNIVERSITY OF NORTH ALABAMA
STAFF AND SERVICE EMPLOYEES' PERSONNAL HANDBOOK
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**UNIVERSITY OF NORTH ALABAMA
STAFF AND SERVICE EMPLOYEES' PERSONNEL HANDBOOK**

SECTION 1

INTRODUCTION

1.01 GENERAL

The Staff Handbook is designed to furnish University of North Alabama staff and service employees with information about personnel administration and to answer questions that the employee may have concerning everyday operations. It is an informal means of informing the University's employees of the many important aspects of their relationship with the University. The Staff Handbook is used as a vehicle for bringing personnel policies and procedures to the attention of university employees. It also serves as a means of informing employees of the major fringe benefits offered by the University.

The personnel policies, procedures, and benefits outlined in the Staff Handbook have been formulated to: assure that all staff and service employees of the University of North Alabama receive fair treatment; establish standards of performance; provide the framework upon which work requirements, employee behavior, and self-discipline can be established; and provide a summary of benefits available to university employees. The policies and procedures set forth herein supersede those contained in previous editions of the University of North Alabama Staff and Service Employees' Personnel Handbook. However, the Staff Handbook is not intended to be a contract of employment.

The Staff Handbook is organized into ten major sections:

(1) Introduction

(2) Major Employment Policy Statements

(3) Employment Policies

(4) Rules and Disciplinary Action

(5) Employee Conduct

(6) General Information

(7) Fringe Benefits

(8) Facilities, Services and Activities

(9) Forms

(10) Appendices

The Table of Contents section of the Staff Handbook summarizes the areas covered under each major section and indicates where they are located in the Staff Handbook.

As an employee of the University, you are expected to become well informed about the organization within which you will be working. This includes, but is not limited to, its employment practices, benefits, privileges offered, the facilities, and the responsibilities you will be expected to accept. The Staff Handbook provides a useful source of information pertaining to university personnel policies and procedures, and benefits.

Please study this *Staff Handbook* carefully and keep it for your permanent use as a reference.

All staff and service employees are obligated to comply with university personnel policies, procedures, work rules, and regulations as a condition of continued employment.

While the University has made every effort to anticipate your questions, it is possible that you may encounter special problems or particular situations which are not thoroughly covered herein. In some instances, the information provided is necessarily presented in abridged or summarized form. Because the scope and diversity of the University preclude full coverage in any one document, reference to other university publications is required for additional information and guidance. Never hesitate to discuss your questions with your immediate supervisor, your department head, or the staff in the Office of Human Resources and Affirmative Action.

1.02 CHANGES

University programs, policies, procedures, benefits and services (as described in this and other university publications) are developed through established processes and must be responsive to the dynamic and ever-changing circumstances of the university enterprise. Therefore, the provisions of the Staff Handbook are subject to change, as necessary, in accordance with procedures established by the Board of Trustees.

This loose-leaf edition of the Staff Handbook will be updated as necessary. As changes occur and receive official approval, they will be put in writing and communicated fully to the staff and service employees, who can then add them to their copies of the Staff Handbook.

1.03 CLARIFICATION OF POLICY

Because changes occur more rapidly than this or other publications can accommodate, determinations of applicable policy and procedure at any given time, as well as determinations on any ambiguities of substance or interpretation, remain the responsibility of appropriate university officials.

1.04 APPLICATION OF HANDBOOK

The provisions of this Staff Handbook are general guidelines that the University intends to apply in every applicable case. None of these provisions is intended, however, to induce continued employment or be an offer of a contract of employment for a definite duration. Additionally, these provisions do not constitute an employment contract or create a property interest under Alabama or federal law. All employment contracts with university employees are in the form of a separate document and must be in writing and signed by the President of the University.

1.05 HANDBOOK COMMITTEE

To provide a vehicle for consultation between the staff and service employees and university officials regarding changes to and interpretations of the Staff Handbook, a standing Staff and Service Employees' Personnel Handbook Committee has been established. The committee consists of seven or more members appointed by the President. This committee is chaired by the Director of Human Resources and Affirmative Action. Recommended changes to the Staff Handbook should be forwarded to the Office of Human Resources and Affirmative Action.

1.06 BOARD OF TRUSTEES

The governing control of the University is vested in a Board of Trustees established by action of the State Legislature (HB 650, Act No. 773, September 9, 1967, Alabama Code Section 16-51-1 through 16-51-15 [1975] [1987]). The Board is composed of the Governor as president *ex officio*, the State Superintendent of Education as a member *ex officio*, and nine members--six within the area comprising the fourth and fifth congressional districts and three from the State at large. The trustees are appointed by the Governor, by and with the advice and consent of the State Senate, and hold office for a term of 12 years or until their successors are appointed and qualified.

The President of the Student Government Association serves as a nonvoting, *ex officio* member at the pleasure of the Board.

1.07 UNIVERSITY ORGANIZATION

The current organization for the internal administration of university affairs is reflected in the organizational chart depicting the structure of administrative units and positions, and the appropriate lines of authority and responsibility. (See Appendix A.)

Under the policies and regulations approved by the Board of Trustees, the President of the University is vested with the authority and responsibility for the executive management of university affairs and is directly accountable to the Board. The President serves as secretary to the Board of Trustees and as the medium through which all official communications concerning the University are presented to the Board of Trustees (as specified in the Bylaws of the Board of Trustees adopted on June 17, 1991).

The administrative structure is divided into four areas: business affairs, academic affairs, student affairs and university counsel, and university advancement. Each area is headed by a vice president. The Vice President for Academic Affairs also serves as Provost of the University. In the absence of the President, the Provost serves as the Chief Administrative Officer of the University.

1.08 MAP OF THE UNIVERSITY OF NORTH ALABAMA CAMPUS

See Appendix B.

1.09 HISTORY OF THE UNIVERSITY OF NORTH ALABAMA

See Appendix C.

SECTION 2

MAJOR EMPLOYMENT POLICY STATEMENTS

2.01 EQUAL EMPLOYMENT OPPORTUNITY POLICY

It is the policy of the University of North Alabama to afford equal opportunities in education and in employment to qualified persons regardless of age, color, creed, disability, national origin, race, religion, or sex in accordance with all applicable federal and state constitutions, laws, and valid regulations. The coordinators for nondiscrimination policies are: for students, the Vice President for Student Affairs and University Counsel, Bibb Graves Hall, or telephone 205-760-4235; for employees, the Director of Human Resources and Affirmative Action, Bibb Graves Hall or telephone 205-760-4291. Any alleged violations of this policy should be reported immediately to the appropriate coordinator. No student, faculty member, or other university employee will be treated adversely or retaliated against for the use of this policy.

To comply with the declaration set forth above, the University will, in all solicitations and advertisements for employees placed by or on behalf of the University, state its position as an equal opportunity employer. The University will broadly publish and circulate its policy of equal opportunity by inclusion in all correspondence, media communication, and printed matter for employment purposes. The University will engage the services of only those professional organizations, employment agencies, contractors, or agents whose policies are in accordance with the equal employment opportunity policy of the University. The University is expressly committed to a program of maintaining and promoting nondiscrimination in all aspects of recruitment and employment of individuals based on qualifications, merit, and professional ability, and in conformance with all current legal requirements. All personnel actions and programs will be administered in accordance with the equal employment opportunity policy, including: recruitment, transfer, termination, layoff and recall; determination of wages; terms, conditions, and benefits of employment; and selection for training or retraining. The University will consider, through appropriate and designated grievance procedures, the complaint of any member of the university community who has reason to believe that he or she has been affected by discrimination because of race, color, religion, sex, age, disability or for any other unlawful reasons.

2.02 MANAGEMENT RIGHTS

The University values and solicits the opinions of its employees, individually and through cost center heads, about working conditions, ways and means of performing assignments more efficiently, and other matters of interest to fellow employees and the University.

However, the University, in recognizing and accepting its responsibility to provide the necessary atmosphere to assure quality work performance and working conditions, must have the flexibility to make decisions without employee consultation.

Therefore, the University must maintain exclusive discretion to exercise the customary functions of management, including but not limited to: the discretion to select, hire, promote, suspend, dismiss, assign, supervise, and discipline employees within legal limits; to determine the work schedule; to determine the size and composition of the work force; to establish, change, and abolish policies, procedures, rules, and regulations; to determine and modify job descriptions and job classifications; and to assign duties to employees in accordance with the needs and requirements determined by the University.

2.03 EMPLOYMENT STATUS

University of North Alabama staff and service employee positions carry "at will" employment status. This means that the term of employment is indefinite and that an individual's employment and compensation can be terminated with or without cause at any time at the option of either the University of North Alabama or the employee. Further, no manager or representative of the University of North Alabama, other than the President, has any authority to enter into any agreement affecting the terms and conditions of employment.

2.04 EMPLOYEE RIGHTS AND RESPONSIBILITIES

University of North Alabama employees are accorded certain rights, benefits, and privileges under current policies, but they also have responsibilities and obligations to the University. These responsibilities include being fully productive and effectively performing assigned duties within the constraints of the applicable policies, procedures, rules, and regulations.

2.05 PERSONNEL PHILOSOPHY

The personnel policies of the University of North Alabama are based on the belief that the success of the University is primarily dependent on its employees. Therefore, it is the policy of the University to:

- A. Endeavor to employ the best qualified person available for each position;
- B. Provide an equal opportunity to all qualified employees and applicants;
- C. Maintain personnel policies for its employees which are fair, equitable, and free from bias and discrimination in any form; and treat each employee as an individual deserving of fairness;
- D. Establish appropriate objectives or standards for each position within the University;
- E. Review the performance of all employees, to inform them of their status, and to provide them with continuous guidance to help them progress in their positions;

- F. Give each individual the opportunity to develop to the limit of his or her ability in the job for which he or she has been hired, and encourage those with initiative who are constantly industrious, loyal, cooperative, and honest;
- G. Pay employees a fair salary in accordance with availability of funds, taking into consideration prevailing rates in the applicable labor market;
- H. Maintain a prudent and comprehensive benefits program;
- I. Create an efficient environment by maintaining good physical working conditions and fostering harmonious relations among employees;
- J. Provide training, education, staff development activities, and promotional opportunities;
- K. Provide channels of communication to all staff and service employees, and encourage communication from them; and
- L. Instill pride in its employees that the University of North Alabama is an excellent place to work.

SECTION 3

EMPLOYMENT POLICIES

3.01 JOB DESCRIPTION

A job description shall be prepared for each position at the University of North Alabama. The job description will serve as written documentation of the major responsibilities delegated to the employee and a delineation of duties to carry out these responsibilities. The job description will accurately identify and describe the work content of the job, determine what requirements the job makes on the job holder, and state the qualification requirements of the job holder. Preparation of the job description shall be based on facts secured about the job through a job analysis.

Employees' jobs frequently change; thus job descriptions periodically require change also. Therefore, a job description should not be considered a rigid set of tasks preventing flexibility in adapting to changing job requirements or the performance of unlisted tasks as required. The performance standards for each employee should be derived from the job description.

As a condition of employment and of continuation of employment, any employee may, at the University's discretion, be transferred temporarily to "fill-in" or "help-out" personnel in other departments or offices as situations require.

3.02 EMPLOYMENT PROCEDURES

Policies and procedures for recruitment and selection may be obtained from the Office of Human Resources and Affirmative Action. As part of the hiring action, an employee signs an employment letter from the President which outlines the conditions of employment and constitutes a contract of employment.

3.03 CRIMINAL BACKGROUND CHECKS

In order to verify the pertinent backgrounds of individuals before being hired into positions at The University of North Alabama, effective September 1, 2007, the University will conduct a pre-employment background check as part of its employment procedures. The University will contract with an outside agency that will perform the background checks. The cost for the checks will be borne by the University. At minimum, a criminal records search and verification of social security number will be required for all recommended candidates for faculty and staff positions*. As such, the background checks will be conducted by the Office of Human Resources and Affirmative Action (HRAA) only upon receipt of a recommendation to hire a candidate for a position. A pre-employment credit history check will be conducted for selected candidates for, but not limited to, the following positions:

- Senior and executive level management positions
- Positions with access to university financial and/or sensitive information, records/databases
- Positions handling cash and checks on a regular basis

Job postings for positions subject to background investigations will contain notification to applicants that, prior to hiring, the final candidate must successfully pass a pre-employment background investigation. As a general rule, the results of the investigation must be received before an offer of employment can be made. However, under extreme circumstances, an offer of employment may be made prior to the completion of the background check provided the contract states that employment is contingent upon a satisfactory report. For this particular situation, the contract must contain the following statement: "This offer is contingent upon the completion of a background investigation which reveals satisfactory results." Although the offer may be made in this manner, the employee may not begin work in any capacity for the University without a completed satisfactory background investigation. Background Investigation Procedure Upon receipt of a recommendation to interview candidates for a position, the Office of HRAA will provide the selected candidates with the proper disclosures and "Authorization to Release Information/Request for Background Check" form. *Background investigations for Teachers at Kilby School and for Public Safety Officers will continue to be conducted by their respective departments according to state requirements.

Although a background check will include, at minimum, a criminal history and social security number trace, and, for some positions, a credit history, it is the responsibility of the recommending official to check employment and/personal references and to verify required professional licenses and certifications prior to a formal background investigation request being submitted. Academic degrees will continue to be verified through official transcripts which will be maintained in each selected candidate's personnel file. If required for a particular position, a Motor Vehicle Report (MVR) may be requested by the recommending official. If a background check shows possible disqualifying information, the Office of HRAA, in consultation with the recommending official and his/her respective Vice President, will determine whether to exclude the candidate. In making this determination, the following factors should be taken into consideration: the nature and details of the conviction, the length of time that has passed since the offense occurred, how the crime relates to the responsibilities of the position, and any evidence of rehabilitation. However, the President reserves the right to make the ultimate decision concerning the disposition of each candidate. If the possibility of adverse action exists, the Office of HRAA will provide a Pre-Adverse Action Notice along with a copy of the consumer report and a notice of rights to the candidate. The candidate has a minimum of five business days to refute information with the provider. If the candidate fails to respond in a timely manner to remove or to clarify the disqualifying information, the recommending manager will be notified by the Office of HRAA, and he/she may proceed with the selection process and recommend another candidate. If the decision is made not to hire the candidate, a Final Adverse

Action Notice is mailed or emailed to the candidate by the Office of HRAA explaining the reason for not hiring. Background checks revealing misrepresentations may be grounds for immediate rejection of the application. All information received in the background investigation process will be maintained in confidential, secure files, separate from employee personnel files, with access allowed only to those who have a need to know. *Approved by Executive Council May 14, 2007*

3.03 EMPLOYEE STATUS CLASSIFICATIONS

All employees are classified at the time of employment as: (1) probationary; (2) full-time regular; (3) full-time regular with designated off-periods; (4) half-time regular with designated off-periods; (5) half-time regular; (6) three-quarters' time regular; (7) part-time regular; (8) full-time temporary; and (9) part-time temporary. Each category of employment is entitled to different levels of benefits as explained in Section 7 of this handbook.

In addition to categorization in one of the employee status classifications, all jobs are rated as exempt or nonexempt for overtime purposes of the Fair Labor Standards Act. (See Paragraph 3.06 for further details on the Act.)

- A. Probationary Employee:** A nonexempt regular employee is required to serve a three-month probationary period. Therefore, if a regular employee has not completed three months of employment, he or she is on probation.
- B. Full-Time Regular Employee:** An employee who has an indefinite appointment and works 40 hours per week for 9, 10, or 12 months per year.
- C. Full-Time Regular Employee with Designated Off-Periods**
 - 1. An employee who has an indefinite appointment and generally is employed for 12 months a year with designated off-periods.
 - 2. The employee with designated off-periods is considered a full-time employee and is paid in 12 monthly checks.
 - 3. The employee is off-duty with pay during all periods when students are not on campus for a formal registration period or attending classes. The last day of classes is considered the Friday following the last scheduled examination.
 - 4. The University reserves the right to request, through the Office of Human Resources and Affirmative Action, that the employee work during off-periods, for which the employee is compensated (in addition to the earned off-period pay) at his or her regular rate of pay for the hours worked.
 - 5. Designated off-duty positions work hours per year may be increased to 2080 at the option of the University.
- D. Half-Time Regular Employee with Designated Off-Periods:** An employee who has an indefinite appointment and works 20 hours per week while classes are in session.

- E. Half-Time Regular Employee:** An employee who has an indefinite appointment and works 20 to 29 hours per week.
- F. Three-Quarters' Time Regular Employee:** An employee who has an indefinite appointment and works 30 to 39 hours per week.
- G. Part-Time Regular Employee:** An employee who has an indefinite appointment and works 19 hours or less per week.
- H. Full-Time Temporary Employee:** An employee who is employed for a specific period of time or for the duration of a project or activity. The employee does not have an indefinite appointment and works 40 hours per week.
- I. Part-Time Temporary Employee:** An employee who works an irregular schedule or varied hours for a specified period and does not meet the requirements established for a temporary full-time employee. The temporary part-time employee may be employed for: (1) three-quarters' time (30 to 39 hours per week); (2) half-time (20 to 29 hours per week); or less than half-time (19 hours per week or less).

J. Fair Labor Standards Act Ratings

- 1. Exempt employee:** An employee is considered an exempt employee if he or she is not subject to the time keeping and other provisions of the Fair Labor Standards Act because of the salary level and the nature of the work. (See Appendix D, Paragraph C.1.)
- 2. Nonexempt employee:** An employee is considered a nonexempt employee if he or she is subject to the time keeping and other wage and hour provisions of the Fair Labor Standards Act. (See Appendix D, Paragraph C.2.)

3.04 PROBATIONARY PERIOD

All commitments of full-time employment, full-time with designated off-periods, and regular temporary employment with nonexempt status are contingent upon satisfactory completion of a three-month probationary period.

- A. Purpose of Probation:** During this time, the employee has an opportunity to learn more about assignments and determine whether or not he or she is satisfied with the position. At the same time, the supervisor has an opportunity to determine whether the employee has the ability and desire to perform the job assignments.

B. Probationary Period Evaluation

- 1. Since the probationary period serves as an orientation period, evaluation sessions will be held between the immediate supervisor and the employee.

The initial evaluation should take place by the end of the 5th week of service. (See Paragraph 3.10 for formal evaluation requirements.)

2. If, at any time during the probationary period, an employee is unhappy with the work position or feels he or she cannot adjust properly to the work assignment, he or she may resign. Resignations must be submitted in writing to the President through the department head or supervisor. An informational copy of the resignation should be forwarded to the Office of Human Resources and Affirmative Action. (See Paragraph 3.13, A.1.)
3. If, at any time, it is determined that an employee is obviously not suited for a particular position, that person may be terminated at the option of the University during the probationary period. (See Paragraph 3.13, A.7.)

C. Extension of Probationary Period: Under special circumstances, and by mutual agreement, the probationary period may be extended for up to three additional months to allow the supervisor more time to evaluate the employee's work performance and the employee to improve his or her performance. The request for extension and reasons therefore must be submitted in writing by the immediate supervisor and agreed to by the Director of Human Resources and Affirmative Action and the employee.

D. Successful Completion of Probation

1. Upon successful completion of the probationary period, the President may offer, in writing, to the employee a continuation of his or her employment as a regular employee. The University may elect not to convert the probationary employee to regular status, thereby terminating the probationary employee's employment. The offer of continued employment as a full-time or regular employee is given to the probationary employee no later than the last day of the probationary period.
2. At the conclusion of the probationary period, employees are eligible for certain benefits related to their job classifications. (See Section 7 for explanation of benefits.)
3. In no case should completion of the probationary period of employment be considered a guarantee that an employee is entitled to permanent employment. (See Paragraph 3.13, A.3.)

E. Transfers: An employee who is transferred (laterally transferred or promoted) to a new position is also placed on probation for three months. If he or she is unable to handle the requirements of the new job, he or she may be returned to the previous position or a job of equivalent grade, provided a vacancy exists.

F. General Probationary Rules

1. In emergency situations occurring during the probationary period, the employee may be granted leave without pay. Normally, the employee is not given absence leave or annual leave during the probationary period.

2. Regular employees serving a probationary period are eligible for holidays falling within that period.
3. The three-month probationary period should not be considered as an employment contract of three months. Termination is possible during the three-month period if it is warranted by a lack of adequate progress or for any other reason.

3.05 EMPLOYMENT OF FOREIGN NATIONALS POLICY

UNA is an equal opportunity employer committed to achieving excellence and strength through diversity. The employment of foreign nationals in faculty and staff positions is an accepted practice for achieving diversity. UNA and foreign nationals, however, are subject to federal laws and regulations of the Departments of State, Labor, and Homeland Security (specifically, USCIS). Specifically, UNA is responsible for ensuring that all employees, regardless of citizenship or national origin, are lawfully employed. Specific to foreign national employees, UNA is, at a minimum, responsible for keeping them in-status (i.e., lawfully employed). This involves UNA's sponsorship of the employee as he/she applies for legal status and employment visa filing fees. The fees cannot be passed on to the foreign national employee. Failure to adhere to such laws subjects the University to potentially serious sanctions; therefore, UNA has established the following procedures that shall apply to all cost centers: 1. The cost center desiring to hire a foreign national must obtain approval from the appropriate vice president for any expenditure associated with the employment of the foreign national *prior* to an offer of employment. Vice presidents will advise the Executive Council of pending employments. 2. Vice presidents will then inform the Office of Human Resources & Affirmative Action of the cost center's desires and that office will, in writing, apprise that Vice president and cost center head of current law related to employment of foreign nationals. 3. During the job search phase, the Office of Human Resources & Affirmative Action will ensure that international applicants are advised of the eligibility requirements for employment in the U.S. The cost center seeking to employ the foreign national will work through its vice president and with the Office of Human Resources & Affirmative Action during the post-offer/pre-employment phase to ensure the foreign national's eligibility for the position and for the appropriate status. The cost center will continue to work with these offices throughout the visa application process. 4. The University will apply for the H-1B, TN or O-1 visa. After the foreign national has been employed with the University for at least three years, the University will, at the employee's request, apply for employment-based permanent residency on behalf of the employee. If the employee has family, the employee must, if necessary, retain legal counsel to make the necessary petition on behalf on those family members.

IMPORTANT INFORMATION

The classifications which have been used most frequently to appoint immigrant faculty and staff at UNA are the:

- A. H-1B Temporary Worker – used to employ foreign nationals who qualify as individuals engaged in “specialty occupations,” defined by immigration

regulations as the “professions” (i.e., university professors and other teachers, engineers, systems analysts and other computer professionals, financial analysts and others in advanced business specialties, accountants, lawyers, architects, and other service professionals, health care professionals, etc.). The position may be of a permanent nature; however, the employment of the foreign national must be considered temporary. An individual may be employed for up to six years in H-1B status. Individuals employed as H-1Bs may remain in that status for a period of up to three years and may be renewed for up to three additional years.

- B. TN (Trade NAFTA) - restricted to nationals of Canada and Mexico, and limited to specific professions as defined by the North American Free Trade Agreement. Admission to the U.S. in TN status is granted in one year increments. The number of years an individual is allowed to remain in TN status is unlimited, provided an application for extension is made each year; however, TN status is not to be used for permanent employment.
- C. O-1 Visa – available to foreign nationals who have extraordinary ability in science, art, education, business, or athletics which has been demonstrated by sustained national or international acclaim and whose achievements have been recognized through extensive documentation. The foreign national must seek to enter the United States and continue to work in the area in which he/she is extraordinary. The O-1 petition has an initial period of stay of up to 3 years. Subsequent extensions are unlimited but may be granted for no more than one year at a time. Work visas such as the H-1B, O-1 and TN are filed by the employer on behalf of the employee and are issued to the employee.

3.05 EMPLOYEE FILES

A. Personnel Records

1. All permanent personnel records of staff and service employees are maintained by the Office of Human Resources and Affirmative Action. The personnel files contain the employment record of each employee and include his or her application for employment, references, correspondence, position assignments, transfers, promotions, evaluations, wage changes, benefit enrollments, tax deduction information, work deficiencies and disciplinary actions, and other official documents. Requested changes to personnel records should be made in accordance with Paragraph 6.04.
2. The information contained in an employee's personnel record is confidential and the contents of the employee's file are made known only to the employee, his or her supervisor, and other appropriate persons (within the University) who must have access to that information to make appropriate employment decisions.
3. An employee may review his or her personnel file by making an appointment with the Director of Human Resources and Affirmative Action.

B. Verification of Employment

1. A third party asking for verification of employment and/or employment data about an employee is generally given only a confirmation of employment and dates of employment.
2. Information beyond confirmation of the employment and dates of employment are provided only upon the request of the employee and through the employee. Upon receiving such requests, the employee may be provided either a letter of recommendation or, at the discretion of the University, a letter certifying requested employment data. Once the letter is given to the current or former employee, he or she is free to distribute it in any way he or she desires.
3. If a third party (e.g., lending institutions) forwards forms to the Office of Human Resources and Affirmative Action requesting employment data, the forms are prepared by the Office of Human Resources and Affirmative Action and returned to the third party if a release, signed by the employee, is enclosed.

3.06 WORKING HOURS, OVERTIME, AND TIME RECORDS

The University of North Alabama's official statement regarding working hours, overtime, and records keeping is set forth in Appendix D.

A. Exempt or Nonexempt

1. The Fair Labor Standards Act (FLSA) provides that certain workers are not covered by the Act. The University of North Alabama employees exempt from the Act are those employed in a bona fide executive, administrative, or professional position.
2. Guidelines for classifying positions as exempt or nonexempt are set forth in U. S. Labor Department W. H. Publication 1281, revised June 1983, a copy of which is available in the Office of Human Resources and Affirmative Action.

B. Hours of Work

1. Normal working hours for university employees are from 8:00 a.m. to 4:30 p.m., Monday through Friday, exclusive of holidays. Working hours for some departments and/or sections of departments may vary depending upon the type of services provided.
2. Time is rounded off to the nearest one-quarter hour. All eight-hour work periods should begin no earlier than seven minutes prior to the start of the workday and end no later than seven minutes after the end of the workday.
3. Pre-shift and post-shift activities, which are an integral part of the employee's principal activities, must be included in the hours worked.

C. Work Cycle

1. The FLSA takes a single workweek as its standard and does not permit averaging of hours over two or more weeks.
2. For all nonexempt employees, the normal university workweek is 40 hours, measured from 12:01 a.m. Saturday to 12:00 p.m. the following Friday.

D. Rest and Meal Period

1. Breaks

- a) Regular and temporary employees, who work eight hours per day, are authorized one 30-minute break per day or the fractional equivalent for each workday of less than eight hours.
- b) By prior arrangement between the employee and his or her supervisor, the break may be taken with the lunch break so as to allow up to one hour for lunch and personal business.
- c) The break must be counted as time worked.
- d) Work during the break time is not work time in excess of the eight-hour workday.

2. Meal Period

- a) Ordinarily, university employees are given 30 minutes for each meal period, except when special permission is given to use break time to extend the meal period to one hour.
- b) Working during the lunch break is work time in excess of the eight-hour workday.
- c) In order to qualify as a bona fide meal period under the provisions of the FLSA, the period must be 30 minutes or more in duration and the employee must be completely relieved of his or her duty.

E. Overtime

1. Overtime for nonexempt employees is any time worked in excess of 40 hours in a seven-day work cycle. Overtime does not result until after 40 hours have been exceeded in a work cycle.
2. For purposes of calculating overtime, all paid absences (e.g., annual leave, absence leave, etc.) taken during the weekly work cycle will be calculated as hours worked.
3. The supervisor has the authority to arrange the workweek to meet the operational requirements of the job. Hours can be averaged during a work cycle to avoid the accrual of overtime hours.
4. There is no limitation on the number of hours a nonexempt employee may work in a workweek as long as he or she is compensated or given compensatory time for all hours in excess of 40 hours.
5. There is no requirement to pay overtime for hours in excess of eight hours per day, work on Saturday or Sunday, and work on holidays.

6. Nonexempt employees who are "called in" to perform emergency work are credited with a minimum of four hours of regular time.
7. Prior department head or supervisor approval of all overtime is required.

F. Overtime Pay

1. All hours worked over 40 hours in any week are compensated at one and one-half the regular rate, or compensatory time is given at the rate of one and one-half the number of overtime hours.
2. If compensation is paid to an employee for accrued compensatory time, such compensation is paid at the regular rate earned by the employee at the time the employee receives such pay.
3. Any employee who has accrued compensatory time at the time of his or her termination is paid for the unused compensatory time at a rate of compensation not less than:
 - a. The average regular rate received during the last three years of the individual's employment; or
 - b. The final regular rate received by such employee, whichever is higher.

G. Compensatory Time

1. It is university policy that, at the discretion of the University, employees be given compensatory time off for overtime at the rate of time and one-half in lieu of compensation.
2. The agreement to work overtime as required and the acceptance of compensatory time in lieu of overtime payment are conditions of employment.
3. Supervisors make every effort to accommodate the employee in giving him or her time off for accumulated compensatory time; however, the job requirements take precedence over an employee's request.
4. Every effort is made to avoid accrual of large amounts of compensatory time. Normally, an employee should not accrue more than 80 hours of compensatory time. The accrual of more than 80 hours of compensatory time, dictated by unusual circumstances, must be approved by the appropriate member of the University Executive Council.
5. The supervisor may set the time in which an employee takes compensatory time. Consequently, compensatory time should be taken at times when there is "slack" in the work load. Furthermore, the supervisor may dictate the taking of compensatory time in lieu of annual leave for absences of short durations.
6. Normally, compensatory time is taken in small amounts, not to exceed eight hours.
7. Compensatory time is not taken in advance of earning said time.

H. Holidays

1. **Holidays falling on scheduled workday**

- a. An employee who is required to work on a scheduled holiday is given credit for eight regular hours at the regular hourly rate of pay (unless more than eight hours are worked) in calculating hours worked during that week.
- b. The employee who is required to work on a holiday is given credit for eight hours of holiday time, to be taken off at a later date. The holiday hours are not overtime hours, but allow for taking the holiday at a later date. Therefore, the time off equals the number of hours worked, not one and one-half times the hours worked.
- c. The time worked on a scheduled holiday should be recorded on the Employee Compensatory Time Record as "holiday hours."
- d. The date on which the employee takes the time off is at the discretion of the supervisor.
- e. The University may elect to pay the employee for holiday hours in lieu of giving him or her time off.

2. Holidays falling during scheduled time off

- a. An employee, whose normal workweek includes Saturday and Sunday and who is given two days off during the week, is given credit for eight hours of holiday time if a holiday falls during his or her normally scheduled off-time.
- b. Holiday hours are not overtime hours, but allow for the taking of the holiday at a later date. Therefore, the time off equals the number of hours worked.
- c. The credit given for holiday hours should be recorded on the Employee Compensatory Time Record as "holiday hours." (See Section 9, Form B.)
- d. The date on which the employee takes the time off is at the discretion of the supervisor.
- e. The University may elect to pay the employee for holiday hours in lieu of giving him or her time off.

I. Records

1. Employee monthly work record

- a. Supervisors maintain a work record of the hours worked each day, week, and month, on the Employee Monthly Work Record (Section 9, Form A) for each employee under his or her supervision.
- b. Specific instructions for preparing the Employee Monthly Work Record are on the reverse side of the form and in Appendix D, Paragraph G.2.a.

2. Employee compensatory time record

- a. The supervisor maintains an Employee Compensatory Time Record (Section 9, Form B) for each employee credited with compensatory time in lieu of being compensated for earned overtime.

- b. Specific instructions for preparing the Employee Compensatory Time Record are on the reverse side of the form.

3.07 ABSENTEEISM AND LATENESS

- A. Attendance:** Employees are expected to be at work on time and on every scheduled workday, unless they are unable to do so because of illness, injury, approved leave, or other legitimate reason; in other words, the employee must maintain regular and prompt attendance.
- B. Promptness:** Each employee is expected to be at work at the beginning of the work period and start to work at the designated time. Arrival at the work site at the precise moment the work period begins and taking several minutes to prepare to commence work are unacceptable practices. Work, not preparation for work, commences no later than the designated beginning time.

C. Employee Requirements

1. Maintain an acceptable attendance record.
2. Keep the number of absences to a minimum so that when sickness or emergencies do occur, the employee is able to take time off without jeopardizing his or her job.
3. Report to work on time, return to the work site promptly after breaks, and remain on the job until the end of the work period.
4. Obtain permission from the supervisor and/or department head to depart the work site when there is an urgent reason for leaving.
5. Notify the supervisor (or the designated contact person) before the work period begins, or as soon thereafter as possible, if unable to report for work.
6. Maintain good health standards.
7. Prevent minor inconveniences from keeping the employee away from work.

- D. Action Against Rule Infractions:** In cases where records clearly indicate continuing abuse of leave privileges and habitual disregard for reporting to work on time or returning to the work site after breaks, lunch periods, etc., appropriate disciplinary action will be taken. For further information pertaining to absenteeism and lateness see Paragraph 5.09.

3.08 COMPENSATION

The University regards its employees as an investment and provides a compensation package that meets the needs of University employees. Both exempt and nonexempt employees will be provided specified fringe benefits. (See Section 7.) Each exempt staff employee will be paid a salary and each nonexempt service employee will be paid an hourly wage.

A. Wage and Salary Plan (See Appendix O)

1. Grade Structure

- a. The University maintains pay grades which recognize the responsibilities, skills, knowledge, and accountability determined for each staff and service job below the level of dean and vice president (excluding coaches) using compensable factors (job factors that are important in determining pay, e.g., education, experience, etc.) and which reflect UNA's purpose, role, and goals.
- b. The University has two grade structures, one for exempt employees and one for nonexempt employees. There are 10 grades (grades 20 through 29) for the nonexempt salary structure and 9 grades (grades 30 through 38) for the exempt salary structure.
- c. Pay for each grade reflects, to the extent possible, the current competitive rate of pay for jobs in the applicable labor market.

2. In-Grade Levels

- a. The University's exempt and nonexempt grade structures uses in-grade experience/proficiency levels below the midpoint and performance levels above the midpoint that provide a range of pay opportunities for each university position. Each pay grade has 11 in-grade levels with level 1 representing the minimum, level 6 the midpoint, and level 11 the maximum.

3. Pay Adjustments

- a. Employees may receive pay increases/decreases because of changes in job responsibilities, economic conditions, job performance, or because of transfer, promotion, or demotion.

4. In-Grade Increases

- a. Progression to the next in-grade level is based on time-in-grade, experience/proficiency, and performance. Salary increases are not automatic based on longevity, but are evaluated in relation to job experience/proficiency below the midpoint and job performance above the midpoint.
- b. An employee below the midpoint is eligible for consideration for an experience/proficiency increase each year on October 1.
- c. An employee above the midpoint is eligible for consideration for a performance increase every three years on October 1.

B. Pay Period

1. All service employees are paid biweekly.
2. Staff employees are paid monthly.

C. Statement of Earnings and Deductions: Each payday, the university employee receives a copy of his or her statement of earnings and deductions. This statement shows the employee's gross and net pay, and deductions (such as federal tax, state tax, retirement, etc.). Any optional deductions will also be shown. These figures reflect the employee's pay and deductions for the period as well as totals for the year.

D. Payroll Deductions: The University makes payroll deductions, as required by state and federal laws, and other deductions as authorized by the employee and approved by the University. Currently, employees are permitted to authorize, on prescribed forms, voluntary withholdings from their pay for NEA-AEA dues; Florence Municipal Federal Credit Union accounts; United Way of the Shoals Area contributions; university scholarship contributions; qualifying tax-sheltered annuities; and premiums for dependent coverage of health, cancer, dental, and intensive care insurance.

E. Direct Deposit

1. A university employee may request the Business Office to deposit his or her monthly or biweekly paycheck directly to his or her bank.
2. Direct deposit can be made to most banks for employees on the monthly payroll. However, for employees on the biweekly payroll, direct deposit can only be made to the Florence Municipal Federal Credit Union.
3. An employee on the monthly payroll receives a "Notice of Deposit Form" from the Business Office showing gross pay, taxes withheld, and various other deductions. An employee on the biweekly payroll will receive a paycheck stub.
4. An employee may sign up for direct deposit by contacting the payroll clerk in the Business Office.

3.09 EMERGENCY CLOSINGS

The University's policy on emergency closings sets forth the rules and procedures concerning the opening and closing of the University during emergency situations, the designation of essential personnel required to work during the University's closings, the announcement of inclement weather, employees' actions, and the cancellation of classes. The University's official policy statement regarding emergency closings is set forth in Appendix E.

3.10 PERFORMANCE EVALUATION

Each employee is expected to meet the requirements of his or her job. The work of all employees is appraised informally on a continuing basis. The immediate supervisor may suggest ways that the employee can improve the quality of his or her work. In fact, it is part of the employee's immediate supervisor's responsibility to help the employee grow in his or her job.

A. Informal Evaluation

1. The employee's performance is to be continually reviewed by his or her supervisor.

2. Employees should be encouraged to ask their supervisors for feedback about performance and to answer any job-related questions. Supervisors will discuss the employee's performance with him or her at any time.

B. Probationary Evaluation: A formal written evaluation of each employee normally is required shortly before the end of three months of employment. (See Paragraph 3.04.) A probationary evaluation is prepared when an employee is placed on probation as a disciplinary action. (See Paragraph 4.04 A.7.)

C. Formal Evaluation

1. At least once a year, during the month of July, the supervisor makes a formal written evaluation of the employee's performance. Formal evaluations should also be prepared when an employee is promoted or transferred to a new job or another department or section; for a temporary promotion; when the employee's supervisor is changed; as a special evaluation for exceptional performance or for below acceptable performance; and as a follow-up evaluation to an annual evaluation that is below standard.
2. Performance evaluations should be administered for employment periods of at least 90 days since the last evaluation, except for temporary promotions which should be for 45 workdays or more.
3. If the employee's performance is below the accepted standards for his or her job, the employee is advised of this and counseling is offered. Additional evaluations are scheduled to measure the employee's progress.
4. Copies of all employee evaluations are sent to the Office of Human Resources and Affirmative Action to be filed as a permanent part of the employee's personnel record.

D. Evaluation Interview

1. The employee's supervisor discusses the performance evaluation with the employee and asks for his or her comments.
2. The employee is afforded an opportunity to review his or her performance evaluation and sign the form verifying the review. His or her signature does not indicate agreement with the evaluation.
3. Evaluation interviews are private, and every opportunity is given to the employee for an open and frank discussion.
4. The basic purpose of the performance evaluation is not only to determine how well the employee has done in the past, but also to facilitate cooperation between the employee and supervisor for planning ways to improve performance.

E. Continued Performance Deficiency

1. If, after the employee is advised of any performance deficiency and of what must be done to correct it, it is found that the employee lacks the ability to

meet the requirements of his or her position, or if the employee is able but unwilling to make the effort to perform the work satisfactorily, the individual's employment is terminated.

2. In case of deficient performance, the performance appraisal used in the evaluation process may be considered a warning. The number of additional reviews and warnings and the time involved before recommending termination of employment are at the supervisor's discretion.

F. Evaluation Appeal: An employee may appeal a performance evaluation if he or she believes the evaluation is not justified or was unfairly administered.

1. The employee has a period of five business days after signing the evaluation to file a written request with his or her supervisor for reconsideration of any specified item, including the overall rating.
2. An employee may express disagreement, in writing, with the evaluation and ask that the written disagreement be filed as a part of the evaluation. The letter of disagreement must be submitted to the employee's department head or Director of Human Resources and Affirmative Action within ten business days after the evaluation interview.

3.11 NEPOTISM (EMPLOYMENT OF RELATIVES)

The Alabama Nepotism statute provides that:

No officer or employee of the state or of any state . . . institution . . . shall appoint any person related to him within the fourth degree of affinity or consanguinity to any job, position or with any of its agencies . . .

Alabama Code, Section 41-1-5 (1975).

This statute is applicable to all university positions, including temporary, part-time, and student positions.

Relatives may be employed as peers within an academic department or administrative unit; however, no supervisory relationship may be allowed between persons who are related within the fourth degree by blood or marriage. The President's Executive Council may, for compelling reasons, make limited exceptions to this policy, but its reasons for doing so must be reflected in its report to the Board of Trustees Executive Committee.

3.12 JOB CHANGE

A university employee may move from one job to another through: (1) promotion, (2) temporary promotion, (3) transfer, (4) reassignment, (5) detail, or (6) demotion.

A department acquiring an employee from another department within the University assumes financial responsibility for the employee's accrued benefits.

The losing department is entitled to at least a two-week notice, which may be waived by the losing department.

All moves from one job to another within the section or department, or from one department to another, must be approved by the appropriate Executive Council member and reported to the Office of Human Resources and Affirmative Action.

Moves that are permanent in nature require the preparation of a performance evaluation for the employee involved by the losing supervisor. (See Paragraph 3.10.)

A. Promotion

1. The University will make every effort to promote from within and to reward productive workers when there are current employees with the needed abilities, skills, and knowledge. However, "present employee status" does not guarantee an employee rights to promotion.
2. The University of North Alabama's Promotion Policy is competitive in nature. Appointments and promotions to university positions shall be made solely on the basis of the applicant's skills, abilities, and knowledge in relation to the requirements of the job.
3. When there are two or more equally qualified applicants for the same promotion, the employee's length of service is considered; however, length of service is not the major determining factor.
4. All jobs are posted a minimum of seven days as either a Promotional Opportunity Notice or a Job Vacancy Notice. A current full-time or regular part-time employee may make application for a promotion under both types of notices.
5. Ordinarily, employees must compete for a position which results in a higher grade or better promotional opportunity. One exception is a job that has had a gradual increase of responsibilities and duties resulting in greater demands upon the employee over an extended period of time.
6. Promotions normally are made only after completion of the three-month probationary period.

B. Temporary Promotion

1. A vacancy created by an incumbent's absence for any reason that allows for his or her return at a later date may be filled by an employee promoted for a temporary period. A position may be filled with a temporary promotion during the recruiting and hiring of a full-time employee.
2. Temporary promotions of short durations may be made without competition, but should be made based on qualifications and availability.
3. At the end of the term of temporary promotion, the employee will return to his or her regular position.
4. Temporary promotions for an extended period should be competitive and are posted as a Job Opportunity Notice.

5. Temporary promotions are not to be used for the purpose of training an employee in a higher grade position.

C. Lateral Transfer

1. An employee may be laterally transferred (i.e., transferred into another department without an upward change in grade and/or classification) under conditions which are mutually beneficial to the University and to the employee involved, or at the convenience of the University.
2. A transfer may be to a position of the same grade or lower grade. However, an employee is not transferred without competition to a position that offers a better promotional opportunity.
3. Transfers to solve performance or conduct problems are not a general practice; but, in selected situations, such moves may be made. If a person is moved to solve a disciplinary problem, the employee will be placed on 90 days' probation. (See Paragraph 3.04.)

D. Reassignment

1. An employee may be changed, at the convenience of the University, from one position to another without promotion or demotion. Normally, however, reassignments are within the same section or department. Probationary rules, as set forth in Paragraph 3.04, do not apply in reassignments of this nature.
2. A reassignment may be made to meet continuing changes in workload, to move an employee out of a situation in which a conflict exists (conflict with his or her supervisor, other employees, or the public he or she serves), to preclude undesirable effects of a long-term relationship with the public, to move a senior or more experienced employee to a difficult situation, etc.

E. Detail

1. A detail involves a temporary assignment of an employee to similar duties or to a different type of work in the same pay grade for a temporary period of time. A detail is a means whereby a supervisor/department head may meet a temporary or unanticipated staffing requirement.
2. An employee may be temporarily assigned (detailed) to different duties or to a different position for a specified time with the employee returning to his or her regular duties at the end of that period.
3. The employee's pay does not change while he or she is on detail.

F. Demotion: It may be necessary to demote an employee to a position of lower classification with a resultant decrease in salary due to reorganization, disciplinary measures, or for other reasons deemed necessary by the University.

3.13 TERMINATION OF EMPLOYMENT

A. Termination Conditions: Employees may be separated from the University of North Alabama work force under the following conditions:

1. Resignation

- a. All employees who voluntarily resign their positions are expected to give at least a two-week notice of resignation. Employees in supervisory positions, who voluntarily resign their positions, are expected to give at least a one-month notice of resignation. Notice of resignation must be in writing, submitted to the President.
- b. Employees submitting resignations are paid through the last day worked and receive their checks on the first payday following resignation.
- c. If the above prescribed advance notice has been received, the employee with at least three months of service may be eligible for payment, at time of separation, for all unused annual leave carried over from the previous year plus that accumulated for the current year. However, the University reserves the right to require that the employee take the accrued leave during the notice period.
- d. Other benefits may be available; consequently, all who anticipate resignation or ceasing employment for any reason must contact the Office of Human Resources and Affirmative Action to arrange for an exit interview.

2. Retirement

- a. Employees who have 25 years of service with the Alabama Teachers' Retirement System may elect to retire at any age with full retirement benefits. After 10 or more years of creditable service, a member has a vested interest. Vested employees, upon attainment of age 60, are eligible for retirement under existing law.
- b. The University makes no guarantee of the continuous existence or the rules of the Alabama Teachers' Retirement System.
- c. A separate brochure, pertaining to the Alabama Teachers' Retirement System, is available in the Office of Human Resources and Affirmative Action.
- d. For further information pertaining to retirement, see Paragraph 7.08.

3. Dismissal

- a. Although the University seeks to promote good relations with its employees and, accordingly, strives to treat its employees fairly, the
- b. University must maintain the exclusive discretion and right to exercise the customary functions of management, among which is dismissal.

- c. The employees of the University are employees "at will," and the University must maintain its absolute discretion to dismiss employees consistent with the needs and goals of the institution.
- d. University employees have no contract or property rights to their employment and/or benefits, and they are employed at the will of the University and only so long as the employment is consistent with the best interests of the University.
- e. Employees may be dismissed with or without prior notice, and the University is in no way obligated to provide pay in lieu of notice, either during or after an employee's probationary period. No such terminations will be made for unlawful reasons.

4. Abandoned position

- a. This action is a separation, other than resignation, occasioned by an employee's action in quitting his or her job, failing to return to duty after the expiration of authorized leave, or failing to return to work at a designated time.
- b. Failure to notify the University of an absence of three or more days is considered an automatic resignation unless the employee can prove that it was impossible to notify his or her supervisor.

5. Expiration of appointment: Temporary employees are hired for a specified period or project. In such case, the employment contract specifies the exact termination date or states "upon completion of project." A temporary employee's employment is subject to termination at any time prior to the termination date at the convenience of the University based on budget constraints and work load, or for any reason in the best interest of the University (i.e., deficiencies in duty performance, failure to report for duty without justifiable excuse, poor work habits or attitude, or violation of University policies, procedures, and work rules).

6. Incapacity to perform duties

- a. University employees must be physically and mentally fit to fulfill the demands of their job. (See Paragraph 5.04.)
- b. If acceptable performance is not achieved, and remedial action does not overcome the performance deficiency, termination may be appropriate.

7. Probationary period: An employee may be terminated any time during the probationary period if it is warranted by lack of adequate progress (as

8. measured by job-related criteria), if it is requested by the employee, or for other reasons at the option of the University. (See Paragraph 3.04.)

9. Reduction in force: It may become necessary to reduce the number of university staff and service employees because of reduction in work, reduction in funds, or in the interest of economy.

10. Suspension

a. Employment may be suspended for a short term as a disciplinary action. (See Paragraph 4.04 A.5.)

11. Disability: If an employee becomes disabled as a result of nonwork-related incident or illness, he or she is placed on absence leave or annual leave, provided he or she has accumulated leave, until such time as the waiting period is served and approval is given by the insurance carrier to draw disability. When an employee does not have sufficient leave to remain on the payroll until he or she is determined to be eligible to draw disability, he or she is placed in a leave-without-pay status (pending disability). Once an employee has been placed in a disability status (whether drawing disability or not), a job notice may be posted and the position filled. The former incumbent will no longer have a claim to the former job or other like position with the University after six months of consecutive absence from the job. (See Paragraph 7.07 E.)

B. Termination Rules

- 1. Compensatory time:** A nonexempt employee is paid for all accumulated compensatory time upon termination of employment.
- 2. Absence leave:** Termination (voluntary or involuntary) cancels the employee's absence leave eligibility except in the case of death or retirement.
- 3. Annual leave:** Upon termination of his or her employment, an employee is entitled to receive payment for accrued annual leave or to take accrued leave as set forth in Paragraph 3.13 A.1.c above.

3.14 OUTSIDE EMPLOYMENT (FULL-TIME EMPLOYEES)

If an employee feels that circumstances are such that it is desirable for him or her to accept outside employment, the employee is asked to discuss the matter with his or her supervisor before accepting the job.

The University has no objections to an employee, in addition to full-time university employment, accepting a part-time job providing it does not: (1) interfere with the performance of his or her job at the University; (2) violate university regulations or policies; or (3) bring discredit to the University.

An employee is asked to discuss the second job with his or her immediate supervisor to help determine whether there is any possibility of a conflict.

3.15 GRIEVANCE AND DUE PROCESS PROCEDURES

- A. Grievance:** A "grievance" is a complaint directed against another member or organization of the university community or against the University, including the departments, divisions, and schools thereof, alleging improper, arbitrary, or discriminatory application of university rules, regulations, standards, practices and/or procedures relating to conditions of employment or enrollment, or other circumstances giving proper grounds for complaint.

A grievant first must seek resolution or redress of the grievance informally through the established administrative channels set forth in Paragraph B.1. of Appendix F. If, after exhausting recourse through established administrative channels, the grievant still believes satisfactory remedy or relief has not been provided, the grievant may request a formal hearing following the procedures set forth in Paragraph B.2. of Appendix F.

Grievance procedures do not apply to actions involving reassignment of job duties, change of job title or position, demotion, suspension, expulsion, dismissal, or other termination of employment for cause.

- B. Due Process:** To assure the protection of individual rights and due process in actions involving the suspension, dismissal, or other termination for cause of university employees, due process procedures may be initiated. After having received notice of action proposed, the accused may request a full and fair hearing before a Due Process Committee following the procedures set forth in Appendix F.

At-will employees are not entitled to due process procedures unless an adverse action against them infringes a "liberty" or "property" interest of the employee, or the President expressly grants them that right in the letter imposing the adverse action.

3.16 OMBUDSMAN

The Ombudsman provides an internal avenue for grievances and complaints. The responsibilities of the Ombudsman include resolving faculty, staff, and student complaints through involvement of all concerned parties; informing all parties of their rights that are established by law; seeking to resolve problems internally; keeping all information confidential; establishing a relationship of trust with and among all constituencies; providing mediation as an alternative to litigation whenever possible and as necessary and proper, serving as an advocate for resolving the grievances of individuals who have been treated unfairly or improperly. The Ombudsman's office is located in Room 208 of Bibb Graves Hall.

3.17 ON-THE-JOB INJURY

The University of North Alabama does not participate in an insured Workers' Compensation Program. However, the University provides benefits, under the Workers' Compensation Equivalent Program, for accidental injury involving a violent occurrence sustained in the performance of routine duties of an individual's university employment. For details on the following, see Appendix G.

- A. Claims procedures under the Workers' Compensation Equivalent Program;
- B. Provisions of remedy;
- C. Claims submitted to Board of Adjustment; and
- D. Form for reporting on-the-job injury (attached to Section 9 as Form C).

3.18 ACCIDENTS INVOLVING VISITORS AND STUDENTS

An injury sustained by a visitor or student and accidents involving a visitor or student should be reported to the Vice President for Student Affairs and University Counsel on the Incident Report Form. (See Section 9, Form D.)

SECTION 4

RULES AND DISCIPLINARY ACTION

4.01 GENERAL DISCIPLINARY POLICY AND UNIVERSITY RULES

The best working conditions prevail when employees conduct themselves with respect and consideration for themselves, their fellow employees, and their employers. Therefore, it is the duty of each employee to maintain high standards of conduct, personal behavior, cooperation, efficiency, and economy in his or her work for the University.

Rules and regulations are necessary in the workplace to provide the framework upon which work requirements, employee behavior, and self-discipline (see Paragraph 5.02) can be established and a mechanism provided whereby disciplinary action can be taken to correct the behavior of those employees who deviate from established rules and good work behavior.

The basic purposes of the University's disciplinary procedures are to administer penalties for wrongs committed by an employee and to prevent future problems. The primary focus of discipline is to prevent the recurrence of past problems and discourage new ones from arising, rather than on administering punishment. Except in cases of gross misconduct, disciplinary action is normally undertaken with the intent of bringing the employee's performance and conduct up to a satisfactory level. If the employee does not respond within a suitable length of time, which will vary with differing circumstances, the employee is subject to discharge. If the severity of the rule infraction and work behavior warrants such action, the employee may be discharged immediately.

The University of North Alabama's rules concerning discipline are intended to be general guidelines for good judgment and fair treatment. All employees are expected to abide by the University's rules and regulations as a condition of continued employment. Therefore, the University reserves the right to take disciplinary action for violations of its established rules.

Employees who violate the University's policies, procedures, work rules, and behavioral rules will be disciplined in a timely, fair, equitable, and consistent manner.

4.02 PROGRESSIVE DISCIPLINE

A system of progressive discipline may be used for the purpose of encouraging an employee to correct unacceptable behavior and adhere to the rules.

The University's approach to matters requiring action (such as unsatisfactory or unsafe job performance, infraction of rules, tardiness, excessive absenteeism, etc.) attempts to administer discipline that is corrective rather than punitive. The discipline progresses from the less severe disciplinary action to the more severe disciplinary action. (This

does not preclude by-passing the lower levels of disciplinary action and rendering more severe punishment, including termination, when the severity of the offense warrants such action.)

Any step or steps of the disciplinary process may be skipped at the discretion of the department head and the Director of Human Resources and Affirmative Action after investigation and analysis of the total situation, past practice, and circumstances.

Whenever production, personal conduct, work habits or attitudes of any employee fall below the established standard, supervisors should point out the deficiency at the time it is observed. Corrections and suggestions should be presented in a constructive and helpful manner in an effort to elicit the cooperation and goodwill of the employee. Whenever possible, oral and/or written warnings, with sufficient time for improvements, shall precede formal discipline.

4.03 WARNING SYSTEM

To help ensure that all necessary disciplinary action is taken without unlawful prejudice or favoritism, and that the employee is given an opportunity to correct his or her work performance or behavior, the University will warn the employee, through the progressive discipline system, of unacceptable performance or behavior. The warning system allows the employee to know when he or she has violated a university rule or regulation and what he or she may expect if this conduct continues.

The number of warnings prior to any recommended termination is dependent on the seriousness of the rule or rules violated. In cases of misconduct in which the severity of the action is such that continued employment would be detrimental to the University, immediate termination is in order. The employee will be given a copy of all warnings placed in his or her permanent personnel file.

4.04 ADMINISTERING DISCIPLINE

A. Disciplinary Actions: Disciplinary action may include a problem-solving interview (counseling), verbal warning, written warning, reprimand, suspension, demotion, or dismissal. The University reserves the right to determine those steps necessary, considering all aspects of each individual case.

B. Problem-solving interview

1. The first step of the disciplinary procedure is regarded as a corrective measure. The problem-solving interview serves as a means of informing the employee of his or her mistakes and is combined with appropriate instructions which, if followed, would make further steps unnecessary.
2. The supervisor may provide additional training and give closer supervision.
3. The supervisor should inform the employee of the work requirements, standards, and behavioral rules.

C. Oral warning

1. Whenever work habits, attitudes, production, or personal conduct of an employee fall below the established standard, supervisors shall point out the deficiencies at the time they are observed in order to:
 - a) Eliminate any possible misunderstanding concerning the rules;
 - b) State clearly what is expected in the future;
 - c) Point out the consequences of a future infraction(s); and
 - d) Document the fact that the employee has been warned.
2. The oral-warning step of the disciplinary procedure is regarded as a corrective measure and is combined with appropriate instructions which, if followed, would make further steps unnecessary. The employee may be given closer supervision or a problem-solving interview.

D. Written warning

1. If the undesirable behavior continues, or the rule infraction warrants, the supervisor may issue a written warning.
2. A written warning is issued to document the fact that the employee has been officially advised of the precise nature of his or her misconduct and warned that any future violation will result in further disciplinary action.
3. Written warnings may be filed as a permanent part of the employee's personnel record; however, the supervisor may stipulate that the written warning will be removed from the employee's file after a specific period of time.

E. Reprimand

1. A written reprimand may be made by supervisors for substandard performance, poor attendance, and other types of minor offenses.
2. Reprimands are usually preceded by a problem-solving interview and a written warning.
3. Written reprimands are filed as a permanent part of the employee's personnel record.

F. Suspension

1. Investigative suspension

- a) An investigative suspension is a period during which time an employee is relieved of his or her job because of a serious breach in discipline, such as stealing, insubordination, fighting on the job, misconduct, gambling, etc. This type of suspension is normally done

to permit an investigation prior to taking final action when the offense would normally require dismissal.

- b) An employee may be placed on investigative suspension when it is necessary to make a full investigation to determine the facts of the case.
- c) The employee may be suspended with or without pay and benefits.
- d) The employee may be suspended with the determination made after the investigation as to whether or not he or she is to be paid for time missed during the suspension (depending on a determination or lack of a determination of misconduct).
- e) The employee may be given the option of taking annual leave in lieu of being placed on an investigative suspension.

2. Disciplinary suspension

- a) Employees involved in serious attendance, performance, misconduct, or other problems may be given a disciplinary suspension from one to ten workdays by their supervisor and/or department head. Suspensions are not initiated without the advice and concurrence of the Director of Human Resources and Affirmative Action.
- b) The employee is relieved of his or her assignments and forfeits pay as a result of the suspension.
- c) Unless otherwise agreed to by the President, no employee benefits are paid or accrued to any employee while on suspension. Health and life insurance may be continued at the expense of the employee.
- d) Rule infractions requiring suspension of a duration greater than ten days will be referred to the President through the Director of Human Resources and Affirmative Action.
- e) A disciplinary suspension may be given in addition to the investigative suspension.

3. Charges of serious crime: Employees arrested and charged with a serious crime may be, at the option of the University, placed on annual leave or leave of absence without pay, pending disposition of the case.

4. Reports of suspension

- a) All suspension actions must be given to the employee in writing and reported to the Office of Human Resources and Affirmative Action (in writing) by the department head or supervisor. [See Paragraph b. (1) above.]
- b) Reports of suspension are filed in the employee's permanent personnel record.

G. Demotion

1. If an employee fails to meet the requirements of a job to which he or she has been promoted or of a job which has changed beyond the ability of the employee, he or she may be demoted. An effort will be made to place the employee in a position for which he or she is qualified. However, if no such position exists, the University reserves the right to terminate the individual's employment. (See Paragraph 3.04 E.)
2. All demotion actions must be documented in writing and filed in the employee's personnel record.

H. Probation

1. In conjunction with any disciplinary action, the employee may be placed on probation. However, since probation normally precedes a termination action, it is generally used in conjunction with a reprimand or a higher disciplinary step.
2. The employee is given specific guidance regarding the corrective action required and the evaluation procedures used during the probationary period.
3. If the probation is imposed due to a performance deficiency, the provisions of Paragraph 3.10 apply. A formal evaluation is submitted to the Office of Human Resources and Affirmative Action prior to the end of the probation period.

I. Dismissal

1. The University reserves the right to dismiss employees with or without just cause, except that no such dismissal will be made for unlawful reasons. (See Paragraph 3.13 A.3.)
2. An employee may be terminated as a result of a serious offense, or as the final step in an accumulation of infractions for which lower levels of disciplinary action have been administered.
3. For a serious offense (i.e., misconduct where continued employment would be detrimental to the University), termination may be the first and only disciplinary step taken.

J. Disciplinary Guidelines: The following list outlines conduct deemed by the University not to be in the best interest of the institution or its employees. Participation in any of the following acts will result in disciplinary action against the violator. The severity of the disciplinary action will depend upon the seriousness of the violation and is within the sole discretion of the University. Although written in the format of rule violations, the list below serves the dual purpose of disciplinary guidelines and rules. This list is not all inclusive.

1. Falsification of personnel records, including time cards and application for employment.
2. Insubordination or disobedience, or failing to carry out any reasonable order of superiors.
3. Unexcused absence for any duration or habitual tardiness without reasonable cause.
4. Unauthorized possession of firearms, knives, explosives, or other weapons. (See Paragraph 5.09)
5. Stealing, or attempting to steal, from fellow employees, students, the University, or others on university property.
6. Immoral or indecent conduct on university premises, or conviction by a court of law for such conduct off the job.
7. Threatening, intimidating, coercing, or interfering with the work of other employees, students, or others on university property.
8. Conviction of a criminal offense involving moral turpitude including murder, armed robbery, arson, assault, rape, etc., on or off university property.
9. Any act of fighting on university property (other than in the line of duty or for self-protection), inciting to fight, or attempting to inflict bodily injury upon another.
10. Wasting time or loitering, "loafing," sitting when there is work to be done, or hiding out.
11. Leaving university premises or work areas without permission during working hours or break times.
12. Misuse of absence leave privileges and benefits.
13. Failure to record work time accurately.
14. Negligence, inefficiency, carelessness, incompetence, or lack of application of effort in the performance of duties (productivity not up to standards).
15. Failure to report an accident and/or injury of a student, self, visitor, or anyone on the university premises.
16. Sleeping during work hours.
17. Clocking the time card of another employee.
18. Violation of or disregard for fire or common safety regulations or practices.
19. Discourteous treatment of students, visitors, or other employees.
20. Gambling.
21. Exhibiting disorderly conduct or abusive language toward another on university premises.
22. Giving false information.
23. Engaging in any strike, sickout, work stoppage, or slowdown.
24. Disregarding personal appearance, hygiene, or standards of dress.
25. Conducting personal business during work hours.
26. Use of telephone for personal business.
27. Smoking in "no smoking" areas.
28. Disregarding the appearance of work areas.
29. Soliciting of employees. (See Paragraph 6.09.)
30. Using university supplies, property, equipment, etc., for personal use.

31. Engaging in any form of horseplay, scuffling, or mischief on university property that shows a disregard for the safety, comfort, or work performance of a fellow employee, or any other person on university premises.
32. Harassing employees, students, visitors, etc., verbally, physically, sexually or otherwise.
33. Failing to return to work when notified to do so by university personnel.
34. Unlawfully possessing, using, or distributing illicit drugs or alcohol on university property, or as a part of any of the University's activities.
35. Malicious gossip and/or spreading of rumors.
36. Violating university traffic and parking rules or failure to dispose properly of traffic fines.
37. Any conduct deemed by the University to be improper or unbecoming to employee in university service.
38. Violating university policies outlined in sections of the Staff and Service Employees' Personnel Handbook.
39. Violating any lawful or reasonable university regulation, policy, procedure, rule, or order.

K. Departmental Rules: The rules contained herein are not intended to be all inclusive. Department heads and supervisors have the authority to establish and enforce work site rules, behavioral rules, and operating procedures unique to their specific requirements.

SECTION 5

EMPLOYEE CONDUCT

5.01 ETHICS COMMISSION

Certain employees of the University of North Alabama are covered by the Alabama Ethics Law, its code of conduct, and disclosure requirement.

5.02 SELF-DISCIPLINE

The University of North Alabama believes that all employees want to and will do a good job if they know what is required to perform the job properly. The University further believes it is important that each employee understands fully his or her responsibilities and duties as well as what working conditions and benefits he or she can expect as a part of the university work force.

Job responsibilities and duties are delineated in the employee's job description (see Paragraph 3.01) and set forth by the supervisor. The supervisor develops work standards and behavioral rules for the employee. The employee is kept informed of departmental or university rules by his or her supervisor. This Staff Handbook was developed to convey the University's policies, procedures, rules, and regulations to its employees.

All employees are expected to develop work habits, behavioral habits, and self-imposed work standards that will enhance their efficiency and productivity.

5.03 RESPONSIBILITY TOWARD SUPERVISION

The responsibility for accomplishing the objectives of any department rests with the department chairs and supervisors. All employees should seek supervisory guidance and support in matters relating to their assignments. The employee should not hesitate to seek proper guidance when he or she is in doubt regarding a part of his or her job. The person responsible for providing the employee supervision and guidance should be clearly established at the beginning of any work assignment.

5.04 FITNESS FOR DUTY

The mental demands, physical demands, and environmental working conditions are inherent characteristics of the job. Different jobs require different skills, abilities, and knowledge. Moreover, jobs are different in that they require varying degrees of physical exertion and are subject to different types of environmental working conditions.

The employee must maintain, throughout his or her employment, a level of physical and mental fitness to fulfill the demands of the job. This requirement is a condition of continued employment. The University will comply with the provisions of the Americans

with Disabilities Act by providing "reasonable accommodations", as defined by that Act, to its employees with disabilities.

The job description, to a reasonable degree, indicates the mental and physical requirements of the job.

Employees are encouraged to take appropriate action to maintain the required level of proficiency in their work. They are encouraged to participate in a good health program, exercise regularly, and receive periodic medical examinations.

If an employee is unable to meet the mental and physical requirements of the job, his or her employment may be terminated. (See Paragraph 3.13 A.6.)

5.05 SAFETY

The University of North Alabama takes every reasonable measure to ensure that it is a safe and healthy place to work. All employees are expected to follow good safety practices in the performance of their jobs.

If an employee thinks that an existing situation is a safety or health hazard, he or she should notify his or her supervisor who will take the necessary corrective measures.

If an employee is involved in an accident or observes an accident resulting in injury to another person or damage to equipment and material, he or she should report it to his or her supervisor immediately. (See Section 9, Form C.)

On-the-job injuries should be handled in accordance with Appendix G.

5.06 PERSONAL ATTIRE AND APPEARANCE

Personal neatness and appropriate attire is left largely to the employee. All employees are asked to be careful of their personal hygiene, neatness of attire, and cleanliness of apparel. Since fashions and mode of dress change continually, it is natural that the employee may want to change his or her style of dress to meet the customs of the times. The University asks that the employee do so in moderation and in good taste. Radical departure from conventional dress or grooming is not permitted. Dress that results in distraction of other employees or disruption of the department's work, as determined by the department head, will not be permitted.

Violations of standards of dress, hygiene, and cleanliness maybe cause for disciplinary action. (See Paragraph 4.04 B.24.)

5.07 TOBACCO, FOOD, AND BEVERAGES

A. Tobacco: It is the policy of the University of North Alabama to provide "tobacco-free" environment for students, faculty, staff and visitors. The use of "tobacco products" will be prohibited within all university facilities. The use of tobacco products within thirty feet of entrances, exits, open windows, and interconnected breezeways is prohibited.

- a) The term "tobacco-free" shall be interpreted to mean all forms of smoking tobacco, such as cigarettes, cigars and pipes, as well as smokeless tobacco products, such as snuff and chewing tobacco.
- b) The term "tobacco product" refers to any form of tobacco consumed by smoking or no-smoking means.
- c)
- d) Exceptions to this policy may be made only by special authorization of the Executive Council and only where proper ventilation can be established.

B. Food and Beverages: Food and beverages are prohibited in Collier Library, all university classrooms, laboratories, lecture rooms, performance centers and other areas as posted.

5.08 DRUGS AND ALCOHOL

A. Drug and Alcohol Program

1. The University has a comprehensive Drug and Alcohol Program which complies with the United States Department of Education's Drug-Free Schools and Campuses Regulations.
2. A memorandum setting forth the provisions of the University's Drug and Alcohol Program is distributed periodically to all employees.
3. A copy of the complete Drug and Alcohol Program is available in the Office of Human Resources and Affirmative Action.

B. Drugs and Alcohol Policy Statement (See Appendix H)

5.09 WEAPONS ON CAMPUS POLICY

Possession of firearms or other dangerous weapons is prohibited while on university-owned or controlled property. This includes all parking lots, grounds, and facilities.

These weapons include but are not limited to:

1. Fixed blade knives on the person or in a vehicle or any folding knife with an overall length greater than eleven inches.
2. Shotgun, rifle, or other shoulder gun.

3. Pistol or revolver.
4. Air gun or spring compression gun.
5. Bow and arrow.
6. Crossbows.
7. Slingshots or other throwing weapons.
8. Spears.
9. Swords.
10. Brass knuckles.
11. Fireworks or explosive devices.
12. Tasers or stun guns.

This prohibition applies to all members of the university community, visitors, and guests and applies whether or not a person in possession of such weapon has a permit to carry or possess the weapon. This policy does not apply to:

1. Law Enforcement Officers of the Federal Government, state, or of any county, city, or town when in the discharge of their official duties.
2. Civil officers of the United States in the discharge of their official duties.
3. Private police or security personnel when hired by, or under contract with, the University.
4. Law Enforcement Officers attending school as students. Their weapons must be concealed unless wearing a uniform.
5. Campus food service knives.
6. The President's Residence.

Visitors and guests may temporarily store weapons at the Department of Public Safety for no more than 48 hours. The Department of Public Safety and the University are not responsible for lost or damaged items.

Exceptions to this policy may be granted for certain instructional purposes, displays, ceremonies, drills, reenactments, and performances and must be authorized by the Director of Public Safety or his designee.

For students, unauthorized possession of weapons shall constitute grounds for summary suspension. For faculty and staff, unauthorized possession of a weapon shall constitute a violation of board policy.

5.10 ATTENDANCE

Each university job is important; otherwise, it would not exist. Therefore, each employee is expected to be punctual and keep absences to a minimum.

The employee must give advance notice to his or her immediate supervisor whenever necessary absence from work is contemplated.

When an unexpected absence or tardiness arises because of illness or an emergency, the employee must notify his or her immediate supervisor as soon as feasible. If that person is not available, someone in the employee's line of supervision must be notified by telephone.

Failure to notify the supervisor of an absence of three days or more is considered an automatic resignation by the employee unless he or she can prove that it was impossible to notify the supervisor or someone else in the line of supervision.

An employee may be terminated for excessive unexcused or excused absences or a combination of the two, even though proper notice of the absences was given to the University.

For further information pertaining to attendance see Paragraph 3.07.

5.11 PERSONAL MAIL

Personal mail or packages should not be regularly delivered to an employee through the University Post Office or receiving department.

5.12 PERSONAL BEHAVIOR

Loud noises in class or office areas should be avoided; these include singing, whistling, loud talking, arguing, and other types of noises.

5.13 SAFEGUARDING UNIVERSITY EQUIPMENT

All employees who handle university equipment are responsible for the care, security, and proper maintenance of such equipment while it is under their control.

Employees are not permitted to use university equipment or property for personal reasons. Unauthorized or improper use or removal of university equipment or property is prohibited under penalty of severe disciplinary action, including termination of employment by the University and prosecution under the criminal statutes of the State of Alabama. (See Paragraph 4.04 B.30.) The removal or misuse of University property should be reported to the Vice President for Business Affairs.

5.14 PUBLIC RELATIONS

Every employee of the University has a public relations role. The University needs the support and understanding of its students and the general public. University employees help shape the University's image among students, visitors, friends, supporters, alumni, and members of the community. Therefore, each employee is, in effect, a public relations representative. Courtesy, helpfulness, respect, and friendliness make for good public relations. All university employees are expected to help make the campus "user friendly" so as to foster good public relations and the recruitment of new students.

5.15 TELEPHONE USAGE AND COURTESY

A. Business Use

1. Prompt, courteous answers to telephone calls should be a self-imposed rule.
2. Employees are direct representatives of the University whenever they talk on the telephone. The response to a caller is just as important as the treatment accorded the person in the office. Properly used, the telephone is a means of promoting goodwill.
3. It is good practice for the employee to identify himself or herself and his or her department when answering or making a call.
4. The employee should always respond to callers in a manner that is pleasant, courteous, and helpful.
5. The following are reminders about good telephone techniques:
 - a) Answer promptly;
 - b) Speak distinctly and pleasantly;
 - c) Identify yourself and your department;
 - d) Get all the facts necessary to answer the caller's question or request for assistance;
 - e) If the caller's request requires you to leave the telephone for more than one minute, offer to return the call when you have obtained the information and do so promptly; and
 - f) Say thank you and good-bye, then place the receiver on the hook gently.

B. Personal Use

1. Personal telephone calls must be kept to a minimum.
2. Supervisors are required to observe the frequency of such calls and caution employees who use the telephone excessively for personal calls.

5.16 STATEMENT OF PRINCIPLE ON THE USE OF E-MAIL

The University e-mail is a service maintained for use by the faculty and staff. The intended use of e-mail is to encourage the efficient and cost effective flow of communication as is inherent in American higher education. Other than for legal purposes, the University does not attempt to control, monitor, or otherwise regulate this medium of communication.

The Alabama Ethics Law (36-25-5 (a)) states that no public employee shall use his or her position to obtain personal gain for himself or herself, or family member, or any business with which the person is associated. No public employee (35-25-5 (c)) shall use equipment, facilities, time, materials, human labor, or public property under his or her discretion or control for the private or business benefit of the employee or other person.

5.17 CONFIDENTIAL INFORMATION

An employee of the University may have the occasion to deal with information which is of a confidential nature. It is imperative that the employee respect the confidentiality of information by not discussing it with anyone except his or her supervisor. If there is doubt as to whether the information is confidential, the employee should ask his or her supervisor for guidance.

5.18 PERSONAL AFFAIRS

The University will not become involved in the personal affairs of its employees except in those cases in which the personal affairs have an influence upon the employee's performance of his or her job.

The University of North Alabama has a vital, legitimate concern in its employees' personal problems when those problems impair the employees' abilities to perform their jobs satisfactorily. These problems may be excessive drinking, drug misuse, emotional or behavioral disorders, and other personal problems which endanger fellow employees or result in poor interpersonal relations, excessive absenteeism, and/or deteriorating work performance.

All employees are expected to take necessary steps (professional assistance, medical attention, etc.) to control their personal affairs, social problems, and medical disorders to ensure that their work performance is not impaired.

5.19 OFF-DUTY CONDUCT

The University does not dictate how employees run their personal lives while away from the job. On the other hand, there are times when an employee's off-duty conduct reflects on the University. Therefore, university employees are asked to conduct themselves in such a way that they do not discredit or tarnish the image of the University or the positions that they occupy.

5.20 INDEBTEDNESS AND COLLECTIONS

Employees are expected to make proper provisions for the liquidation of just debts; thereby preventing the University from being a "collection agency."

The University is required by state law to honor garnishments against an employee's wages. The Business Office will notify an employee when a garnishment order is received and advise the employee of the total amount due, the amount of the deduction, and the starting date of the salary deduction.

5.21 HARASSMENT OF EMPLOYEES

The University is committed to offering employment opportunity based on ability and performance, in a productive climate free of discrimination. Accordingly, harassment of any kind, by supervisors, co-workers, or non-employees in the workplace, will not be tolerated. (See Paragraph 4.04 B.32.)

A. General Harassment: Ethnic or racial slurs and other verbal or physical conduct relating to a person's race, color, religion, or national origin constitutes harassment when they unreasonably interfere with the person's work performance or create an intimidating work environment.

B. Sexual Harassment: University policy prohibits sexual harassment. It is the responsibility of all university employees to ensure that the university community is free from sexual harassment.

Accordingly, all university employees must avoid any conduct that is or has the appearance of sexual harassment. Included are sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or an individual's status as a student;
2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual or for decisions adversely affecting the academic or other status of such individuals as a student; and
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or with an individual's performance or achievement as a student or has the purpose or effect of creating an intimidating, hostile, or offensive work or learning environment.

C. Complaints: Complaints of alleged general or sexual harassment should be reported to the Director of Human Resources and Affirmative Action, to the University Ombudsman, or to the President. The complaints are investigated confidentially, and the complainant or alleged victim is given a report on the conclusions reached.

D. Disciplinary Action: Any employee who violates this policy is subject to disciplinary action, including termination of employment.

5.22 WHISTLEBLOWING/AIRING OF GRIEVANCES

Employees who "go public" with a grievance, complaint, or knowledge of wrongdoings can mar the University's public image. Hence, employees have an obligation to notify their supervisors, others in their chain of supervision, or appropriate university officials of a reasonable belief that a wrongdoing has occurred.

An employee who notifies a member of his or her chain of supervision or a member of the administration of improprieties in the application of policies and procedures, administration of programs, execution of official duties, handling of funds, etc., is protected against retaliatory actions.

The University Grievance Procedures are utilized to air an employee's complaints or to register a grievance concerning misapplication of policies and procedures, unfair rules, discrimination, complaints of general nature, etc. (See Paragraph 3.15.)

5.23 RELIGIOUS/PERSONAL CONVICTIONS

If an employee is asked or required to perform duties to which he or she objects because of religious or other personal convictions, he or she should discuss the matter with his or her supervisor. If at all possible, religious convictions of employees are honored when brought to the University's attention.

Unscheduled religious holidays of importance to the employee may be observed, but the employee is charged annual leave, personal leave, or leave without pay. Such leave is subject to the approval of the employee's supervisor. (See Paragraph 7.05 D.9.)

5.24 ENGAGING IN GOSSIP

The University encourages employees to avoid receiving or passing gossip, rumors, hearsay, or unofficial information, while acting in their job capacities or off duty. Gossip may be detrimental, slanderous, or reflect unfavorably upon the character or reputation of an individual or the credibility of the University.

5.25 TRAFFIC AND PARKING RULES

All staff and service employees using motor vehicles on campus must register them, use properly attached decals, and comply with established parking and traffic regulations. Regulations are in effect 24 hours a day and all personnel are subject to penalties for violations. A brochure setting forth traffic rules for the University may be obtained from the Department of Public Safety.

- A. Vehicle Registration:** Decals are obtained in the Office of Public Safety. There is no registration charge for up to a limit of two vehicles.
- B. Parking:** Parking spaces marked with blue lines are assigned for faculty, staff, and service employee use.
- C. Questions/Appeals:** Any questions or problems regarding parking and traffic should be directed to the Department of Public Safety. Appeals of penalties may be made to the Parking and Traffic Committee through the Department of Public Safety.

5.26 HOUSEKEEPING

A neat and clean work area is usually a safe place in which to work. All employees are expected to maintain good housekeeping standards in their work areas. Supervisors will allow the employee clean-up time as required in his or her work area and job.

5.27 MAINTENANCE AND CUSTODIAL SERVICES

All personnel are expected to exercise proper regard and responsibility for the security, use, and care of university-owned property. Maintenance and custodial needs are reported to the Director of the Physical Plant. If the Director is unavailable, maintenance and custodial needs are reported to the University Facilities Committee member who represents the building which has the maintenance or custodial need. The committee member has the responsibility of calling the need to the attention of the Office of the Director of the Physical Plant.

5.28 CONSERVATION

The University has a responsibility for both economy and conservation in the use of energy. Lights are to be turned off when offices, rooms, and buildings are not occupied. Equipment requiring electricity should be turned off when not in use. Conservation procedures include removing lights not essential to safety and security and using proper temperature settings.

5.29 EMERGENCY PROCEDURES

In case of critical illness, accident, death, or fire on the university campus, emergency assistance should be summoned immediately by calling 9-911. The Department of Public Safety also should be notified by calling Ext. 4280 or 760-4280.

Procedures for reporting on-the-job injuries involving an employee are set forth in Paragraph 3.17 and Appendix G. The form for reporting an on-the-job injury is attached to Section 9 as Form C. Procedures for reporting an accident involving a student or visitor are set forth in Paragraph 3.18. The form for reporting a student or visitor accident is attached to Section 9 as Form D.

5.30 SAFEGUARDING OF KEYS

Offices, rooms, storage units, and buildings are to be secured and locked when not in use. Keys to university facilities are provided only to authorized personnel and are to be safeguarded from improper use. Upon termination of employment or change of location, all keys are to be returned to the immediate supervisor. Any evidence of intrusion or theft should be reported promptly to the supervisor and to the Department of Public Safety.

5.31 WORK, BEHAVIORAL, SAFETY, AND GENERAL RULES

5.32 See Paragraph 4.04 B.

SECTION 6

GENERAL INFORMATION

6.01 SERVICE DATE

An employee's service date is the date he or she was employed full-time by the University after which there has been no break in service by reason of termination of employment.

6.02 IDENTIFICATION CARDS

At the time of initial employment, all full-time employees are issued identification cards by the Office of Human Resources and Affirmative Action. For library privileges, a library barcode label is attached to the identification card. Employees should keep their I.D. cards available at all times. Many of the benefits and privileges listed in Section 7 require an I.D. Upon termination of employment, employees must return their I.D. cards to the Office of Human Resources and Affirmative Action.

6.03 LICENSE AND REGISTRATION

When a license or registration is required before an employee may perform certain duties, it is the responsibility of the employee to acquire and to renew such license or registration. The revocation of or failure to renew a required license or registration could result in the downgrading of the employee's classification or termination of employment.

6.04 NOTIFICATION OF CHANGE OF STATUS

Any change in an employee's status should be reported to the Office of Human Resources and Affirmative Action. If the information in the employee's file is not correct, problems may arise concerning taxes, employee benefits, and other important matters.

A. Employment Status: Changes in employment status (i.e., promotion, transfer, disciplinary action, resignation, retirement, training, awards, etc.) is reported by the employee's supervisor to the Office of Human Resources and Affirmative Action.

B. Personal Data

1. Change of name, marital status, dependents, beneficiary, telephone number, and address are of vital importance in the employee's interest. These changes should be reported promptly by the employee to the Office of Human Resources and Affirmative Action.
2. Beneficiary changes and insurance information must be handled by the employee directly with the Office of Human Resources and Affirmative Action.

6.05 DIRECTORY

Each year, the Office of Human Resources and Affirmative Action prepares and distributes a directory of faculty and staff for use by university personnel. The directory includes a listing of the major offices; faculty and staff by name, position, office room number, office telephone number; and home address and telephone number. All personnel are expected to advise the Office of Human Resources and Affirmative Action of any changes in directory data.

6.06 BULLETIN BOARDS

The University has both official and general bulletin boards. Official bulletin boards are placed in strategic areas throughout the campus and are intended for official university information. Supervisors and/or department heads are responsible for material posted on official bulletin boards. Good judgement and discretion should be practiced in the use of all bulletin boards. The appropriate cost center head or department chair should be contacted for approval before any material, advertisements, or announcements are posted on official bulletin boards.

6.07 LOST AND FOUND

A central lost and found service is maintained in the University Center. Articles may be turned in and inquiries concerning lost articles may be directed to the information desk on the first floor.

6.08 PUBLIC SAFETY

The Department of Public Safety's officers are on duty at all times and have the responsibility for enforcing federal, state, and municipal laws, as well as university rules and regulations. Some of their duties include enforcement of applicable university parking regulations, traffic management, overall safety of persons, and security of property. The officers are certified, upon completion of a police academy program administered by the Alabama Peace Officers Standards and Training Commission in accordance with Section 7, Subsection C. Legislative Act 1981, Amending Act 156 of the Code of Alabama. The officers have authority in university-related matters through the State of Alabama and cooperate with other law enforcement agencies. Problems with safety, criminal activity, traffic or parking may be directed to the Department of Public Safety. In case of an emergency, assistance may be reached through the Department of Public Safety, (205)760-4280; through the university switchboard, or by dialing 9-911 on campus; and by dialing 911 at any pay phone on campus.

6.09 SOLICITATION

The University of North Alabama may authorize, by action of the President or the Board of Trustees, the solicitation of funds for recognized and established charities which benefit the general community and by university employees representing not-for-profit civic clubs. Additionally, the University sanctions an annual United Way fund campaign. Other solicitation of employees by other employees for membership, contributions, funds, or other purposes during employees' work hours (to include breaks and lunch period) is expressly prohibited. Violation of this policy will subject employees to disciplinary action.

Persons not employed by the University are not permitted to come or remain on university premises for the purpose of solicitation or distribution of cards, literature, notices, or papers of any kind in any work area. The posting of any such materials on

walls, windows, machines or other equipment, or bulletin boards without the expressed permission of the appropriate member of the University Executive Committee is prohibited.

Employees who discover persons making unauthorized solicitations should report such activities to their supervisors immediately.

6.10 EDUCATION AND TRAINING

Employees are encouraged to take advantage of the available educational and training opportunities.

A. Education

1. The University encourages staff development by sponsoring the attendance by selected employees to short courses, seminars, meetings, etc., where the program is designed to upgrade, inform, or otherwise educate employees in their job performance. Staff development must be recommended by the appropriate cost center head.
2. Full-time employees also may participate in courses offered by the University through the remission of course hour fees benefit. (See Appendix K.)

B. Training

1. Employees are given on-the-job training in skilled and efficient job performance and, whenever possible, opportunities to learn new skills.
2. Supervisors work closely with employees thus enhancing the accuracy and effectiveness of task performance and enabling employees to understand the functions of their department.
3. Every effort is made to train each employee to perform his or her job properly and confidently, assuming the employee possesses the reasonable skills and education for the position.

C. Employee Development

1. Employees are responsible for their own personal and professional development. While assistance, recognition, and opportunity for improvement and advancement can be provided for employees by the University, the physical and mental efforts necessary to improve knowledge, skills, and abilities rest with the individual employee.
2. Employees are expected to stay current in their fields and to maintain an acceptable level of proficiency.
3. Individuals are encouraged in their self-development efforts. Independent employee participation in higher level educational programs, other than those required by the position, is encouraged as a means for enhancing competence and fostering renewal among employees.

6.11 SUGGESTIONS

The University's work environment is continually changing, and employees' suggestions on improvement of university operations, policies, procedures, and practices are always welcome.

6.12 AWARDS

A. Service Awards: Program to be developed.

B. Other Awards: Program to be developed.

6.13 PETS IN THE WORKPLACE

In order to create a proper, safe, and healthy environment for the conduct of academic programs and support at the University, pets (with the exception of fish) are not allowed in any of the buildings owned and operated by the University. Exceptions to this policy are granted for working animals (e.g., seeing-eye dogs, companion dogs, drug sniffing dogs) and for those animals for which there are a bona fide medical recommendation and approval by the President of the University and/or the President's designated representative.

SECTION 7

FRINGE BENEFITS

7.01 ELIGIBILITY

The eligibility of staff and service employees for University of North Alabama benefits/privileges is determined by the "Employment Status Classification." (The classifications are explained in greater detail in Paragraph 3.03.) A listing of the classifications and the benefits/privileges associated with each classification follows.

A. Probationary Employees

1. The following benefits are not available to university employees during the probationary period:

- a) Life insurance;
- b) Dental insurance;
- c) Disability insurance;
- d) Annual leave; and
- e) Absence leave.

2. Survivor benefits under the Alabama Teachers' Retirement System are greatly reduced for members with less than one year of service. (See Paragraph 7.07 H and Appendix N.)

B. Full-Time Regular Employees (12 Months): Employees in this classification are entitled to all benefits listed in Paragraphs 7.02 through 7.10, excluding those listed in A above during the probationary period and as may otherwise be stipulated.

C. Full-Time Regular Employees with Designated Off-Periods - 12 Months (Departmental Secretaries): Employees in this classification are entitled to all benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits listed in A above during the probationary period;
2. Annual leave; and
3. Holidays falling during off-periods.

D. Full-Time Regular Employees - 9 Months (Departmental Secretaries, Nursing Clerks, and University Nurses): Employees in this classification are entitled to benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits listed in A above during the probationary period;
2. Annual leave; and
3. Holidays falling during off-periods.

E. Half-Time Regular Employees with Designated Off-Periods - 12 Months (Departmental Secretaries): Employees in this classification are entitled to benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits listed in A above during the probationary period;
2. Annual leave;
3. Holidays falling during off-periods;
4. Remission of course hour fees benefit;
5. Life insurance; and

6. Long-term disability insurance.

F. Three-Quarters' Time Regular Employees (Kilby School Cafeteria Workers):

Employees in this classification are entitled to benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits listed in A above during the probationary period;
2. Annual leave; and
3. Holidays falling during off-periods.

G. Full-Time Regular Employees - 10 Months (Kilby School Secretary):

Employees in this classification are entitled to benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits in A above during the probationary period;
2. Annual leave; and
3. Holidays falling during off-periods.

H. Full-Time Temporary Employees: Employees in this classification are entitled to limited benefits as listed below:

1. Individual health insurance benefits at no cost to the employee;
2. Dental insurance (for temporary employees on a 9- or 12-month appointment);
3. Federal Social Security benefits as stipulated by law;
4. One 30-minute break during each full workday or the fractional equivalent for each workday of less than 8 hours;
5. A temporary employee hired under a monthly salary or hourly rate will be given holidays falling during the work period;
6. Limited payroll deductions;
7. Free parking;
8. Credit union membership; and
9. Miscellaneous discounts.

I. Part-Time Regular Employees: Employees in this classification are entitled to benefits listed in Paragraphs 7.02 through 7.10, except as noted below and as may otherwise be stipulated:

1. Benefits in A above during the probationary period;
2. Remission of course hour fees benefit;
3. Life insurance; and
4. Long-term disability insurance.

J. Part-Time Temporary Employees: Employees in this classification are entitled to limited benefits as listed below:

1. Federal Social Security benefits are provided and the University's contribution as stipulated by law;
2. Unemployment compensation, in accordance with state law, upon involuntary termination in good standing;
3. One 30-minute break during each full workday or the fractional equivalent for each workday of less than 8 hours;
4. Limited payroll deductions;
5. Free parking; and
6. Miscellaneous discounts.

7.02 ANNUAL LEAVE

The University of North Alabama provides staff, nonteaching faculty and service employees in certain job classifications annual leave for the purpose of affording employees a rest from the work routine. It is hoped that this will create a higher degree of job efficiency and effectiveness. The University's official policy statement regarding annual leave is set forth in Appendix I.

A. Job Classifications Entitled to Annual Leave: The following job classifications are entitled to annual leave:

1. Full-time regular (12 months) staff, nonteaching faculty, and service employees who are not "off-duty" employees.
2. Regular employees who work less than 40 hours per week--leave accrues in proportion to the fraction of time worked (20 hours per week or more). Regular part-time employees, employees who work less than 20 hours per week, and off-duty employees are not entitled to annual leave.

B. Accrual of Annual Leave: Each full-time regular employee (12 months) will be entitled to 80 work hours (10 workdays) annual leave with pay at the employee's regular rate of pay for each 52-week period worked during the first 2 years of employment. After completion of 2 years of continuous service, each full-time regular employee will be entitled to 12 days of annual leave. For each additional year of service, annual leave will be increased by 1 day per year to a maximum of 20 days after 10 years.

1. The employee's years of employment for increased annual leave credit are computed on the basis of continuous and uninterrupted full-time regular employment beginning with the employee's date of employment.
2. The first 3 months of employment for a nonexempt employee will be considered probationary months, during which time no annual leave will accrue. After the probationary period has ended and the employee is retained as a full-time regular employee, annual leave will accrue retroactive to the first full week of employment.
3. An employee earns annual leave credit for all of the time for which he or she is considered to be in active pay status, which includes, but is not limited to:

- (a) normal work hours, (b) paid vacation, (c) paid absence leave, (d) paid jury duty, and (e) paid military leave.
- 4. Regular employees who work less than 40 hours per week, but more than 20 hours per week, for 12 months per year, and who are not employed in off-duty status, will accrue annual leave in proportion to the fraction of time worked.

C. Annual Leave Form: The form for requesting or reporting annual leave is attached to Section 9 as Form E.

7.03 ABSENCE LEAVE

The University of North Alabama provides staff and service employees in certain job classifications absence leave to prevent loss of income: (a) during an illness when confined at home or in the hospital; (b) during an absence related to pregnancy or childbirth; (c) when required health related professional services cannot be obtained outside regular work hours; (d) when caring for a seriously ill member of the immediate family; (e) during an absence due to a death in the immediate family; (f) while attending funerals; (g) while attending university classes; (h) during periods of inclement weather; and (i) while taking care of extraordinary legal or personal business matters (limited to 2 days per year with the exception that, for justifiable reasons, the appropriate vice president may approve 3 additional days). The University's official policy statement regarding absence leave is set forth in Appendix J.

A. Accrual of Absence Leave

1. The first 3 months of employment for nonexempt regular staff and service employees will be considered probationary, during which time no absence leave will accrue. After the probationary period has ended and the employee is retained as a regular employee, absence leave will accrue retroactive to the first full week of employment.
2. The absence leave accrual rate does not increase with years of service.

B. Job Classifications Entitled to Absence Leave: The accrual rate of absence leave is based on employment status classifications as follows:

1. Full-time regular staff and service employees are entitled to 96 work hours (12 workdays) of absence leave with pay at the employee's regular rate of pay for each 52-week period worked at the rate of 1.846 hours each week (an average of one day per month).
2. Full-time regular employees (departmental secretaries who work 12 months with designated off-periods) are entitled to 96 work hours (12 workdays) of absence leave with pay at the employee's regular rate of pay for each 52-week period worked at the rate of 1.846 hours each week (an average of one day per month).
3. Full-time regular employees (10 months) are entitled to 80 hours (10 workdays) of absence leave each year at the employee's regular rate of pay.

Absence leave accrues only during the 10 months that the employee actually works.

4. Full-time regular employees (9 months) are entitled to 72 work hours (9 workdays) of absence leave each year at the employee's regular rate of pay. Absence leave accrues only during the nine months that the employee actually works.
5. Full-time regular Kilby School nonfaculty employees (9 months) will accrue absence leave for 9 months only at the rate of 1.846 hours each week (approximately 1 day per month). Absence leave will be prorated for employees who work less than 8 hours per day.
6. Full-time regular Kilby School nonfaculty employees (10 months) will accrue absence leave for 10 months only at the rate of 1.846 hours per week (approximately 1 day per month). Absence leave will be prorated for employees who work less than eight hours per day.
7. Half-time regular employees (departmental secretaries who work one-half day for 12 months with designated off-periods) accrue absence leave at one-half of the rate for a full-time employee (0.9231 hours per week).
8. Regular employees who work at least 20 hours per week for an indefinite period are entitled to absence leave at one-half the rate for a full-time employee or a prorated share for hours worked above 20 hours in increments of 5 hours. No one who works less than 20 hours a week is eligible for absence leave.

C. Absence Leave Form: The form for requesting or reporting absence leave is attached to Section 9 as Form E.

7.04 FAMILY AND MEDICAL LEAVE

The University of North Alabama staff and service employees who have worked for the University for at least 1 year, and for at least 1,250 hours over the previous 12 months, are entitled to take up to 12 weeks of leave for certain family and medical reasons under the provisions of the Family and Medical Leave Act of 1993 (FMLA). The University's policy pertaining to FMLA is explained in further detail in Appendix P.

A. Reasons for Which Leave May Be Taken: The University will grant leave to an eligible employee for one or more of the following reasons:

1. For the care of the employee's child (birth, or placement for adoption or foster care);
2. For the care of the employee's spouse, son or daughter, or parent who has a serious health condition; or,
3. For a serious health condition that makes the employee unable to perform his or her job.

B. Absence and Annual Leave: If the need arises for an employee to take leave under the provisions of the FMLA, he or she must exhaust his or her absence and annual leave before being placed in a leave-without-pay status.

C. Benefits

1. While on annual or absence leave, an employee's benefits will continue.
2. The University will pay the employee's individual health insurance premiums for whatever portion of the 12-week leave period that he or she is on leave without pay.
3. While on leave without pay, the employee may continue his or her dental, cancer and intensive care insurance, as well as life insurance and long-term disability insurance, by personally paying the premiums.
4. When an employee goes on leave without pay, the employee's long-term disability insurance will continue, accrual of absence and annual leave will be discontinued, and retirement will be "frozen" until such time as he or she returns to work.

7.05 HOLIDAYS

A. Regular Employees (Full-Time, Three-Quarters' Time and Half-Time)

1. Regular employees (full-time, three-quarters' time and half-time) and part-time regular staff and service employees are entitled to time off with pay for the 7 holiday periods listed below:
2. Two days at New Year's;
3. Martin Luther King's Birthday;
4. Federal Memorial Day;
5. Fourth of July - or next work day;
6. Labor Day;
7. Thanksgiving and the day following; and
8. Three days at Christmas.

B. Regular Employees with Designated Off-Periods: Regular employees with designated off-periods are entitled only to holidays falling within their work periods.

C. Full-Time Temporary Employees: Full-time temporary employees are given holidays falling during their work periods.

D. General Holiday Policies

1. The days observed as holidays are designated in the annual university bulletin.
2. An employee is eligible for equal time off at a later date if he or she is scheduled to work on a holiday. The time is recorded on the Employee

- Compensatory Time Record (See Form B, Section 9) at the rate of 1 hour of time off for each hour worked. Under certain circumstances, and upon the recommendation of the supervisor, the employee may receive compensation in lieu of time off. The hours worked on a holiday are not overtime hours.
3. If an employee works shift work and his or her regular off day falls on a holiday, he or she is given credit for the time on the Employee Compensatory Time Record at the rate of 1 hour of time off for each hour work.
 4. Persons who work part of the year, work on a regular part-time basis, or who are in an off-duty status are not paid for holidays which fall within their off periods or nonscheduled workdays.
 5. Time between semesters, when school is not in session, is considered off time for all off-duty personnel.
 6. Only off-duty status personnel observe the spring break recess.
 7. If an employee is ill during a holiday, he or she is granted holiday pay in lieu of absence leave pay.
 8. If an employee is on an unpaid leave of absence or leave without pay, he or she is not paid for a holiday which occurs during his or her absence.
 9. Holidays of importance to an employee that are not observed by the University may be observed by the employee, but he or she is charged annual leave, personal leave, or leave without pay. Such leave is subject to the approval of the employee's supervisor.
 10. Full-time regular employees serving a probationary period are eligible for holidays falling on their workdays within that period.
 11. If the President gives university employees an additional holiday and makes the announcement in advance of the designated day, those employees who are on annual or absence leave do not have a leave day charged against their accrued leave. On the other hand, if the President dismisses the employees early, the employees on annual or absence leave are not given credit for the hours involved in the early dismissal.

7.06 MISCELLANEOUS LEAVE/ABSENCES

A. Breaks

1. Each full-time regular employee is entitled to one 30-minute break during each regular workday. The time of the break will be arranged between the employee and his or her immediate supervisor during the morning hours. The break cannot be used to shorten the workday. By prior arrangement between the employee and his or her supervisor, the break may be taken with the lunch break so as to allow up to 1 hour for lunch and to conduct personal business.

2. Regular employees who work less than 8 hours during a workday are entitled to a break that is prorated based on hours worked.
3. Full-time temporary employees who work 8 hours per day are entitled to one 30-minute break during each full workday.

B. Jury Duty

1. Regular and temporary employees receive their full pay, based on normal hours worked, while absent from the University to serve on jury duty.
2. The hours spent serving on jury duty will be considered hours worked.
3. A copy of the court summons must be given to the employee's immediate supervisor for submission as part of the Leave Request Form submitted to the Office of Human Resources and Affirmative Action.
4. The employee reports to his or her immediate supervisor whenever he or she is excused from jury duty during hours that he or she normally works for the University.
5. The employee keeps his or her remuneration for serving on jury duty in addition to his or her pay from the University.

C. Military Leave: Regular employees who are active members of the Alabama National Guard or any reserve unit of the Armed Forces of the United States will be granted military leave with pay in accordance with Alabama law (a maximum of 21 workdays within a calendar year). State institutions are also required to pay an additional 21 working days if the employee is called to active duty by the Governor of the State of Alabama.

D. Administrative Leave: In certain situations, a regular employee may be given an administrative absence from his or her place of duty which does not result in a charge to any kind of leave with pay or loss of basic salary. Examples of administrative absences are emergency rescue or protective work, closing of the University due to inclement weather, blood donation, representing the institution at the request of the University, and voting and registering.

E. Leave without Pay: Leave without pay may be granted to an employee for short periods of time when all accrued leave has been exhausted, or in cases when an employee does not accrue leave.

F. Leave of Absence: Granting leave without pay is a matter of administrative discretion. It is granted only during extreme circumstances and only when there is reasonable expectation that the employee will return to duty. In addition, it should be apparent that it results in increased job ability, protection, or improvement in the employee's health, or the retention of a desirable employee. An employee may be granted a leave of absence without pay for up to 6 months for purposes of: (1) advanced training, (2) health or disability, or (3) other justifiable causes. An extension may be granted by the President after review of university needs and, in the case of health or disability, medically-documented

reasonable expectation that the employee will be able to return to full-time employment.

7.07 INSURANCE PLANS

A. Health Insurance

1. At no cost to the employee, health insurance benefits are available to full-time regular employees, full-time regular employees with designated off-periods, and temporary full-time employees.
2. Regular employees and temporary employees who work 20 at least but less than 40 hours per week are eligible for health insurance benefits by contributing a prorated share of the cost for individual coverage.
3. The categories of employees listed in 1 and 2 above, excluding temporary employees, are permitted to add eligible family members to the health benefit program by paying the difference between an individual plan and a family plan. A full-time temporary (9- to 12-month appointment) employee may add his or her family to the health insurance by paying the difference between an individual plan and a family plan.
4. Each eligible employee must have health insurance under the University's group plan or show proof of being insured under another plan.
5. The health insurance benefits contract is negotiated annually; therefore, benefits are subject to change.
6. The University of North Alabama Group Health Care Plan booklet that further explains the health insurance benefits is distributed to each employee by the Office of Human Resources and Affirmative Action. A replacement copy may be obtained from the Office of Human Resources and Affirmative Action.
7. The contract between the University and the health insurance carrier is available for review by members of the insured group in the Office of Human Resources and Affirmative Action.

B. Vision Insurance

1. The University provides vision insurance to cover examinations, conventional lenses, contact lenses and frames. This insurance is provided as part of the health insurance. All of the information in 7.07 A above concerning coverage is also applicable to vision insurance.
2. A summary of the vision benefits is contained in the University of North Alabama Group Health Care Plan booklet, a copy of which is available in the Office of Human Resources and Affirmative Action.

C. Dental Insurance

1. Dental insurance is provided for all full-time regular (12 months) employees, full-time regular employees with designated off-periods, and full-time temporary (9- to 12-month appointments) employees.
2. Regular employees who work at least 20 but less than 40 hours per week and half-time departmental secretaries with off-duty periods may enroll in the dental insurance by paying a prorated share of the cost of the individual premium.
3. The employees listed in 1 and 2 above are permitted to add their immediate families to the dental insurance at the employees' expense.
4. A summary of the dental benefits is contained in the University of North Alabama Group Health Care Plan booklet, a copy of which is available in the Office of Human Resources and Affirmative Action.

D. Cancer Insurance and Intensive Care Insurance

1. The University furnishes cancer insurance and intensive care insurance at no cost to full-time regular employees, full-time regular employees with designated off-periods, and full-time temporary (9- to 12-month appointments) employees.
2. Regular employees who work at least 20 but less than 40 hours per week and half-time departmental secretaries may enroll in the cancer and intensive care insurance by paying a prorated share of the cost of the individual premium.
3. The employees listed in 1 and 2 above are permitted to add their families to the cancer and intensive care insurance at the employees' expense.
4. Each covered employee will be issued an individual policy.
5. A brochure is available in the Office of Human Resources and Affirmative Action that further explains the cancer and intensive care insurance coverage.

E. Long-Term Disability Insurance

1. Entitlements

- a) After 3 months of continuous employment, full-time regular employees, full-time regular employees with designated off-periods, and regular employees who work at least 30 hours per week are eligible for long-term disability benefits. Temporary employees and regular employees who work less than 30 hours per week are not entitled to long-term disability benefits.
- b) An employee approved for long-term disability draws approximately 60% of his or her regular salary. (This amount is not to exceed a benefit of \$3,500 per month less the sum of the benefits from other sources. In no event will the monthly income be less than \$50.00).
- c) Long-term disability payments are coordinated with other benefits. In other words, disability payments are offset by the amount received from other benefits (e.g., Social Security, retirement, absence leave, etc.).

- d) An employee must make application for Social Security benefits at the same time he or she makes application for long-term disability benefits. He or she must provide the long-term disability carrier (TIAA) with copies of the application for Social Security benefits and a copy of the response from the Social Security Administration.
- e) The University pays the employee's individual health insurance premiums for 6 months after the employee has exhausted accrued leave, gone on leave without pay, or started drawing long-term disability payments, whichever comes first. (See Appendix N.)
- f) The employee no longer has any claim to the job or other like positions with the University after 6 consecutive months of absence leave or a combination of absence leave, annual leave, leave without pay, and long-term disability unless the University extends the time.
- g) Benefits continue during a term of continuous total disability until the following age or time limit:

AGE WHEN TOTAL DISABILITY STARTS	AGE OR TIME LIMIT
Less than 60	to age 65
60 but less than 65	4 ³ / ₄ years
65 but less than 68 ³ / ₄	to age 70
68 ³ / ₄ or over	one year

2. Waiting period

- a) Long-term disability benefits begin on the first of the month following 90 days of total disability.
- b) If an employee becomes able to return to work during the waiting period, he or she is not entitled to disability payments.

3. General provisions

- a) An employee who is ill, injured, or otherwise unable to work may use accrued absence leave. (See Appendix J.)
- b) If the employee wishes to save his or her absence leave or does not have any accrued absence leave, he or she may request annual leave or leave without pay. (See Appendix I.)
- c) If an employee has sufficient accrued absence or annual leave days, he or she may continue to receive full leave pay until he or she exhausts all accrued leave or until he or she is approved for long-term disability benefits, whichever comes first. (See Appendix N.)

- d) If the employee exhausts his or her absence leave and annual leave prior to becoming eligible for long-term disability payments, he or she is placed in a leave-without-pay (pending disability) status. The employee ceases to receive a paycheck and the 6-month period in which the University pays the employee's health insurance premiums will begin.
- e) If, upon the advice of the employee's doctor, it appears that the employee is unable to work for longer than 90 days, he or she should seek the assistance of personnel in the Office of Human Resources and Affirmative Action to prepare an application for long-term disability benefits. The application should be prepared at the earliest possible date.
- f) If the employee has sufficient absence and annual leave to carry him or her beyond the approved beginning disability date, he or she may elect to continue receiving pay for accumulated leave until such time as accumulated leave has been exhausted, or until the employee elects to discontinue using leave and reverts to disability payments. If the employee elects to continue drawing leave pay beyond the approved beginning disability date, he or she ceases to accumulate leave until he or she returns to work.
- g) Upon exhausting accrued leave, going on leave without pay, or the beginning of long-term disability payments, the employee ceases to accumulate leave until he or she returns to work. If the employee has an accumulated annual leave and/or absence leave balance after starting disability payments, the leave is frozen. Payment for annual leave and absence leave is governed by Appendix I, Paragraph G and Appendix J, Paragraph F.2.
- h) Each covered employee will be issued an individual policy.
- i) A brochure is available in the Office of Human Resources and Affirmative Action that explains the long-term disability policy in detail.

F. Life Insurance (Teachers Insurance and Annuity Association [TIAA])

1. After 3 months of continuous full-time employment, the University furnishes term life insurance to full-time regular employees, full-time regular employees with designated off-periods, and regular employees who work at least 30 hours per week. Temporary employees and regular employees who work less than 30 hours per week are not entitled to life insurance benefits.
2. The amount of life insurance for an active employee is one and one-half times the employee's annual salary up to age 65; the amount of the annual salary from age 65 to age 70; 67% of the annual salary from age 70 to age 75; and 45% of the annual salary from age 75 to 80.
3. An employee who retires before age 65 may continue full life insurance coverage at his or her own expense up to age 65. After reaching the age of 65, a retiree may continue his or her life insurance under the University's

group plan in the amount of \$10,000. Coverage under the group plan ceases at age 70.

4. Each covered employee is issued an individual policy.
5. A brochure is available in the Office of Human Resources and Affirmative Action that further explains the group life insurance program.

G. Accidental Death and Dismemberment (AD&D [TIAA])

1. The term life insurance program insured by TIAA includes provisions for Accidental Death and Dismemberment for those eligible for life insurance in F.1. above.
2. AD&D benefits for accidental death equal the amount in force under the group term life insurance policy and are paid in addition to the term life benefits. In other words, the amount of life insurance is doubled in the event of an accidental death.
3. AD&D benefits are not available to retired or disabled employees at any age.
4. Additional information on AD&D is contained in the group life brochure, a copy of which is available in the Office of Human Resources and Affirmative Action.

H. Life Insurance Benefits (Teachers' Retirement System of Alabama [TRS])

1. Contingent upon funding by the legislature each year and within the rules of the Teachers' Retirement System (TRS), the beneficiary or estate of a deceased member who dies within 90 days of the last day the member was in active pay status is eligible to receive up to \$15,000 in life insurance benefits.
2. The life insurance benefits are \$15,000 if the member was employed on a full-time basis, or a prorated amount of the \$15,000 benefit if the member was employed less than full-time. (The beneficiary of a member employed half-time is entitled to a \$7,500 life insurance benefit.)
3. No benefit is paid upon the death of any member whose death occurs within 90 days of the date that coverage begins for such member where death results from a condition existing prior to the date that coverage begins.

I. Absence Leave Death Benefits

1. Upon the death of an employee who is still in service, a death benefit equal to the unused accrued absence leave credited to the account of the employee or 60 workdays, whichever is smaller, is paid to the designated beneficiary of the employee or is included in the amount reported to the Retirement System, but not both.
2. The amount of accrued absence leave above that selected as a death benefit is certified to the Retirement System at the option of the beneficiary. In other words, upon the death of an employee, his or her beneficiary is paid an

amount equivalent to 12 weeks of work, provided the employee had a minimum of 60 days of absence leave. (See Appendix J, Paragraph F.2.)

- J. Annual Leave Death Benefits:** Upon the death of an employee, his or her beneficiary receives payment for all accrued annual leave. (See Appendix I, Paragraph G.5.)
- K. Biweekly/Monthly Salary Death Benefits:** Upon the death of an employee, that portion of the biweekly/monthly salary earned by the employee, but not paid, is paid to the beneficiary.
- L. Unemployment Compensation Insurance:** If an employee is involuntarily terminated in good standing, he or she may be eligible to draw unemployment compensation from the State of Alabama, which is paid to the State by the University.
- M. Workers' Compensation Equivalent Program:** The University of North Alabama does not participate in an insured Workers' Compensation Program. However, the University provides benefits under the Workers' Compensation Equivalent Program for accidental injury involving a violent occurrence during the performance of routine duties of an individual's university employment. There must be sufficient substantiating data to prove that the employee did, in fact, sustain an injury while on the job.
 - 1. Employees who are not covered under the University's group health insurance benefits and long-term disability benefits are not entitled to coverage under the Workers' Compensation Equivalency Program.
 - 2. Claims which are disapproved or not covered under the University's Workers' Compensation Equivalent Program may be submitted by the employee to the Alabama State Board of Adjustment.
 - 3. The University's official policy statement regarding its Workers' Compensation Equivalent Program is set forth in Appendix G.
 - 4. The form used for reporting an on-the-job injury is attached to Section 9 as Form C. Additional copies of the form may be obtained from the employee's supervisor or the Office of Human Resources and Affirmative Action.

7.08 RETIREMENT

A. Alabama Teachers' Retirement System

1. General information

- a) All full-time regular employees and regular employees who work at least one-half time must become members of the Alabama Teachers' Retirement System as a condition of employment. Temporary employees who work 20 hours per week or more are not eligible to

become members of the Teachers' Retirement System during their first year of employment, but must become members after one year of temporary employment.

- b) The employee contributes 5% of his or her gross income to the retirement program and the University contributes approximately 6.31% (amount may vary from year to year and is subject to change by the Teachers' Retirement System).
- c) An employee who has 25 years of service with the Alabama Teachers' Retirement System may elect to retire at any age with full retirement benefits.
- d) After 10 or more years of credited service, a member has a vested interest in the Alabama Teachers' Retirement System.
- e) At age 60, a vested employee may apply for monthly retirement benefits, providing he or she has not withdrawn any of his or her contributions.
- f) A statement of account is forwarded to each member annually by the Teachers' Retirement System listing the member's contributions and accrued interest.
- g) The Alabama Teachers' Retirement System is a State of Alabama program over which the University has no control and assumes no responsibility.
- h) A brochure is available in the Office of Human Resources and Affirmative Action that further explains the Teachers' Retirement Program.

2. Retirement counseling

- a) Personnel in the Office of Human Resources and Affirmative Action are available to answer questions regarding retirement from the University of North Alabama.
- b) Teachers' Retirement System counselors make periodic visits to the University to answer questions about retirement under the Alabama Teachers' Retirement System. For information regarding the counselors' visits, contact the Office of Human Resources and Affirmative Action.

B. Retirement application

1. Once a staff or service employee decides to retire, and has notified the President of that decision, a personalized retirement packet is prepared by the Office of Human Resources and Affirmative Action for the prospective retiree. The packet contains: a retirement application and instructions for its completion; a schedule of events leading up to retirement; absence leave and annual leave balances and disposition of each upon retirement; information on a final university paycheck; and options available for continuation of health

- insurance, dental insurance, life insurance, and cancer and intensive care insurance.
2. The Teachers' Retirement System provides the prospective retiree with a statement of monthly benefit entitlements under each of the 4 options prior to a required selection. However, it is suggested that the employee devote some time during the earlier stages of retirement planning to determine which option best fits his or her retirement needs.
 3. When an employee who is 62 years of age or older decides to retire, he or she should contact the local Social Security Office regarding Social Security benefits.

C. Retirement benefit options

1. Upon retiring under the Alabama Teachers' Retirement System, a member may elect the largest monthly benefit available. The maximum monthly benefit is payable to the retired member as long as he or she lives and all benefits cease at his or her death.
2. A member may provide for a beneficiary by selecting one of the following options, which results in a reduced benefit for the member:
 - a) Option 1: The retired member receives less money each month than under the maximum, but if the retired member should die prior to having depleted his or her own fund in the Annuity Reserve, the balance is payable to the beneficiary in a lump sum.
 - b) Option 2: A member, at the time of retirement, may elect to receive a reduced retirement allowance which is continued throughout the member's life and, subsequent to the member's death, throughout the life of the designated beneficiary.
 - c) Option 3: A member, at the time of retirement, may elect to receive a reduced retirement allowance payable throughout his or her life, and upon the member's death, 1/2 of the retirement allowance is continued throughout the life of the designated beneficiary.
3. If a member elects to receive benefits under the provisions of either the maximum allowance or Option 1, he or she may change the beneficiary at a later date. However, if a member elects to receive benefits under the provisions of either Options 2 or 3, the beneficiary cannot be changed after the effective date of retirement.

D. Retirement calculation formula: The approximate monthly benefit may be calculated by using the following formula:

$$\begin{array}{ccccccc}
 \textit{Average} & & \textit{Years of} & & \textit{Maximum} & & \textit{Maximum} \\
 \textit{Final} & \times & \textit{Creditable} & \times & \textit{Annual} & \div & \textit{Monthly} \\
 \textit{Compensation} & & \textit{Service} & & \textit{Benefit} & & \textit{Benefit} \\
 & & & & \textit{2.0125\%} & & \textit{12}
 \end{array}$$

E. Leave Entitlements

1. **Annual leave:** Upon retirement, an employee receives pay equal to any unused annual leave that was carried over from the preceding annual year and all earned annual leave pay for the annual year in which the retirement occurs (See Appendix I, Paragraph G.2.)
2. **Absence leave:** Upon retirement, up to 225 days of unused absence leave is certified as additional service credit to the Alabama Teachers' Retirement System (See Appendix J, Paragraph F.1.)

F. Deferred Compensation: Employees may participate in a tax-sheltered plan by setting aside a portion of his or her salary to be taxed on a deferred basis (See Paragraph 7.09 K.)

G. Social Security

1. Federal Social Security benefits are provided for all staff and service employees.
2. The amounts of contributions are as stipulated by law. The University's contribution generally equals that paid by the employee.
3. An employee can receive a statement of his or her earnings covered by Social Security by preparing Form SSA-7004-PC1 that requires only the individual's name, address, social security number, and signature, and mailing the form to the Social Security Administration. An estimate of future benefits can be received by listing on the same form an estimate of future earnings.
4. A copy of Form SSA-7004-PC1 is available in the Office of Human Resources and Affirmative Action. For information regarding Social Security, employees are advised to contact the local Social Security Office.

H. Continuation of Insurance Coverage after Retirement

1. Retirees may continue their health insurance benefits, single or family coverage, under the University's program, at their own expense until age 65 (See Appendix N.)
2. Retirees may apply for health insurance coverage for themselves and their families under the Public Education Employee Health Insurance Program (PEEHIP) through the Alabama Teachers' Retirement System, at their own expense.
3. Retirees may continue full life insurance coverage up to age 65 at their own expense and after age 65 at reduced coverage. Coverage under the University's group life insurance plan ceases at age 70 (See Appendix N.)
4. Retirees can participate, at their own expense, in the cancer insurance and intensive care insurance in a nongroup, direct pay policy (See Appendix N.)
5. Long-term disability insurance is not available to retirees.

I. Continuation of Miscellaneous Benefits and Privileges after Retirement

1. Persons retiring with a minimum of 10 years full-time employment with the University may purchase season tickets to athletic events on the same basis as active employees (See Appendix N.)
2. Persons retiring with a minimum of 10 years full-time employment with the University qualify for remission of course hour fees for themselves, for eligible dependent children, and for their spouses (See Appendix K.)

7.09 MISCELLANEOUS BENEFITS AND PRIVILEGES

Many of the miscellaneous benefits and privileges listed herein require an employee identification card.

- A. Uniforms:** Public Safety Officers assigned to the Department of Public Safety are provided uniforms.
- B. Overtime Pay or Compensatory Time:** Employees classified as "nonexempt" under the overtime provisions of the Fair Labor Standards Act are paid time and one-half for all hours worked over 40 hours in a week or given compensatory time at the rate of time and one-half the regular rate (See Paragraph 3.06.)
- C. Travel and Expense Reimbursement:** The University's official policy statement regarding travel is set forth in Appendix M.
 1. Funds are budgeted to appropriate departments for reimbursement of travel expenses incurred during required university business or approved attendance at meetings, conferences, etc.
 2. Expenses incurred by an employee on the University's behalf are reimbursed to the employee if prior approval was obtained to make such expenditures.
 3. Personal cars are to be used for university business only when university cars are not available and special permission is granted.
- D. Recreation:** University recreational facilities are available to employees for individual or group activities. Tennis courts are available on a priority schedule. The swimming pool, gymnasium facilities, and Wellness Center in Flowers Hall are open at scheduled hours. Limited employee locker and shower facilities are available. Inquiries should be directed to the Chair of the Department of Health, Physical Education, and Recreation.
- E. Admission to Athletic Events:** The University offers admission to athletic events at reduced rates to full-time employees and retirees. Employees of the University may purchase season tickets as follows:

1. Each full-time regular employee and retiree may purchase two season tickets for each sport for the exclusive use of the employee and his or her spouse (or invited guest) at 20% of the regular price.
2. Each full-time regular employee and retiree may purchase season tickets for each sport for the exclusive use of the employee's dependent children under 19 years of age at 50% of the regular price.
3. Tickets purchased at the above rates must be purchased during the university season ticket sale. No discounts will be given on individual game tickets.

F. Remission of Course Hour Fees: The University's official policy statement regarding remission of course hour fees for full-time regular employees, their spouses, and their dependent children, and for retirees is set forth in Appendix K.

1. **Children:** For qualifying children of full-time regular staff, service employees, and retirees, the University pays three-quarters of the basic fee or three-quarters of the part-time regular course hour fee (room, board, supplies, and other special charges excluded) for enrollment in undergraduate programs at the University.
2. **Employees:** The full remission of course hour fees for both graduate and undergraduate level work taken at the University is available to full-time regular staff and service employees of the University. Upon the recommendation of the supervisor and department head, an employee may be given special permission to take a continuing education class each semester in lieu of a regular graduate or undergraduate course.
3. **Spouses:** The spouse of a full-time regular staff or service employee is eligible for remission of course hour fees under the same provisions as stipulated for the employee except for continuing education courses.
4. **Retirees:** A retiree of the University and his or her spouse are eligible for remission of course hour fees under the same provisions as stipulated for the employee except for continuing education courses.
5. **Forms:** The forms for requesting remission of course hour fees are in Section 9
 - a) **Form F:** Application for Remission of Course Hour Fees for Dependent Children;
 - b) **Form G:** Application for Remission of Course Hour Fees for Spouses; and
 - c) **Form H:** Application for Remission of Course Hour Fees for Employees.

G. Promotional Opportunities: The University makes every effort to provide its employees an opportunity to grow and develop in their jobs by affording them promotional opportunities. (See Paragraph 3.12 A.)

H. Payroll Deductions: See Paragraph 3.08 D.

I. Direct Deposit: See Paragraph 3.08 E.

J. Cafeteria Plan

1. The University's Cafeteria Plan currently exempts from federal, state, and FICA tax any family-related hospital, dental, cancer, and intensive care insurance premiums withheld from an employee's payroll check.
2. The monthly gross pay for federal, state, and FICA tax purposes is reduced by the family contribution amounts.
3. At the end of the tax year, all tax exemption amounts are deducted from gross wages subject to tax and the net amount is reported in the appropriate block on Federal Form W-2.
4. This benefit results in an instant rebate on federal, state, and FICA taxes.
5. In order to participate in the Cafeteria Plan, a completed form must be submitted to the Office of Human Resources and Affirmative Action each year prior to the last day of November. The form for making application for participation in the University's Cafeteria Plan is attached to Section 9 as Form I. Copies of this form are available in the Office of Human Resources and Affirmative Action or on our website at www2.una.edu/humanresources.

K. Deferred Compensation: Employees may participate in a tax-sheltered plan by setting aside a portion of his or her salary to be taxed on a deferred basis. This benefit is controlled by Federal Income Tax Regulations and is subject to change.

1. RSA-1:

- a) RSA-1, the Alabama Teachers' Retirement System's deferred compensation plan, was authorized by Act 86-685 of the Alabama Legislature for the benefit of Alabama's public employees. An employee may defer \$7,500 or 25% of his or her compensation, whichever amount is less. Amounts excluded from gross income under other tax deferral plans such as a 401(K) plan or a 403(B) annuity plan are applied toward the deferral limits of the deferred compensation plan. Federal taxable wages on the employee's W-2 Form do not include any amount deferred under RSA-1.
- b) An employee may elect to begin participation in RSA-1 during any month, with actual deferral of compensation becoming effective the following month. The amount being deferred may be changed as often as desired, subject only to university payroll requirements.
- c) A brochure is provided by the Office of Human Resources and Affirmative Action upon request.

2. Credit Union: University employees may participate in a deferred compensation plan with the Florence Municipal Credit Union.

3. TIAA/CREF

- a) Employees may participate in an individual tax deferred supplemental retirement annuity plan sponsored by the College Retirement Equity Fund (CREF) and Teachers, Insurance and Annuity Association (TIAA).
- b) The employee is allowed an annual deferral limited to 20% of the member's gross annual compensation or \$9,500, whichever is less.
- c) A brochure is available in the Office of Human Resources and Affirmative Action explaining TIAA/CREF deferred compensation programs.

L. Credit Union: Employees may join the Florence Municipal Credit Union and avail themselves of all services offered.

M. Parking: Upon registering with the Office of Public Safety, an employee is given on-campus parking privileges at no cost to the employee.

N. American Express Card Membership: The University has an agreement with American Express to provide an American Express Corporate Card to eligible faculty and staff employees. The minimum salary requirement is \$15,000 for participation in this program. The annual membership fee for university employees participating in this program is waived. This card is intended only for university business use and should be acquired by those whose university business necessitates at least one business trip per year. This privilege may be withdrawn by American Express. The American Express Corporate Card must be turned in to the Office of Human Resources and Affirmative Action upon employment termination.

O. Discounts: Miscellaneous discount coupons on merchandise, entertainment, lodging, etc., are periodically made available to university employees and are available in the Office of Human Resources and Affirmative Action.

P. Kilby School: Kilby School, housing a nursery school, kindergarten, and elementary grades one through six, is a public laboratory-demonstration school operated by the University. A limited number of children of full-time regular university employees are accepted for admission provided maximum class limits permit and proper advance application is made. For information and applications, contact the Director of Kilby School.

The Kilby Child Development Center provides on-campus day care for children of UNA students (who have priority in admission to the Center), faculty and staff. Hours are 8:00 a.m. to 3:00 p.m., Monday through Friday. Children may attend 2, 3, or 5 days per week. Free and reduced-price meals are available to qualified families. Application may be made at the Child Development Center or in the Kilby School Office. The Center provides a planned program of developmental activities, certified teachers, snacks, and school lunches.

Q. On-Campus Health Services (Bennett Infirmary): University Health Services is located in Bennett Infirmary on Circular Road. Employees are encouraged to use the Health Services in the same way they would use a family physician. All visits are strictly confidential.

Available services include: out-patient clinic, laboratory services, allergy clinic, immunizations, gynecology clinic, sports medicine clinic, orthopedic and surgical supplies, respiratory services, personal assessment counseling services, and health education.

R. Library Services: See Paragraph 8.16 F.

S. Check Cashing: The University Business Office will cash checks for university employees. A returned check (insufficient funds, closed account, etc.) may jeopardize an employee's check-cashing privilege. Checks may be cashed during normal business hours at the Business Office window located in the basement of Bibb Graves Hall.

7.10 CONTINUATION OF BENEFITS

An employee's benefits continue in force as long as he or she remains active (defined as being on the payroll). Once an employee exhausts his or her leave or is placed in a "leave-without-pay" or "leave-of-absence" status, or is placed on long-term disability, his or her benefit entitlements change. Employees who are no longer covered under the University's group health plan are entitled to temporary continuation of coverage under the provisions of the Consolidated Omnibus Reconciliation Act (COBRA) of 1986 for themselves and their families for periods of time as stipulated by COBRA (See Appendix N.)

7.11 DEATH BENEFITS

In the event of death, an eligible employee's life insurance and retirement entitlements under the University's benefit plan are made payable to the employee's designated beneficiary or contingent beneficiary in case the designated beneficiary does not survive the employee (See Appendix N.)

SECTION 8

FACILITIES, SERVICES, AND ACTIVITIES

8.01 ADMINISTRATIVE OFFICES

The administrative offices of the University are open from 8:00 a.m. to 4:30 p.m., Monday through Friday. The approval of the President is required for any change in office hours.

8.02 CASHIER'S WINDOW

The cashier's window of the Business Office is open from 8:00 a.m. to 4:30 p.m. Staff and service members may cash personal checks at the cashier's window.

8.03 UNIVERSITY BOOKSTORE

The University Bookstore is located on the first floor of the University Center. Requisitions for office supplies are made through the bookstore, which also handles instructional materials, textbooks, general school supplies, paperback books, and other miscellaneous merchandise. Staff and service employees receive a 10% discount on all purchases. The bookstore operates on posted hours Monday through Friday and on extended hours during registration periods.

8.04 CENTRAL DUPLICATION

Central duplicating services are provided in the Printing Room of Bibb Graves Hall. Offset printing is available for large-quantity reproductions. Requisitions for work and charges for material costs are made on the "Order/Charge Card" which is provided by the central duplicating service.

Photocopiers are available for small-quantity reproductions. Copiers are operated by an auditron assigned to each department, with charge back to the department made on the auditron tally. Duplication services are limited to materials for administrative use. Copyrighted materials will not be duplicated without written permission from the publisher. Service is not provided for materials of a personal nature. A minimum of 72 hours should be allowed for reproduction and return, particularly during peak demand periods. Central duplicating services are available from 8:00 a.m. to 4:30 p.m., Monday through Friday. Self-service copy machines are available at various

locations on campus. Inquiries on reproductions or service should be made to the Purchasing Office.

8.05 COMPUTER SERVICES

The University Computer Center, located in the Collier Library complex, provides data processing services for the university community. The Center, administered by the Dean of Information Technologies, is organized into academic, administrative, and operational units. The Manager of Administrative Computer Services is available to staff members for consultation and for assistance in the implementation of new programs. The Computer Services Advisory Committee, which consists of members of the faculty and administration, monitors the policies and activities within the Computer Center.

8.06 DINING AND FOOD SERVICES

Campus dining facilities are operated under contract service and are open to all university personnel and their guests at regular posted prices. Dining facilities are located in the University Center and the Towers Dining Hall. Hours of service are posted. Arrangements for special food services (university banquets, receptions, conferences, etc.) must be made in advance through the Director of Food Services after space assignment has been obtained from the Office of Student Activities. The Office of University Events coordinates these arrangements for the special activities involving off-campus groups.

8.07 LISTENING CENTER

The Department of Music operates a Listening Center with record and tape collections on the second floor of the Music Building. Individual listening carrels are available for personal use by staff and service employees when these facilities are not used for regular classes.

8.08 MAIL AND POSTAL SERVICES

The University Mail Room is located on the first floor of the University Center and is open Monday through Friday during posted hours. The Mail Room receives and distributes both regular and intracampus mail, sells stamps, and meters official mail. The University Station is not an official post office. Those persons sending or receiving certified, registered, or insured mail must use a U. S. Post Office.

Each university cost center head has a budget for postage. Outgoing official mail must be channeled through the departmental office and a completed "Postage Authorization Form" must accompany each mailing. Data on the form are verified by Mail Room personnel, who meter the mail and use the form for charge back to the cost center. Special envelopes and mail drops are provided for intracampus mail which does not require postage. University payment for postage is limited strictly to official university mail. A staff member should not have personal mail or packages addressed to the University Mail Room.

8.09 MAINTENANCE AND CUSTODIAL SERVICES

See Paragraph 5.25.

8.10 NEWS SERVICE

The Office of University Relations is responsible for university publicity through news releases and announcements. Staff members are asked to inform the Director of University Relations of newsworthy items related to programs, special events, and personal recognitions. Staff members should coordinate with this office the preparation of appropriate news releases, feature articles, and other publicity material. All university-

related items intended for media dissemination must be cleared through the Director of University Relations, except for sports-related items which are cleared through the Director of Sports Information.

The Office of University Relations is also responsible for the Speakers Bureau, a service which provides a forum for university personnel to speak before area educational institutions and civic, social, business, and industry groups.

To participate in the Speakers Bureau, an employee should contact the Office of University Relations with a list of topics about which he or she would like to speak. Speakers generally are not paid. If a UNA speaker is requested for an event for which an admission is being charged, University Relations will inform the requesting organization that a fee may be expected. However, University Relations is not involved in negotiations.

8.11 PROGRAMS

Each year, the University provides convocations featuring noted lecturers, artists, and players, and a variety of programs of general and cultural interest. University dramatic and music groups schedule a number of concerts, recitals, and plays. The Department of Art features exhibitions in the University Art Gallery. The intercollegiate athletic program includes competitions in football, basketball, baseball, softball, tennis, golf, cross-country, and volleyball. The University Program Council provides a broad program of dances, movies, and concerts. For most university-sponsored programs, staff members are admitted without charge or at reduced rates. The community offers numerous program opportunities through civic agencies, leagues, art and theatre groups, and the Muscle Shoals Concert Association.

8.12 PUBLICATION SERVICES

- A. Publications:** University publications include the student newspaper (The Flor-Ala) and the university yearbook (Diorama). Lights and Shadows, an annual literary publication containing selected works of university students, is produced under the auspices of the Departments of Art and English. The Office of Publications provides assistance in the preparation of university publications. In addition, the Journal of Legal Economics is edited on campus.
- B. Graphic Standards:** University publications, whether printed on or off campus, or computer generated within an office, must meet the University's graphic standards. Advice may be obtained through the Office of Publications.

8.13 SUPPLY ROOM

Letterhead stationery, mimeograph paper, envelopes, and other office supplies may be obtained on the intracampus requisition form from the Supply Room, Bibb Graves Hall, during specified times on Monday through Friday. A price list of the supplies is available

in the Supply Room. Requisition forms for on-campus and off-campus purchases also are available in the Supply Room.

Additional office supplies and related materials are obtained from the University Bookstore by using the intracampus requisition form.

Cost centers should maintain a record of purchases from the Supply Room and the University Bookstore.

8.14 TELEPHONE SERVICE

The University operates its own telephone system. The university exchange is 205-760-4100. Each campus telephone has a four-digit number, as listed in the University Directory, and calls within the campus are made by dialing the four digit numbers. Outside calls are made by dialing "9", waiting for the dial tone, then dialing the number desired.

The University is on the Alabama Tandem Telecommunications Network (ATTNet), and all long-distance calls must be made through this system. The system permits long-distance direct dialing for (1) on-network calls--persons and offices in all state departments, agencies, and institutions, as listed in the State of Alabama Telephone Directory; and (2) official off-network calls. Codes, numbers, and procedures for use of the ATTNet line are contained in the Directory.

New employees should seek orientation in the use of the telephone system.

8.15 ARRANGEMENTS FOR SPECIAL ACTIVITIES

A. Planning

1. The responsible university offices, departments, organizations, and individuals are expected to provide the professional leadership and careful advance planning necessary for the success of all events and activities.
2. Activities such as conferences, institutes, workshops, clinics, and meetings involving off-campus groups are important to public relations and to the University's program of services. Special activities involving outside groups must be cleared and coordinated through the Office of University Events.

B. University Calendar

1. All events and activities for university and off-campus groups must be scheduled through the appropriate office and placed on the weekly university calendar maintained in the Office of Student Activities. First, the appropriate university official must approve use of the facility and the university calendar must be consulted to determine space availability before a commitment is made for use of the facility.

2. Second, the "Campus Calendar Reservation" form, which is available in the Office of Student Activities, must be completed.

- C. Use of Facilities by University Personnel:** Use of university facilities by university personnel must be approved and scheduled through the appropriate office. All events and activities should be placed on the weekly university calendar maintained in the Office of Student Activities.
- D. Use of Facilities by Outside Groups:** The Office of University Events coordinates the use of all university facilities by off-campus groups as well as the use of Norton Auditorium by university and off-campus groups.
- E. Interim Scheduling:** In order to maximize the time needed for servicing the University's physical plant and equipment, no courses, programs, workshops, seminars, or other organized activities may be scheduled during the periods between the fall, spring, and summer terms unless otherwise approved by appropriate administrative officials at least 45 days in advance.
- F. Restrictions:** The use of university facilities and services for activities, classes, or other purposes by groups or individuals not under university sponsorship or control is necessarily restricted and, if authorized, will be subject to special charges. Inquiries concerning possible approval and charges are directed to the Office of Student Activities, except for special activities coordinated by the Office of University Events.

8.16 SPECIAL FACILITIES

- A. Robert Miller Guillot University Center:** The Guillot University Center contains the University Mail Room, bookstore, food service facilities, faculty lounge, student lounges, Academic Resource Center, Entertainment Industry Center, meeting rooms (for groups of up to 500), banquet rooms, offices for the Student Government Association and other student organizations, the Student Development Center (counseling and career services), and a performance center (seating capacity of 350). Use of the University Center may be scheduled through the Office of Student Life, which is located adjacent to the atrium.
- B. Planetarium-Observatory:** Among the special facilities at the University is a planetarium-observatory. The planetarium has a Spitz projector and provides seating for 65. The connecting observatory includes a 14-inch Newtonian telescope and a rotating dome. The facility is used for regular university classes and demonstrations, scheduled public showings, and special showings for school, college, civic, and other groups at minimal charges. Inquiries should be made to the Department of Physics and Earth Science.
- C. Housing:** Overnight housing is available only for the summer camps and conferences coordinated through the Office of University Events.

D. Kilby School: See Paragraph 7.09 P.

E. University Health Center (Bennett Infirmary): See Paragraph 7.09 Q.

F. Collier Library: All library services are extended to staff and service employees of the University. Traditional services include informational help at the reference desk, borrowing privileges, and the use of interlibrary loan. Nontraditional services include online and off-line bibliographic literature searches, the availability of CD-ROM technology, and the use of UNACAT, the library's online public catalog. The university libraries include Collier Library, the Music Library, the Learning Resources Center in Stevens Hall, and Kilby School Library. Employee I.D. cards are required for borrowing privileges (See Paragraph 6.02.)

G. Coby Hall: During periods when the University is open, Coby Hall is available on Saturdays and Sundays to be reserved for private events. UNA employees, faculty and staff receive a 25% discount for such events.

Private events take place on the first floor. Offices for the University's Continuing Education program and University Events occupy the second floor. A tea room serving lunch is located on the basement floor.

During the week, Coby Hall functions primarily as a seminar center. It is open to the public Monday through Friday from 8:00 a.m. to 4:30 p.m. For information concerning scheduling, contact the Office of University Events.

8.17 RECREATIONAL FACILITIES

University recreational facilities are available to staff and service employees for individual or group activities. Tennis courts are available on a priority schedule. The swimming pool, gymnasium facilities, and Wellness Center in Flowers Hall are open at scheduled hours. Limited staff and service employees' locker and shower facilities are available.

The Wellness Center is designed to promote health and fitness through evaluation, participation, instruction, consultation, and research. The primary emphasis of the program is that a healthy lifestyle through exercise, proper nutrition, and stress management is paramount to preventing hypokinetic diseases such as heart disease, stroke, obesity, hypertension, diabetes, and cancer.

8.18 ADMISSION TO EVENTS

See Paragraph 7.09 E.

8.19 UNIVERSITY AND COMMUNITY INVOLVEMENT

In addition to the primary responsibilities, the obligations for a staff or service employee extend to participation in other activities and functions through which the purposes of the University are served.

Staff and service employees are encouraged to participate in and support university functions and activities of an educational, cultural, recreational, civic, or social nature.

The President makes appointments to standing committees (except for the Budget Committee) from among the faculty, staff, and students. Those appointments include representatives elected by the Faculty Senate and those selected by the Student Government Association for specified committees. In most cases, the chair of each committee is selected by the President. Each standing committee (except the Budget Committee) is required to file a written report before the end of each academic year with the officer to whom it is charged to report. The committee also sends a copy of its report to the President's Office if the report is not made directly to the President. A list of committees and appointed committee members is available in the President's office.

As citizens of the community, staff and service employees are encouraged to participate in and support those affairs and activities of the community through which their expertise, standing, and leadership may make a contribution and through which university-community relations are enhanced.

8.20 PURCHASING

See Appendix L.

8.21 TRAVEL

See Appendix M.

SECTION 9

FORMS

EXPLANATORY REMARKS

- A. Forms A through I of this section are referenced in this Handbook and are used to: (a) record the employee's daily, weekly, and monthly work hours; (b) record the employee's accrual and use of compensatory time; (c) report on-the-job accidents/injuries; (d) report accidents and incidents involving students and

visitors; (e) request annual and absence leave; (f) request remission of course hour fees for dependent children; (g) request remission of course hour fees for spouses; (h) request remission of course hour fees for employees, and (i) request participation in the University's Cafeteria Plan.

B. Instructions for preparing these forms are on the reverse side of each form.

C. Copies of the forms may be obtained from the employee's supervisor, department head, or the Office of Human Resources and Affirmative Action.

D. Forms:

1. **Form A:** Employee Monthly Work Record 9-3
2. **Form B:** Employee Compensatory Time Record 9-5
3. **Form C:** Employee Accident/Injury Report 9-7
4. **Form D:** Incident Report 9-9
5. **Form E:** Leave Request Form 9-11
6. **Form F:** Application for Remission of Course Hour Fees for Dependent Children 9-13
7. **Form G:** Application for Remission of Course Hour Fees for Spouses 9-15
8. **Form H:** Application for Remission of Course Hour Fees for Employees 9-17
9. **Form I:** Application for Participation in the Cafeteria Plan 9-19

APPENDIX A: University of North Alabama Organization Chart

APPENDIX B: University of North Alabama Map

APPENDIX C

UNIVERSITY OF NORTH ALABAMA

HISTORY

The University of North Alabama traces its origins to LaGrange College, which was established in 1830 at LaGrange, Alabama, by the Methodist Church on the college charter to be issued by the new State of Alabama. In January 1855, the President of the school, seeking to reestablish the institution on firmer footing, led most of the faculty

and student body to temporary facilities in Florence, and for a few months the name LaGrange College was borne by two schools only a few miles apart. Following a brief and unsuccessful attempt to continue as a literary institution, the original LaGrange College was operating as LaGrange Military Academy when it was destroyed by federal soldiers in 1863. The school at Florence was required to secure a new charter, and in 1855, it was incorporated as Florence Wesleyan University. Wesleyan Hall, erected in this period with the financial assistance of the citizens of Florence, still provides classroom and office facilities after more than a century of educational service.

Most of the faculty and students marched away during the early days of the Civil War, which all but closed the doors of Florence Wesleyan University. However, the President and remaining professors faithfully attended their offices through the war years except during the times that southern and northern forces alternatively found shelter at Wesleyan Hall. In the equally difficult years immediately following the war, the Methodist Church found itself unable to make adequate provisions for continuing the school, and the grounds and buildings of Wesleyan University were donated to the State on the condition that the State sustain the school through annual appropriations. Accordingly, in 1872 the school was established as a State Normal School, the first of its kind in the South. The admission of women students two years later placed the school among the first coeducational institutions in the United States.

After more than half a century of service as a normal school, in 1929 the institution became a State Teachers College with a four-year curriculum in elementary education. The first bachelor's degrees were conferred on the graduating class of 1931. Eight years later, the curriculum was expanded to include a four-year degree program in secondary education. With the continued academic growth of the institution across the war years, provision was made in 1947 for A.B. and B.S. degree programs in courses of study other than teacher training.

Since that time, the curriculum expansion of the University has continued. In 1956, another significant stage in the institution's progress was marked by provision for the establishment of a program of graduate study in education leading to the Master of Arts degree. A Graduate Division was organized for this purpose, and the graduate program was inaugurated in the summer of 1957. In this same year, action of the State Legislature changed the name of the institution to Florence State College to reflect more accurately the multipurpose nature of the institution.

On September 9, 1967, the State Legislature removed the institution from the jurisdiction of the State Board of Education and provided for separate control under a Board of Trustees. Among the early actions taken by the new board was a change in name to Florence State University, effective September 1, 1968, in keeping with continued expansion of programs and purposes. This direction subsequently was complemented by extensive administrative and academic reorganization, including the establishment within the University of separate schools. Then, on January 11, 1974, the Board of Trustees approved a change in name to the University of North Alabama, a name which reflects the institution's historic service role and its basic scope, while

projecting still greater outreach in its instructional, research, and service functions. The institution officially became the University of North Alabama on August 15, 1974. Since that time, expansion has continued in enrollment and in academic programs, including, in 1975, the addition of a master's degree program in business administration. The administrative structure at the University was reorganized in 1991 and now consists of four divisions, Academic Affairs, Business Affairs, Student Affairs and Advancement, each headed by a Vice President. Also, a new master facilities plan designed to allow the University to grow to 10,000 students was adopted by the Board of Trustees in 1993. Currently, plans are under way for expansion of the curriculum, especially at the graduate level.

APPENDIX D

OVERTIME AND RECORD KEEPING POLICIES

AS REQUIRED BY THE

FAIR LABOR STANDARDS ACT (FLSA)

The University of North Alabama complies with the provisions of the Fair Labor Standards Act (FLSA) that apply to universities.

A. Purpose

1. The FLSA protects employees against substandard wages by requiring payment of specified minimum wages to employees subject to the provisions of the Act.
2. The FLSA protects employees against excessive hours of work by requiring the payment of overtime compensation or the giving of compensatory time for all hours worked beyond 40 hours per week.

B. Scope

1. This appendix provides information, policies and procedures pertaining to the overtime and record-keeping provisions of the FLSA.
2. The provisions of this section are applicable to all University of North Alabama nonexempt positions.

C. Definitions

1. Exempt position: One which, by its nonroutine nature and higher required compensation, demands skills and talents to make those decisions which substantially impact the management, technology, legality, or financial stature of the University of North Alabama.

2. Nonexempt position: One which, by its more routine nature and lower required compensation, demands only a level of skill and talent necessary to carry out the more routine and less discretionary activities essential to supporting those functions which actively impact the management, technology, legality, or financial stature of the University of North Alabama.

3. Hourly employee: Employees whose wages are based on an hourly rate. An hourly employee is normally a nonexempt employee. The employee is authorized payment for overtime hours worked during the weekly work cycle at the rate of time and one half.

4. Salaried employee: Employees whose job requirements make it difficult to define exact hours during which they will accomplish assigned tasks and for whom the term overtime does not apply. A salaried employee is normally an exempt employee. The salaried employee's wages are based on an annual salary. Salaried employees will generally be asked to perform tasks that can be accomplished during normal operating hours; however, in the event that it is required to give additional effort in order to accomplish assignments, it is expected that this will be done without overtime pay.

5. Volunteer: The term "employee" does not include an individual who volunteers to perform services for the University if:

- a) The individual receives no compensation or paid expenses reasonable benefits, or a nominal fee to perform the services for which he or she volunteered; and
- b) Such services are not the same type of services which the individual is employed to perform for the University.

6. On-call employee: An employee who is subject to being called in for emergency duty; however, he or she has freedom of movement while in such status (See Paragraph F.12.a.)

7. Standby employee: An employee whose freedom of movement is restricted by being required to stay at home or other designated places in order to be immediately available to report to work (See Paragraph F.12.b.)

8. Call-in employee: An employee who is required to report for work during nonduty hours.

D. General Provisions of the FLSA

1. The major provisions of the FLSA which apply to the University include minimum wages, overtime, and a number of reporting requirements.
2. Department of Labor representatives are entitled to enter and inspect places of employment on the university campus for purposes of determining whether the FLSA has been violated.

E. Responsibilities

1. The Director of Human Resources and Affirmative Action is responsible for:

- a) Staying abreast of the changes in the FLSA and implementing rules, policies, procedures, etc.; and
- b) Acting as an advisor to department heads and supervisors on the requirements of the FLSA.

2. Department heads/supervisors are responsible for:

- a) Enforcing the provisions of these policies and procedures;
- b) Maintaining records reflecting the hours an employee works during a weekly work cycle;
- c) Maintaining a record of overtime hours worked by an employee and reporting the hours to the payroll manager for payment or allowing the employee to take compensatory time off;
- d) Keeping overtime work hours to a minimum; and
- e) Making maximum use of compensatory time in lieu of compensation

3. The employee is responsible for:

- a) Limiting overtime hours to those which have the prior approval of his or her supervisor;
- b) Insuring that his or her time is accurately reported by either him or her or by the supervisor; and
- c) Verifying all three records (Employee Monthly Work Record, Employee Compensatory Time Record, and Leave Request Form) pertaining to the recording of time worked, accrual of compensatory time, and taking of compensatory time and leave.

F. Procedures

1. Exempt or nonexempt

- a) The FLSA provides that certain workers are not covered by the Act. The University of North Alabama positions exempt from the Act are those in which persons are employed in a bona fide executive, administrative, or professional capacity.
- b) Guidelines for classifying positions as exempt or nonexempt are set forth in U. S. Labor Department W. H. Publication 1281, Revised May 1993.

2. Hours of work

- a) Normal working hours for university employees are from 8:00 a.m. to 4:30 p.m., Monday through Friday, exclusive of holidays.
- b) Employees normally have 30 minutes for lunch and are allowed a 30-minute break in an eight-hour work period. By prior arrangement between the employee and his or her supervisor, the break may be taken with the lunch break so as to allow up to one hour for lunch and to conduct personal business.
- c) Working during the lunch break is work time in excess of the eight-hour workday.

- d) Working during the break time is not work time in excess of the eight-hour workday.
- e) Working hours for some departments and/or sections of the department may vary depending upon the type of services provided.
- f) There is no requirement for paying overtime for hours in excess of eight hours per day, working on Saturday or Sunday, and working on holidays.
- g) Pre-shift and post-shift activities, which are an integral part of the employee's principal activities, must be included in the hours worked.

3. Work cycle

- a) The FLSA takes a single workweek as its standard and does not permit averaging of hours over two or more weeks.
- b) The normal university workweek for monthly paid nonexempt employees is 40 hours, measured from 12:01 a.m. Saturday to midnight the following Friday.
- c) The normal university workweek for biweekly paid employees is 40 hours, measures from 12:01 a.m. Tuesday to midnight the following Monday.

4. Hourly rate

- a) All nonexempt employees will be paid not less than the prevailing minimum hourly rate.
- b) An hourly rate for an employee may be calculated by dividing the annual amount by 2080 hours. An annual amount may be calculated by multiplying the hourly rate by 2080 hours.

5. Overtime

- a) The department head/supervisor shall assign to each employee regular duties and responsibilities which can normally be accomplished within the established workday and workweek. However, occasionally some overtime work may be necessary for proper performance of work duties and responsibilities. Therefore, certain employees may be required to work overtime to meet operational requirements.
- b) Overtime for nonexempt employees is any time worked in excess of 40 hours in a 7-day work cycle. Overtime does not result until after 40 hours has been exceeded in a work cycle.
- c) The supervisor has the authority to arrange the workweek to meet the operational requirements of the job. Therefore, working more than 8 hours in a day does not necessarily constitute overtime. For example, an employee could work 10 hours one day and 6 hours the next, which would not result in overtime at the end of the week. In other words, time off may be used to adjust an employee's workweek to 40 hours, if

the time off is in the same workweek as the extra hours of work. Hours can be averaged during a work cycle to avoid the accrual of overtime hours.

- d) There is no limitation on the number of hours a nonexempt employee may work in a workweek, as long as he or she is compensated or given compensatory time for all hours in excess of 40 hours.

6. Overtime pay

- a) A nonexempt employee's pay is computed at an hourly rate.
- b) All hours worked over 40 hours in any week are compensated at one and one-half the regular rate or compensatory time is given at the rate of one and one-half the number of overtime hours.
- c) For purposes of calculating overtime, all paid absences (i.e., annual leave, absence leave, etc.), taken during the weekly work cycle are calculated as hours worked.
- d) Time is rounded off to the nearest one-quarter hour. All eight-hour work periods should begin no earlier than seven minutes prior to the start of the workday and end no later than seven minutes after the end of the workday. For example, starting to work from 7:53 to 8:07 is rounded to 8:00, from 8:23 to 8:37 is rounded to 8:30, and 8:38 to 8:52 is rounded to 8:45. Employees may be disciplined for starting to work up to seven minutes late or quitting seven minutes early; however, they need not be paid overtime for starting to work seven minutes early or quitting seven minutes late.
- e) Nonexempt employees who are "called in" to perform emergency work are credited with a minimum of four hours of regular time.
- f) Prior department head or supervisor approval of all overtime is required.
- g) If compensation is paid to an employee for accrued compensatory time, such compensation is paid at the regular rate earned by the employee at the time the employee received such pay.
- h) An employee who has accrued compensatory time at the time of his or her termination is paid for the unused compensatory time at a rate of compensation not less than:
 - i. The average regular rate received by such employment during the last three years of the individual's employment; or
 - ii. The final regular rate received by such employee, whichever is higher.

7. Overtime not required

- a) Work not requested or required by the supervisor but permitted is work time. For example, an employee who voluntarily continues to work at the end of the workday to finish assigned tasks or to correct errors, prepare reports, etc. is extending his or her workday; the reason is

immaterial. If the supervisor knows or has reason to believe that the employee is continuing to work, the FLSA requires that the time be counted as work time.

- b) The rule in Paragraph a. above is also applicable to work performed away from the premises or the job site (even at home). If the supervisor knows or has reason to believe that the work is being performed, he or she must count the time as hours worked.
- c) It is the duty of the supervisor to exercise control and see that work is not performed outside the normal work hours. If work is required outside the normal work hours, it must be approved officially and the employee properly compensated.

8. Reducing overtime pay

- a) Supervisors may arrange the hours within the work cycle to meet the operational requirements of the department.
- b) Department heads will make maximum use of compensatory time in lieu of overtime pay.
- c) Employees should be officially notified by their supervisors of the specific time prior to which they may not start work each day, and of the departure time beyond which they will not be permitted to work. The University may be legally liable to pay for work performed prior to the start of the workday and after the workday ends. Therefore, it should be avoided whenever possible. If such work is required, it should be officially scheduled and the employee properly compensated.
- d) Assignment of work to be performed at home by nonexempt employees should be avoided.

9. Compensatory time

- a) It is university policy that, at the discretion of the University, employees be given compensatory time off for overtime at the rate of time and one-half in lieu of compensation.
- b) The agreements to work overtime as required, and the acceptance of compensatory time in lieu of overtime payment, are conditions of employment.
- c) Supervisors make every effort to accommodate the employee in giving him or her time off for accumulated compensatory time; however, the job requirements take precedence over an employee's request.
- d) Every effort is made to avoid accrual of large amounts of compensatory time. Normally, an employee should not accrue more than 80 hours of compensatory time. The accrual of more than 80 hours of compensatory time, dictated by unusual circumstances, must be approved by the appropriate member of the University Executive Council.

- e) The supervisor may set the time at which an employee takes compensatory time. Consequently, compensatory time should be taken at a time when there is "slack" in the work load. Furthermore, the supervisor may dictate the taking of compensatory time in lieu of annual leave for absences of short durations.
- f) Normally, compensatory time is taken in small amounts, not to exceed eight hours.
- g) Compensatory time is not taken in advance of earning said time.

10. Holidays

a) Holiday falling on scheduled workday

- i. An employee who is required to work on a scheduled holiday is given credit for eight regular hours at the regular hourly rate of pay (unless more than eight hours are worked) in calculating hours worked during that week.
- ii. The employee who is required to work on a holiday is also given credit for eight hours of holiday time to be taken off at a later date. The holiday hours are not overtime hours, but allow for the taking of the holiday at a later date. Therefore, the time off equals the number of hours worked, not one and one-half times the hours worked.
- iii. The time worked on a scheduled holiday should be recorded on the Employee Compensatory Time Record as "holiday hours."
- iv. The date the employee takes the time off is at the discretion of the supervisor.
- v. The University may elect to pay the employee for holiday hours in lieu of giving him or her time off.

b) Holiday falling during scheduled time off

- i. An employee whose normal workweek includes Saturday and Sunday and who is normally given two days off during the week is given credit for eight hours of holiday time if a holiday falls during his or her normally scheduled off-time.
- ii. Holiday hours are not overtime hours, but allow for the taking of the holiday at a later date. Therefore, the time off equals the number of hours worked.
- iii. The credit given for holiday hours should be recorded on the Employee Compensatory Time Record as "holiday hours."
- iv. The date the employee takes the time off is at the discretion of the supervisor.
- v. The University may elect to pay the employee for holiday hours in lieu of giving him or her time off.

11. Rest and meal periods

a) Breaks

- i. Full-time and temporary employees who work 8 hours per day are authorized a 30-minute break per day or the fractional equivalent for each workday of less than 8 hours.
- ii. The break must be counted as time worked.

b) Meal period

- i. Ordinarily, university employees are given 30 minutes for each meal period, except where special permission is given to use break time to extend the meal period to one hour.
- ii. In order to qualify as a bona fide meal period under the provisions of the FLSA, the period must be 30 minutes or more in duration.
- iii. The employee must be completely relieved from duty for the purposes of eating regular meals. The employee is not relieved if he or she is required to perform any duties, whether active or inactive, while eating. For example, a secretary required to eat in the office and answer the phone or receive visitors is technically working while eating. Hence, all employees should be encouraged to leave their work stations and perform no work tasks during lunch time.
- iv. If an employee is required to work through the lunch hour, the employee must either be given a meal break at a later time, compensated for the time worked, or given compensatory time.
- v. It is not necessary that an employee leave the premises if he or she is otherwise completely freed from duties during the meal period.
- vi. Activities (i.e., public safety) requiring 24 hours of operation may count the meal period as work time.

12. On-call or standby

a) On-Call: An employee "on call" has reasonable mobility (e.g., going to the barber or beauty shop, to visit friends in town, etc.) generally with a beeper or by providing the dispatcher involved a phone number at the location where the employee can be reached. If the "on-call" employee has such mobility, only the hours actually called in for work need be recorded as work time.

b) Standby: An employee who is required to remain on the university premises, at home, or so close thereto that he or she cannot use the time effectively for his or her own purposes is "on standby." Hours on standby

should be recorded as time worked. An employee is not compensated for standby hours in which he or she is sleeping at home.

13. Call-in: A nonexempt employee who is called in to perform emergency work is credited with a minimum of four hours regular time.

14. Waiting: A "waiting" employee is on duty if the duration of the wait is controlled by the University to the extent that the employee cannot use the time effectively for his or her own purposes.

15. Training

a) Mandatory training

- i. Attendance at lectures, meetings, training sessions, and similar activities which are outside of the employee's regular working hours and that is not voluntary, is counted as work time.
- ii. Attendance is not voluntary if it is required by the supervisor. It is not voluntary if the employee is given to understand or led to believe that his or her present working conditions or the continuance of his or her employment would be adversely affected by nonattendance.

b) Training directly related to the employee's job

- i. Mandatory training which is given by the supervisor or under his or her auspices, is directly related to the employee's job, and is designated to help the employee handle his or her job more effectively, is counted as hours worked.
- ii. Training which is instituted for the purpose of preparing the employee for another job or to acquire additional skills may not be directly related to his or her job. Thus, the time spent by the employee voluntarily need not be counted as work time.

c) Independent training

- i. If the employee, on his or her own initiative, attends classes or participates in training after work hours, the time is not counted as hours worked for the University even if the courses are related to the employee's job. This includes undergraduate, graduate, and special courses taken at the University of North Alabama after work hours.

- ii. Courses taken at the University of North Alabama during the workday must be counted against accrued leave or the employee's lunch break. (See Appendix K.)

d) Special situations

- i. Only time actually spent on training is considered work time. Hours that the employee may study or practice are not work time. This applies even if the employee is required to remain in housing at the training site.
- ii. The time devoted to an un-required training course is not work time.

16. Volunteer

- a) No nonexempt employee is permitted to donate work time in the same job or a like job to which he or she is assigned for the benefit of the University.
- b) This does not preclude the employee from volunteering to assist in a different capacity from that normally employed (e.g., selling tickets at an athletic event).

17. Part-time employment: If an employee undertakes, on an occasional or sporadic basis and solely at the employee's option, part-time employment for the University which is in a different capacity to that in which the employee is regularly employed, the hours such an employee spends performing the different employment is excluded by the University in the calculation of the hours for which the employee is entitled to overtime compensation or compensatory time.

G. Records: The Fair Labor Standards Act requires specific and accurate records to be kept of nonexempt employees' work hours.

1. Records required by FLSA to be maintained for three years by the Office of Human Resources and Affirmative Action and Payroll Manager

- a) Full name of employee;
- b) Home address, including zip code;
- c) Date of birth, if under 19;
- d) Sex and occupation;
- e) Time of day and day of week on which the employee's workweek begins;
- f) Regular hourly rate of pay in any workweek in which overtime premium is earned;
- g) Daily and weekly hours of work;

- h) Total daily or weekly straight-time earnings;
- i) Total overtime compensation for the workweek;
- j) Total additions to or deductions from wages paid;
- k) Total wages paid each pay period; and
- l) Date of payment and the pay period covered by payment.

2. Records to be maintained by the supervisor

a. Employee Monthly Work Record

- i. Supervisors will maintain a work record of the hours worked each day, week and month, on the Employee Monthly Work Record for each employee under his or her supervision.
- ii. A copy of the Employee Monthly Work Record is attached to Section 9 as Form A.
- iii. The Employee Monthly Work Record should be updated daily.
- iv. The Employee Monthly Work Record should be in sufficient detail to provide recorded documentation for future proof of the specific number of hours an employee worked each day (to the nearest quarter hour) during a work cycle. Ideally, such time record indicates the time the employee started to work, stopped for lunch, started to work after lunch, and the time the employee quit work for the day.
- v. The hours credited each week must reflect the total hours worked, total hours absent, and total overtime hours.
- vi. The reason for working beyond the normal 8-hour workday or 40-hour work cycle may be recorded in the Remarks Section of the Employee Monthly Work Record.
- vii. All absences must be recorded on the Employee Monthly Work Record and must be supported by a University of North Alabama Leave Request Form. (See Section 9, Form E.)
- viii. All hours over 40 hours (overtime) are transferred to the employee's Compensatory Time Record.
- ix. Overtime must be reported within the same workweek in which such overtime occurs.
- x. The Employee's Monthly Work Record is signed by the supervisor with the employee certifying as to its accuracy. Said record is forwarded to the Office of Human Resources and Affirmative Action no later than the fifth of the month following the reported month.
- xi. The Employee Monthly Work Record is maintained on file by the Office of Human Resources and Affirmative Action for three years.

b. Employee Compensatory Time Record: The supervisor maintains an Employee Compensatory Time Record (Section 9, Form B) for each

employee credited with compensatory time in lieu of being compensated for earned overtime.

- i. The Employee Compensatory Work Record is used in conjunction with the Employee Monthly Work Record to record:
 - a. The hours worked during a workweek in excess of 40 hours;
 - b. The computation of compensatory time;
 - c. The use of compensatory time; and
 - d. The compensatory time balance.
- i. Specific instructions for preparing the Employee Compensatory Time Record are on the reverse side of the form.
- ii. If a change (i.e., recording of earned compensatory time or recording of taking of compensatory time) is made to the Employee Compensatory Time Record, it must be initialed by both the employee and supervisor.
- iii. Overtime hours may be transferred from the Employee Monthly Work Record to the Employee Compensatory Time Record each day overtime is earned or as total overtime hours are earned during the weekly work cycle.
- iv. Compensatory time taken must be approved by the supervisor and recorded on the Employee Compensatory Time Record. The taking of compensatory time does not require the preparation of a Leave Request Form or the reporting of individual absences to the Office of Human Resources and Affirmative Action.
- v. The Employee Compensatory Time Record is maintained by the supervisor for the work year (January 1 through December 31) and forwarded to the Office of Human Resources and Affirmative Action no later than January 15 of each year. The compensatory time balance is transferred to a new form to start the record for the upcoming year.
- vi. The Office of Human Resources and Affirmative Action keep the Employee Compensatory Time Record on file for a minimum of three years.

APPENDIX E

UNIVERSITY OF NORTH ALABAMA

EMERGENCY CLOSING POLICY

There are situations (e.g., inclement weather conditions, other acts of God, power failures, etc.) that will prevent University of North Alabama employees from performing their normal duties. These situations may necessitate the cancelling of classes (including Kilby School), and work activities, or the curtailing of scheduled activities.

Conditions may exist which limit employees' abilities to report to work. Certain jobs are considered essential during an emergency and require designated personnel to be present for work.

A. Closing Rules: The following four rules will apply in situations requiring the opening/closing of the University during inclement weather:

1. University remains open

- a) If the University remains open, only those who report to work during inclement weather conditions are given credit for having worked the hours. The credited hours will be equal to the actual hours worked.
- b) Anyone who does not report to work is not given credit for having worked the hours. Hours of absence are charged against accumulated absence leave, annual leave, or leave without pay.
- c) c. The University does not wish personnel to take undue personal or property risks; therefore, employees are expected to use reasonable judgement, in keeping with their location and circumstances, as to whether or not they can or should report to work.
- d) d. If an employee is unable to get to work or if there are delays in getting to work, the immediate supervisor should be notified.
- e) e. Hours of absence must be reported to the Office of Human Resources and Affirmative Action on a University Leave Request Form.

2. Employees are allowed to go home

- a) If the employees are allowed to go home early (at the employee's option) during inclement conditions, they are given credit for only those hours worked.
- b) b. Hours of absence are charged against accumulated absence leave, annual leave, or leave without pay.
- c) c. The hours missed must be reported to the Office of Human Resources and Affirmative Action on a University Leave Request Form.

3. Employees are sent home

- a) If all employees are sent home by the University, they are given credit for all hours they were scheduled to work that day.
- b) A Leave Request Form is not required.

4. University is closed

- a) If the President notifies employees in advance of the start of the work day that the University will be closed due to inclement weather

conditions, employees (to include those on annual and absence leave) are not charged leave for the time off. An employee not scheduled to work is not given credit for the additional time off. However, if the President announces during the day that the employees may go home early that day due to inclement weather conditions, an employee on annual leave or absence leave is charged leave as scheduled.

- b) If a natural catastrophe occurs that requires prolonged complete or partial closing of the University, the policy of granting off-time without charging it against leave may be negated.

B. Essential Personnel

1. Designated essential personnel are required to work during periods when the University is closed.
2. Each department head that has areas of responsibility that are deemed essential during inclement weather/emergency conditions creates a list of essential personnel. Employees so designated are informed well in advance of anticipated inclement weather condition requirements and informed of the requirements of this policy and other pertinent information as deemed necessary by the department head and supervisor.
3. Essential personnel are credited with compensatory time at the rate of an hour for each hour worked under the given circumstances.
4. Emergency work time is recorded on the Employee Compensatory Time Record. The employee is given credit for actual hours worked, not one and one-half times, up to 40 hours per week. All hours over 40 hours per week are overtime and are credited as one and one-half times each hour worked.
5. During bad weather, essential personnel must be available for emergency work as required.
6. Essential personnel who fail to report for work as scheduled are subject to disciplinary action if they do not have a valid excuse.

C. Inclement Weather Announcements

1. There will be two basic emergency inclement weather announcements released to the news media:
 - a) Classes have not been cancelled.
 - b) Classes have been cancelled and the University has been closed. (This message may stipulate that the University will open at a later hour.)
2. It is the responsibility of the employee to ensure that he or she understands the announcement. If the message received through the news media is not clear, the employee should call his or her supervisor or the Office of Human Resources and Affirmative Action.

D. Employee Actions

1. If classes have not been cancelled and the University has not been closed, all faculty, staff, and service employees are expected to report for duty. If an employee does not report, Paragraph A.1 above applies.
2. If classes have been cancelled and the University has been closed, only essential emergency employees are expected to report for duty. Paragraph A.4 above applies.

E. Cancellation of Classes

1. Closing of classes is an academic matter. The Vice President for Academic Affairs recommends to the President calling off or dismissing classes.
2. Cancellation of classes is predicated upon the faculty and their students catching up with the work (subject matter) missed prior to the end of the term, or in the case of Kilby School, on a revised schedule conforming to state requirements.

APPENDIX F

UNIVERSITY OF NORTH ALABAMA

GRIEVANCE AND DUE PROCESS PROCEDURES

A. Grievance and Due Process Committees: On proper request for a hearing, as hereinafter provided, the President of the University shall establish for grievance hearing an ad hoc committee of three persons and for a due process hearing an ad hoc committee of five persons. The committees shall be composed of university personnel appointed by the President, according to the classification of the person initiating the request, as follows:

University Faculty: from among tenured members of the university faculty, with not more than one member for a grievance committee or two members for a due process committee also holding administrative appointment.

Non-Faculty Staff: from among members of the university faculty and non-faculty staff.

Students: from among members of the university faculty, non-faculty staff, and students.

Toward assuring a full and impartial hearing strictly on the merits of the cases, due regard shall be given to appointment to committees of persons with appropriate expertise and without bias or direct interest in the outcome, to provision for peer representation where relevant, and to adherence to hearing procedures. In making committee appointments, the President may seek nominations from representative organizations such as, respectively, the Faculty Senate, and the Student Government Association. In cases involving a member of the university faculty as grievant or accused, the President shall, if so petitioned by the faculty member in the formal request for a hearing, make the committee appointments from the appropriate list of nominees established for such purposes by the Faculty Senate at the beginning of each academic year, one list to consist of nine nominees for grievance committees and one list to consist of fifteen nominees for due process committees. Persons appointed to grievance or due process committees who deem themselves disqualified by reasons of bias or interest may be excused. The grievant or accused shall have the right of challenge of committee appointments for cause and if in the judgment of the President a challenge is supported by adequate grounds, the member so challenged shall be excused. The President shall appoint replacements for members excused until a proper committee is established. The President shall designate one member of the committee to act as chair or may appoint an additional ex officio nonvoting member to act as chair. The committees may adopt supplemental rules and regulations for their governance and operation which are not in conflict with this resolution.

B. Grievances: A grievance is a complaint directed against another member or organization of the university community or against the University--including the departments, divisions, and schools thereof--alleging improper, arbitrary, or discriminatory application of university rules, regulations, standards, practices, and/or procedures relating to the conditions of employment or enrollment, or to other circumstances giving proper grounds for complaint. Grievance procedures do not

apply to actions involving suspension, expulsion, dismissal, or other termination of employment or enrollment for cause. For such actions reference is made to the procedures under C. Due Process, below.

1. Informal procedures: A grievant first must seek resolution or redress of the grievance informally through the established administrative channels beginning, according to the grievant's classification and to the nature of the grievance, with the official at the first or immediate level of authority, and, if required, continuing in the chain of authority to the next higher level. For university employees, the complaint of a faculty member normally will be directed to the department head/director with continuation in line to the Vice President for Academic Affairs and Provost; for nonfaculty staff, to the immediate supervisor/director or to the Director of Human Resources and Affirmative Action with continuation in line to the appropriate vice president. For students, a complaint involving services or activities normally will be directed to the appropriate director/officer of the service or activity with continuation in line to the Vice President for Student Affairs and University Counsel; on a complaint involving academic or instructional matters, to the academic department head with continuation in line to the Vice President for Academic Affairs and Provost. Complaint by an applicant who has been denied admission to the University will be directed to the Dean of Enrollment Management with continuation in line to the Vice President for Academic Affairs and Provost. Complaint by an applicant who has been denied employment at the University will be directed, for applicants to faculty positions, to the Vice President for Academic Affairs and Provost; for applicants to nonfaculty staff positions, to the Director of Human Resources and Affirmative Action with continuation in line to the Vice President for Business Affairs.
2. Formal hearing: If, after exhausting recourse through established administrative channels, the grievant still feels that a satisfactory remedy or relief has not been provided, the grievant may request a formal hearing. The request shall be directed to the President of the University in writing and shall bear the grievant's name, current address, and telephone number; a clear statement of the nature of the grievance and the facts supporting it; the remedy or relief sought; the date; and the grievant's signature.

On receipt of the grievant's request, the President shall proceed to the establishment of a proper Grievance Committee to hear the case, as provided for under A. Grievance and Due Process Committees above and shall give the grievant not less than seven days' advance notice as to the date, time, and place set for the hearing.

- a) Grievance hearing procedures: A grievance hearing is not an administrative due process hearing and therefore does not include all

of those procedures provided for in due process hearings; neither do formal rules of evidence apply. The hearing shall be confidential and only those persons concerned should be included in the hearing.

- i. Functions of the Grievance Committee: The Committee or Committee Chair may confer with the grievant prior to the hearing to schedule witnesses, provide for the exchange of documents, and achieve other appropriate objectives to make the procedures fair, effective, and expeditious. In the hearing, the Committee may question the grievant and the witnesses presented by the grievant, may call such witnesses and examine such documents as it considers necessary, and shall keep a record of the hearing.

The Committee's role is to investigate the complaint as presented to the Committee by the grievant, to obtain all the facts in the dispute, and to come to a conclusion as to whether or not the grievant has just cause for complaint. In grievances which are contractual in nature, the Committee's role is to determine whether or not the grievant has had all the benefits of the procedures afforded by the grievant's contract and the rules and regulations of the University, school, and department, and whether or not the decision which forms the basis for the complaint was the result of adequate consideration in terms of the relevant standards of the University, school, and department. It is not within the scope of the Committee to make judgments on the professional qualifications of the grievant, such being the responsibility of the administrators within the concerned department, school, and the University. The Committee shall be guided in its decisions only by the evidence presented at the hearing.

- ii. Rights and responsibilities of the grievant: It is the responsibility of the grievant to present all the facts and to prove the merits of the grievance. To this end the grievant shall state the grievance with specificity, shall be allowed to present witnesses and documents on the grievant's behalf, and to examine any other witnesses and documents presented. The grievant shall not be represented by counsel but may have the assistance of an adviser of his choice from among personnel of the university community.
- iii. The Committee's report and final action: Upon conclusion of the hearing, the Grievance Committee shall prepare a report summarizing the evidence and rendering its conclusions. Copies of the report shall be sent to the President and to the grievant. Within 14 days of the receipt of the report, the

President, giving due weight to the report of the Committee, shall render a decision and so notify the grievant. Should the President's decision be inconsistent with the report of the Committee, the President shall state his reasons to the grievant and to the Committee. The President's action shall be final, except that a grievant may appeal a reversed or modified decision to a subcommittee of the Board of Trustees.

C. Due Process: To assure the protection of individual rights and due process in actions involving the suspension, dismissal, or other termination for cause of university employees, the following procedures may be invoked by written request of the affected employee:

1. Due process procedures

- a) Initiation of action: Any person may call to the President's attention in any reasonable manner--directly or through channels--any conduct or circumstance of any member of the university community thought to be violative of university rules or regulations or otherwise to merit action involving suspension, dismissal, or other termination for cause. The President, of his own volition, may investigate any such conduct or circumstance. If, after investigation, the President is of the opinion that such action should be taken, he shall give the person so accused or affected proper notice of the action proposed.
- b) Notice of proposed action: The President's notice to the accused of the action proposed shall be in writing by certified or registered mail or by such other appropriate means as may provide delivery and proof of receipt. The notice also shall contain:
 - i. a statement of the charges or conditions supporting the action proposed;
 - ii. notice of the accused's right to a full and fair hearing before a Due Process Committee;
 - iii. notice that such hearing shall be afforded only if requested in writing within ten days from the date of receipt of the Notice of Proposed Action, and that, if such request for a hearing is not received within this time limit, the right to a hearing shall be deemed to have been waived and the proposed action shall be imposed therewith or as specified in the notice; and
 - iv. information as to where a copy of the hearing procedures may be obtained.
- c) Due process hearing: If proper request for a hearing is made, the hearing shall be afforded not sooner than 14 or later than 21 days from the date of receipt of the request, unless, by mutual agreement, other time limits are established by written agreement. On receipt of the

request, the President shall proceed with the establishment of an appropriate Due Process Committee (as provided for under A. Grievance and Due Process Committees, above), informing the accused of the names of the members and providing reasonable opportunity and time for exercise of the rights of challenge. When a proper Due Process Committee is established, the accused shall be notified in writing of the date, time, and place set for the hearing at least seven days before the hearing. The notice shall contain the names of the witnesses and a summary of the nature of the testimony and evidence to be presented against the accused, and the accused and/or the accused's representative shall be permitted to inspect, at least three days in advance of the hearing, any affidavits or exhibits the University intends to submit at the hearing. However, the foregoing shall not prevent the presentation of evidence or testimony by the University that has not been disclosed to the accused, provided the University has good cause or justification for failure to disclose. The President shall designate an appropriate person or persons to present the case for the University.

Not later than three days before the hearing, the accused shall present to the University or its attorney a list of the names, addresses, and telephone numbers of all witnesses expected to be called to testify and the nature of the testimony and evidence to be offered by each witness. The university representative shall be permitted to inspect at least three days in advance of the hearing any affidavits or exhibits the accused intends to submit at the hearing. However, the foregoing shall not prevent the presentation of evidence or testimony by the accused that has not been disclosed to the University, provided the accused has good cause or justification for failure to disclose.

At the discretion of the President, the accused may be suspended during the proceeding if immediate harm to the accused or to others is threatened by continuance or if there is other just and sufficient cause supported by substantial evidence. Unless forbidden by law, the salary or wages of the university employee so suspended will be continued during the time of suspension.

- i. Committee procedures: The Committee or the Committee Chair may confer with the parties prior to the hearing in order to review procedures, provide for scheduling of witnesses and for any necessary exchange of documents or other information, and to achieve such other objectives as may make the hearing fair, effective, and expeditious. The Committee may consider, in advance of the hearing, the statement of grounds for the proposed action already formulated and such written response as the accused may elect to submit.

The Committee shall be responsible for establishing the order of procedure, for conducting the question of witnesses, for securing--if necessary--the presentation of evidence important to the case, and for developing such supplemental rules and procedures for its governance and operation as are not in conflict with other provisions of this resolution.

The Committee, in consultation with the parties concerned, shall exercise its judgment as to whether the hearing shall be private or public.

- ii. Hearing procedures: The due process hearing shall be governed by the following rules and regulations:
- The accused shall be permitted to have legal counsel and/or an adviser of the accused's choice. The University shall be permitted to have legal counsel.
 - The accused shall be afforded the right to present his version as to the charges or circumstances and to present his case by way of such statements, affidavits, witnesses, and exhibits as he desires. The accused shall be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the University will reasonably cooperate with the Committee in securing witnesses and in making available documentary and other evidence.
 - The accused and the University shall have the right to confront and cross-examine all witnesses. The Committee may grant adjournments to either party to permit the investigation of evidence to which a claim of surprise is made.
 - The Committee shall not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Reasonable effort should be made to obtain the most reliable evidence available.
 - The burden of proof that adequate cause exists rests with the University and will be satisfied only by a preponderance (majority) of the evidence. The findings of fact in the decision shall be based solely on the hearing record.
 - An audio recording of the hearing shall be made and the audio recording of the hearing shall be made available to the accused and the University on request and without charge.
 - Except for such simple announcements as may be required covering the time of the hearing and similar matters, publicity and public statements about the case by either party will be avoided.

- iii. Committee decision and report: On conclusion of the hearing, the Due Process Committee in executive session shall, by majority vote and solely on the basis of the evidence presented at the hearing, decide whether or not the evidence in the record has established adequate cause for the action proposed, and, on the basis of that decision, shall recommend to the President the disposition of the case. If the Committee concludes that adequate cause has been established but that a proper penalty less than that proposed would be more appropriate, it may so recommend with supporting reasons. The Committee's decision and recommendations shall be reduced to a written report which shall be forwarded, along with the record of the hearing, to the President. A copy of the Committee's report shall be sent to the accused by certified mail.
- iv. President's decision: Within 14 days of the receipt of the report, the President, giving due weight to the report of the Committee, shall render a decision and so notify the accused in writing. Should the President's decision be inconsistent with the report of the Committee, the President shall state his reasons to the accused and to the Committee. The President's action shall be final, except that the accused may appeal a reversed or modified action to a subcommittee of the Board of Trustees.

2. Exceptions to Due Process Procedures

- a) Student discipline: This procedure shall not be construed in any manner to apply to or affect the operation of student-operated procedures which may impose discipline short of suspension, expulsion, or dismissal, or to matters covered by the Student Disciplinary System Manual.
- b) Academic probation, suspension, and dismissal: This procedure shall not be construed in any manner to give any right of hearing of any nature to students placed on academic probation or suspended or dismissed because of academic insufficiency.
- c) Reorganizations, reductions in force, and nonrenewal of nontenured faculty contracts: This procedure shall not be construed to limit the administrative discretion of the President to elect not to renew contracts of nontenured personnel of the University or to terminate or abolish certain positions in the University for economic or other legitimate, nondiscriminatory, and constitutionally permissible reasons. In such situations, the person whose contract is not renewed or whose employment is otherwise terminated shall not have an absolute right to a hearing before a Due Process Committee; provided, however, that if the person whose position is so severed is of the opinion that such action has deprived him of "liberty" or of a "property interest" in continued employment, he may, within ten days of severance notice, make written petition to the President to invoke the due process

procedures provided herein and may be granted such a hearing at the President's sole discretion.

- d) At will employees: At will employees are not entitled to due process procedures upon their termination from employment unless an adverse action against them infringes a "liberty" or "property" interest of the employee, or the President expressly grants them that right in a letter imposing the adverse action.

3. Definitions

- a) Masculine pronouns used herein shall be deemed to include and refer to females as well as to males.
- b) The term "University" when used herein without further designation shall refer to the University of North Alabama.
- c) The term "President" when used herein without further designation shall refer to the President of the University of North Alabama.
- d) The phrase "university community" when used herein shall refer to the students, faculty, and nonfaculty staff members and employees of the University of North Alabama.

APPENDIX G

UNIVERSITY OF NORTH ALABAMA

EMPLOYEE ACCIDENT/INJURY REPORTING - WORKERS' COMPENSATION EQUIVALENCY PROGRAM

The program set forth herein was derived from the policy approved by the Board of Trustees on December 14, 1971. The original policy was elaborated upon by implementing procedures that have evolved since the inception of the policy.

The University of North Alabama does not participate in an insured Workers' Compensation Program. However, the University provides benefits, under the Workers' Compensation Equivalency Program, for accidental injury involving a violent occurrence during the performance of routine duties of an individual's university employment. There must be sufficient substantiating data to prove that the employee did, in fact, sustain an injury while on the job.

If not approved for payment under the University's Workers' Compensation Equivalency Program, an employee may submit a claim to the Alabama State Board of Adjustment.

The benefit coverage and procedures delineated in this policy are applicable to all faculty, staff, and service employees, regardless of employment category.

A. Claims Procedures: A claim may be approved only after sufficient review of evidence supporting the claim has been completed and provided that the claimant complies with the following established procedural guidelines:

1. The injury is reported to the appropriate supervisory personnel immediately, but no later than the end of the following workday, following the occurrence of an injury or an accident which may result in an injury. If supervisory personnel are not available, the employee reports the accident to the University Health Center or the Office of Human Resources and Affirmative Action. If the supervisor is not available, a follow-up report should be made by the employee to his or her supervisor immediately after the start of the next workday.
2. If medical attention is required, the employee reports to the University Health Center or university-appointed physician (the Office of Human Resources and Affirmative Action will notify supervisors periodically of the name, address and telephone number of the physician) prior to the end of the workday unless the nature of the injury prohibits such action or necessitates use of an emergency vehicle for transportation to the nearest appropriate medical facility. Unless the seriousness of the injury warrants otherwise, the employee must advise the Office of Human Resources and Affirmative Action and the University Health Center in advance of his or her intent to consult a physician other than the university-appointed physician. University Health Center personnel submit a report to the Office of Human Resources and Affirmative Action giving details of the injury, treatment, referral, and date the employee is expected to return to work.
3. An Accident/Injury Report Form (Section 9, Form C) that has been prepared by the supervisor or authorized representative is signed. The form is then forwarded to the Office of Human Resources and Affirmative Action, no later than three working days from the date of the injury. Preparation of the Accident/Injury Report attempts to substantiate the occurrence of the accident

and the resulting injury. It includes an investigation by the supervisor and statements from the injured employee and all witnesses to the accident. Forms are available in the Office of Human Resources and Affirmative Action. **Unsubstantiated workers' compensation equivalency claims will not be approved.**

4. A medical claim is filed by the injured employee with the University's group health insurance carrier, if the injured is a participant in the University's group plan. All medical charges for on-the-job injuries are the responsibility of the employee and may not be assigned to the University for payment. The employee should notify the appropriate medical personnel that charges for medical care should not be filed under the heading of "Workers' Compensation."
5. A public safety officer is called to the scene of a vehicle accident on campus and a city officer to the scene of a vehicle accident off-campus.
6. **Failure to follow procedures or to report injuries as set forth in this policy negates the employee's entitlement to payment under the University's Workers' Compensation Equivalency Program. Therefore, employees are advised to report all injuries, regardless of the severity, to their supervisors.**

B. Provisions of Remedy: The University of North Alabama's Workers' Compensation Equivalency Benefit policy limits the University to the following provisions of remedy:

1. Medical

- a) The Office of Human Resources and Affirmative Action will advise an injured employee of procedures for submitting claims to the University's group health insurance carrier for payment of itemized eligible expenses relative to treatment rendered for an injury sustained on the job.
- b) Upon receipt of an itemized medical billing statement, physician's report, and other pertinent information, the employee may present all such materials to the Office of Human Resources and Affirmative Action for review and **consideration for payment of copayments and deductibles**. If the claim is found to be legitimate and the accident reports and procedures, to include filing with the group health insurance carrier, were properly completed by the employee, the university will make payment directly to the provider of medical treatment and services for those eligible charges in excess of health insurance and other insurance payments. This amount is limited to the deductible amount as indicated in the University's group contract. **The University does not accept responsibility for charges above those which the health insurance carrier declares to be usual, customary, and reasonable.**

2. Follow-up Care

- a) While it is the intent of the University to relieve its employees of financial responsibility from injuries or disabilities incurred in its service, prior approval from the University is necessary for reimbursement of deductibles and co-payments of health care costs incurred after initial care and treatment.
- b) Reimbursement of deductibles and copayments for follow-up care or service that is required, such as medical treatment, surgery, therapy, drugs, braces, artificial limbs, etc., must be approved in advance by the University. Upon requesting such approval, the employee should provide the following information:
 - i. The nature of the treatment or service to be performed; and
 - ii. The name and address of the attending physician.
- c) Such payments are limited to the benefits specified by the University's health insurance carrier.
- d) When treatment or hospitalization costs for follow-up care are not accepted by the insurance carrier or the University, the injured or disabled person may make a claim to the State Board of Adjustment on forms available in the Office of Human Resources and Affirmative Action.

3. Leave

- a) The employee may elect to charge absences due to an on-the-job injury to his or her absence leave, annual leave, compensatory time, or any combination of the three, thereby receiving full pay.
- b) When all leave is exhausted, the employee may request that workers' compensation equivalency benefits be paid. Upon approval of a claim for workers' compensation equivalency benefits, the injured employee's pay is continued at a rate of 66 2/3 percent of his or her monthly or biweekly pay.
- c) The employee may request that workers' compensation equivalency benefits be paid from the beginning of the absence period. If approved, this maintains his or her annual leave and absence leave balances.
- d) The employee continues to earn absence and annual leave as long as he or she draws leave pay. Accrual of absence and annual leave discontinues once the employee exhausts all leave and is compensated under the University's Workers' Compensation Equivalency Program, is compensated under the Workers' Compensation Equivalency Program in lieu of taking leave, or is compensated under the University's Long-Term Disability Insurance Program. The employee's accrued leave is "frozen" at that time.

4. Disability

- a) An employee who expects to remain away from the job due to an on-the-job injury for three or more full consecutive months following such injury **must** apply for long-term disability benefits. The receipt of payment under

the University's Disability Program is in lieu of payment under the Workers' Compensation Equivalency Program. The employee does not have a choice between Workers' Compensation Equivalency Program and Long-Term Disability Program. **The employee will be paid under the Workers' Compensation Equivalency Program for a period not to extend beyond the date he or she is eligible for long-term disability benefits (three months rounded up to the beginning of the next month). The employee may not use accrued absence or annual leave in lieu of Long-Term Disability, (see Paragraph 7.07, E. 1. g.)**

- b) Approval of long-term disability benefits is subject to review by the University's long-term disability benefits carrier.
- c) The Office of Human Resources and Affirmative Action assists in the preparation of applications for long-term disability benefits.
- d) If approved for long-term disability, the employee receives 60% of his or her gross pay (subject to change as new insurance contracts are negotiated).

5. Premiums

- a) If an employee elects benefits under the University's Workers' Compensation Equivalency Program, the University pays the individual health insurance, dental insurance, and cancer premiums for an employee who is absent from work due to a verified on-the-job injury for six months (180 days) from the date of injury. Days for which absence leave or annual leave are paid during an absence due to an injury do not count toward the authorized 180 days of health insurance, dental insurance and cancer insurance premiums. In other words, if the employee elects to use leave during the long-term disability waiting period, his or her individual health, dental, and cancer insurance premiums will be paid for six months (180 days) after he or she becomes eligible for disability.
- b) The University continues to pay an employee's life insurance premiums until he or she has been approved for long-term disability benefits, at which time the premiums may be waived.

6. Part-time employees: Part-time temporary employees and part-time regular employees who are not covered under the University's group health insurance and group long-term disability insurance benefit are not entitled to coverage under the Workers' Compensation Equivalency Program.

7. Limits of payments: The University of North Alabama does not accept liability for payment of medical bills, compensation of an employee for loss of wages, payment of insurance premiums, or payment for disabilities sustained beyond that provided for in this policy.

C. Claims Submitted to Board of Adjustment

1. Claims disapproved or not covered under the Workers' Compensation Equivalency Program may be submitted to the State Board of Adjustment.
2. Forms for submitting a claim to the State Board of Adjustment and instructions for preparing said forms are available in the Office of Human Resources and Affirmative Action.

APPENDIX H

UNIVERSITY OF NORTH ALABAMA

DRUG AND ALCOHOL POLICY

It is the policy of the University of North Alabama that the unlawful possession, use, or distribution of illicit drugs and alcohol by students and employees on its property, or as a part of any of the University's activities, is prohibited.

Students, faculty, staff, and service employees who violate a local, state, or federal drug or alcohol statute may be referred to the appropriate law enforcement officials for prosecution. Additionally, an individual who violates the law or the provisions of the University's drug and alcohol policy will be referred to the appropriate supervisor or student judicial bodies for appropriate disciplinary action. University-imposed sanctions may include suspension or termination. As an alternative to disciplinary action, the University may require an individual to complete successfully a drug or alcohol recovery program in an approved treatment facility.

An individual who has drug, alcohol, or related problems may voluntarily seek counseling and follow prescribed treatment without fear of recrimination. Assistance may be given in referring persons to various community agencies which are trained and equipped to treat persons with drug or alcohol problems. These referral services are available at the University Health Center and Student Development Center for students, and through the faculty, staff, or service employee's supervisor, department head, or Director of Human Resources and Affirmative Action for faculty, staff, and service employees.

The provisions of this policy shall apply to all students and to all university employees, full-time or part-time, including professional and nonprofessional employees, as well as persons on the university campus for any purpose.

The University of North Alabama Board of Trustees empowers the university president, or his administration, to administer this policy. The university president is further empowered to take all actions necessary to comply with the United States Department of Education Drug Free Schools and Campuses Regulations, as currently written, or to be promulgated in the future.

APPENDIX I

UNIVERSITY OF NORTH ALABAMA

STAFF, NONTEACHING FACULTY, AND SERVICE EMPLOYEES

ANNUAL LEAVE POLICY

The University of North Alabama provides staff, nonteaching faculty, and service employees in certain job classifications annual leave for the purpose of affording employees a refreshing rest from the work routine, thereby creating a higher degree of job efficiency and effectiveness.

A. Job Classifications Entitled to Annual Leave

1. Full-time regular (12-month) staff, nonteaching faculty, and service employees who are not "off-duty" employees (off periods being the weeks off between semesters and spring break).
2. Regular employees who work less than 40 hours per week - - leave accrues in proportion to the fraction of time worked (20 hours per week or more). Part-time regular employees who work less than 20 hours per week and off-duty employees are not entitled to annual leave.

B. Accrual of Annual Leave

1. Each full-time regular (12-month) employee is entitled to 80 work hours (10 workdays) of annual leave with pay at the employee's regular rate of pay for each 52-week period worked during the first 2 years of employment. After completion of 2 years of continuous service, each full-time regular employee is entitled to 12 days of annual leave and, for each additional year of service, annual leave will be increased by one day per year to a maximum of 20 days after 10 years. Annual leave for full-time regular employees will accrue as follows:

Length of Service	Annual Accrual	Weekly Accrual
Up to 2 years	10 days	1.5385 hours
After 2 years	12 days	1.8462 hours
After 3 years	13 days	2.0000 hours
After 4 years	14 days	2.1538 hours
After 5 years	15 days	2.3077 hours
After 6 years	16 days	2.4615 hours
After 7 years	17 days	2.6154 hours
After 8 years	18 days	2.7692 hours
After 9 years	19 days	2.9231 hours
After 10 years	20 days	3.0769 hours

2. The employee's years of employment for increased annual leave credits are computed on the basis of continuous and uninterrupted full-time employment, beginning with the employee's date of employment.
3. Annual leave is accrued for each full week worked at the rate specified in paragraph 1 above. The weekly amount is added to the employee's accrual each Monday night (for a maximum of 52 weeks per year).
4. The first three months (six months for Public Safety and Group Home employees) of employment are considered probationary months for nonexempt regular employees, during which time no annual leave is accrued. After the probationary period has ended and the employee is retained full time, annual leave accrues retroactively to the first full week of employment.
5. An employee earns annual leave credit for all of the time that he or she is considered to be in active pay status, which includes but is not limited to: (a) normal work hours, (b) paid annual leave, (c) paid sick leave, (d) paid jury duty leave, and (e) paid military leave.
6. Part-time regular employees who are not employed in an off-duty position (off periods being the weeks off between semesters and spring break) and who work at least 20 hours per week for an indefinite period are entitled to annual leave at one-half of the rate of a full-time employee, or a prorated share for hours worked above 20 hours in increments of 5 hours. No one who works fewer than 20 hours per week is eligible for annual leave.
7. Part-time regular employees who earn annual leave will be allowed to carry-over, on January 1, of each year, a prorated amount of the total number of days (25) authorized to be carried-over by a full-time regular employee.

C. Planning Annual Leave

1. An employee's supervisor has the responsibility and authority to decide when leave may be taken. The employee and supervisor must work together to schedule leave that benefits the department and the employee. Supervisors are expected to arrange their work schedules to allow employees to take annual leave when the University can best do without them, giving as much consideration as practical to the needs of the employee.
2. To the extent possible, employees request prior approval of annual leave from their immediate supervisor. An employee should confirm the time he or she wishes to use for vacation at least two weeks in advance to assure that the absence will interfere as little as possible with the work of the department.
3. Retroactive approval may be granted when emergency circumstances warrant; however, merely reporting an absence does not necessarily result in favorable action. Failure to secure the proper prior approval may result in the period being charged to leave without pay.

D. Reporting Annual Leave

1. It is the responsibility of the immediate supervisor to report annual leave taken by the employee, and to certify that the leave taken is correct and

- proper. Any abuse of leave is a serious offense, and it is the responsibility of the supervisor to make reasonable inquiry as to the necessity for the leave.
2. Annual leave requires the preparation of a leave form (Section 9, Form E) and supervisory approval, whether it is submitted prior to taking the leave or after the fact. Forms are provided by the Office of Human Resources and Affirmative Action for reporting all leave (with or without pay). Such forms are to be completed by the employee and his or her supervisor and forwarded to the Office of Human Resources and Affirmative Action immediately for processing.
 3. If advance approval cannot be obtained and leave is required due to emergency conditions, the employee should notify his or her supervisor by telephone as soon as possible after the beginning of the workday on the day the employee is due to report for work. The leave form should be prepared immediately upon the return of the employee to work.

E. Taking of Annual Leave

1. Annual leave may be taken at any time during the year, in accordance with departmental restrictions and with prior approval of the employee's supervisor and department head or chair.
2. All employees are encouraged to make maximum use of their annual leave.
3. The minimum amount of annual leave an employee can take is one hour. Leave taken above one hour will be recorded in increments of one-quarter of an hour with seven minutes rounded down to the nearest quarter hour and eight minutes rounded up to the nearest quarter hour.
4. Annual leave may be used to take classes during the workday if approved by the supervisor.

F. Annual Leave Carry-Over

1. Not more than 25 days are cumulative beyond December 31 of any year. The only exception is for the convenience of the University and by prior approval.
2. An employee's annual leave balance is recorded on his or her monthly or biweekly paycheck stub. The leave balance may also be obtained by calling the Office of Human Resources and Affirmative Action.

G. Pay for Annual Leave

1. An employee does not receive a cash payment in lieu of leave except upon termination of employment or retirement.
2. An employee who voluntarily terminates his or her employment, or who is involuntarily terminated, receives pay equal to any unused annual leave that was carried over from the preceding calendar year, provided arrangements cannot be made for the employee to take the accrued annual leave during the

- notification period. Additionally, the employee receives all earned annual leave pay for the calendar year in which the termination occurs. Pay for accrued annual leave will not exceed 40 days. Payment for accrued annual leave will not be made until a completed Clearance Form has been returned to the Office of Human Resources and Affirmative Action.
3. Lump sum annual leave payments shall not be deemed to extend the employee's recognized service with the University.
 4. If a person transfers from a position offering annual leave to one that does not offer annual leave, the employee is paid for accumulated days or is asked to take all or part of the accumulated leave.
 5. If an employee dies, his or her beneficiary is paid for all accrued annual leave.

H. Advanced Annual Leave: Upon the recommendation of the supervisor, full-time regular employees may be authorized to take small amounts of annual leave in advance of earning said leave under emergency conditions, normally not to exceed 24 hours. An additional 16 hours of annual leave may be approved by the appropriate vice president when circumstances warrant such actions. Employees working less than 40 hours per week are authorized advanced annual leave on a prorated basis.

I. Donating Leave

1. A regular employee that earns leave, who must be absent due sickness or when caring for a seriously ill member of the immediate family as defined by the Family Medical Leave Act and who has exhausted his or her annual leave, sick leave and compensatory time may be given annual leave or sick leave by another employee.
2. The supervisor of an employee needing donated leave may solicit leave by contacting other employees directly or by an e-mail to all faculty and staff employees.
3. To receive donated leave, an employee must have exhausted his or her accrued sick leave, annual leave, and compensatory time.
4. To donate leave, an employee prepares a Staff and Service Personnel Leave Request Form and a faculty member prepares a Faculty Leave Request Form, stating in the justification section who is to be the recipient of the donated leave. The leave form will be processed in the normal manner, charging the designated number of hours against the donor and crediting the recipient with the designated hours. The donated hours will be credited to the recipient's sick leave hour for hour.
5. Not more than 80 hours per year may be donated by any employee.
6. Leave cannot be donated if it gives the donor a negative balance.
7. An employee receiving donated leave will remain on the payroll with all benefit entitlements until all donated leave has been exhausted, he or she becomes eligible for long-term disability, or the sickness no longer exist, whichever comes first.
8. An employee may not be absent on leave (a combination of annual leave, sick leave, personal leave, compensatory time, and donated leave) longer

- than 12 weeks during each calendar year, in cases other than his or her personal sickness. In cases of personal sickness the employee may qualify for long-term disability (see Paragraph 7.07 E). An employee may qualify for a leave of absence under the provisions of Paragraph 7.06 F.
9. The unused donated leave will be returned to the donors. The donors with the largest number of donated hours will receive credit for the unused hours on a proportional basis.

J. General Annual Leave Policies

1. Should scheduled annual leave include a holiday period, the employee is not charged annual leave for the holiday(s). However, the approved leave period is not automatically extended as a result of the holiday.
2. If the President notifies employees in advance that a particular day or half day is designated as additional time off, an employee on annual leave is not charged annual leave for the time off. However, if the President announces during the day that the employees may go home early on that day, an employee on annual leave is charged annual leave. An employee not scheduled to work on the day in which additional time off is given, is not given credit for the additional time off.
3. Failure of an employee to communicate with his or her supervisor for three consecutive days regarding a request or necessity for leave is considered as a voluntary resignation (abandonment of position) without prior notice.
4. Emergencies other than those qualifying under sick leave are charged to annual leave.
5. Employees should establish credibility regarding attendance, absenteeism, and lateness by keeping the number of absences to a minimum so that when emergencies do occur, the employee is able to take time off without jeopardizing his or her job status.
6. Annual leave is not converted to sick leave. However, when sick leave is exhausted, annual leave may be taken.
7. If an employee is terminated during the probationary period, he or she is not entitled to payment for annual leave, since he or she did not accumulate any leave during that period.
8. A day for annual leave purposes is considered an eight-hour day for full-time regular employees and the actual hours the employee was scheduled to work for part-time regular employees. To eliminate confusion, the leave taken is also to be stated in hours.
9. If an employee is on annual leave and a death within the immediate family, or other events qualifying for sick leave occur, the leave period may be counted against sick leave at the request of the employee. The approved annual leave period does not automatically extend as a result of the sick leave period.
10. Any annual leave time taken in advance, but not repaid with earned leave, must be repaid upon termination of employment.

APPENDIX J

STAFF AND SERVICE EMPLOYEES'

SICK LEAVE POLICY

The University of North Alabama provides staff, and service employees in certain job classifications sick leave to prevent loss of income: (a) during an illness when confined at home or in the hospital, (b) during an absence related to pregnancy and childbirth, (c) when required health-related professional services cannot be obtained outside regular work hours, (d) when caring for a seriously ill member of the immediate family, (e) during an absence due to a death in the immediate family, (f) while attending funerals, (g) while attending university classes, (h) during periods of inclement weather, and (l) while taking care of extraordinary legal or personal business matters (limited to two days per year, with the exception that vice presidents may approve an additional three days per year when circumstances warrant).

A. Accrual of Sick Leave

1. The first three months (six months for Public Safety and Group Home employees) of employment for nonexempt regular staff and service employees are considered probationary months during which time no sick leave will accrue. After the probationary period has ended and the employee is retained as a regular employee, sick leave will accrue retroactive to the first full week of employment.

2. The accrual rate of sick leave is based on employment status classifications that follow:

a. Full-time regular staff and service employees are entitled to 96 work hours (12 workdays) of sick leave each year at the employee's regular rate of pay. Sick leave will accrue for 52-weeks per year at the rate of 1.846 hours each week (an average of one day per month).

b. Part-time and half-time regular employees who work at least 20 hours per week are entitled to sick leave at one-half the rate of a full-time employee (see Paragraph a. above) or a prorated share for hours worked above 20 hours in increments of 5 hours. No one who works less than 20 hours per week is eligible for sick leave.

3. Full-time and part-time temporary staff and service employees are not entitled to sick leave.

4. Employees entitled to sick leave earn sick leave credit for all hours that they are considered to be in active pay status, which includes but is not limited to (a) normal work hours, (b) paid vacation, (c) paid sick leave, (d) paid jury duty leave, and (e) paid military leave.

B. Categories of Sick Leave

1. Personal leave

An employee is allowed time away from work to take care of extraordinary legal or personal business matters. Personal leave should be approved in advance, and work

requirements take priority over personal leave. Only two days per year of personal leave are authorized. (The year starts on January 1 and ends on December 31.) An additional three days of leave may be approved by the appropriate vice president when circumstances warrant such action. Personal leave is charged against the accrued sick leave balance and cannot be carried over from one year to the next.

2. On-the-job injury leave

An employee who is injured on the job may elect to charge the absence to his or her accrued sick leave in lieu of being paid under the University's Workers' Compensation Equivalent Program. After exhausting all sick leave, the employee may re-quest that annual leave or compensatory time be used, but such re-quests must be made in writing to the Office of Human Resources and Affirmative Action. Additionally, the employee may request payment under the Workers' Compensation Equivalency Program (see Appendix G, Paragraph B. 3.).

3. Personal illness/accident leave

An employee may take sick leave if he or she is unable to work due to illness or injury.

4. Medical, dental, and optical appointments

An employee may take sick leave when he or she must have health-related professional services which cannot be obtained outside regular work hours.

5. Family illness/accident leave

Sick leave may be used for illness or injury of an immediate family member which requires the employee's presence. Immediate family is considered to be a spouse, child, stepchild,

mother, father, brother, sister, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild. Generally the maximum amount that can be charged against sick leave for family illness/accident leave during a calendar year is 12 weeks.

6. Bereavement leave (death of a family member)

An employee may take time off due to a death in the immediate family and may charge the time off to sick leave. Immediate family is defined in Paragraph 5 above. Proof of relationship to the family member may be required. Generally, the maximum amount that can be charged against sick leave for death of a family member is three days. Additional sick leave time may be granted under certain circumstances by the appropriate vice president.

7. Funeral leave

An employee may take sick leave to attend the funeral of family members (outside the immediate family) and friends. Time off normally is limited to one day or less for each occurrence.

8. Maternity leave

Disabilities caused or contributed to by pregnancy, childbirth, or related medical conditions are treated the same as disabilities caused or contributed to by other medical conditions under the University's health or disability insurance and sick and annual leave plans. Further, the policies and practices involving matters such as the commencement and duration of leave, the availability of extensions, the accrual of seniority, reinstatement, and other benefits and privileges are applied to disability because of pregnancy, childbirth, or related medical conditions on the same terms and conditions as they are applied to other disabilities.

a. Absences for maternity reasons may be covered by either, or a combination of, sick leave, annual leave, leave without pay, and compensatory time.

i. Leave may be taken as sick leave for the period of time that a physician states that the employee is unable to work without endangering her health. Eligibility for sick leave, of course, ends on the date that a physician certifies that the employee is physically able to return to work and perform her normal duties. Should the employee exhaust all accrued sick leave before the end of the maternity leave period, the remaining time may be taken as

annual leave, compensatory time, or leave without pay.

ii. An employee may be authorized up to 12 weeks of absence under the provisions of the Family and Medical Leave Act (Paragraph 7.04). The time approved beyond the authorized sick leave may be annual leave or unpaid leave of absence.

iii. If the employee wishes to maintain an accumulated sick leave balance, maternity leave may be taken as annual leave, or leave of absence.

b. The commencement of leave and the duration of leave are matters to be resolved among the employee, the employee's doctor, and the employee's supervisor. An employee affected by pregnancy-related conditions is required to submit a doctor's statement concerning her inability to work before being granted leave. The employee must notify her supervisor as soon as possible in advance of the beginning date of the leave (preferably 90 days) in order for arrangements to be made for a replacement during her absence.

c. Usually, an employee cannot be forced to go on leave as long as she can still perform all duties required by her position. The employee is allowed to work at all times during pregnancy when she is able to do her job. Women affected by pregnancy will be treated the same as other employees on the basis of their ability to work.

d. While on sick or annual leave, the employee continues to accrue sick and annual leave. However, if the employee exhausts sick and annual leave and must be placed on leave of absence, or elects to take a leave of absence, the employee does not accrue sick or annual leave. While on a leave of absence the employee's benefit entitlements may change (see Paragraph 7.04 C.)

e. A doctor's certificate is required of the employee upon returning to work, certifying that the employee is physically able to perform her normal duties.

f. An employee who takes leave because of pregnancy is entitled to her same job when she is able to work if the

absence does not extend beyond 12 weeks as authorized by the Family and Medical Leave Act.

g. Should the employee decide not to return to work after the pregnancy, a letter of resignation should be submitted as far in advance as possible.

9. Class attendance

Sick leave may be taken to attend classes during the workday if approved by the supervisor. The employee is allowed to take only two classes per semester under the Remission of Course Hour Fees Benefit. (See Paragraph 7.03)

10. Inclement weather leave

Absences resulting from inclement weather may be charged against sick leave. (See Paragraph 3.09 and Paragraph A, Appendix E.)

C. Planning and Taking Sick Leave

1. Sick leave is primarily for individual sickness, sickness of a family member, or absences due to a death in the immediate family, all of which are unforeseen emergencies. Consequently, all employees should save their sick leave for such emergencies.

2. Use of sick leave for authorized nonemergencies, (e.g., medical, dental, and optical appointments) should be planned in advance and coordinated with the employee's supervisor.

3. The minimum amount of sick leave that an employee can take is one hour. Sick leave taken above one hour is in increments of one-quarter of an hour with seven minutes

rounded down to the nearest quarter hour and eight minutes rounded up the nearest quarter hour.

4. Sick leave may not be used for vacation time.

5. In the event of disability, staff and service employees may use their accrued sick leave up to the date (three months rounded up to the beginning of the next month) he or she is eligible for long-term disability insurance benefits. However, employees who are disabled for a continuous period of 45 consecutive and uninterrupted calendar days are encouraged to apply for long-term disability insurance benefits. These benefits, if approved by the group insurance carrier, begin as of the first day of the month after three months of continuous disability. Eligible employees

must apply for long-term disability insurance benefits through the Office of Human Resources and Affirmative Action.

D. Requesting and Reporting Sick Leave

1. Employees must notify their immediate supervisors of the necessity for taking sick leave as soon as circumstances permit. In cases other than illness, accident, and emergencies, prior approval of the immediate supervisor is required for sick leave. Personal leave requires advance approval.

2. An employee confronted with a situation requiring sick leave prior to the beginning of his or her scheduled workday is responsible for notifying his or her supervisor as soon as possible on the first day of absence, preferably before the start of the workday, but not later than two hours after the start of his or her scheduled workday. The employee is responsible for providing the supervisor with the information regarding the general nature of the illness and the expected date of return to duty. If the employee is unable to report for duty by the specified date, he or she must request additional leave by contacting his or her supervisor. The employee should notify personally his or her supervisor unless he or she is medically unable to do so.

3. Sick leave requires preparation of a leave form and supervisory approval, whether it is submitted prior to taking the leave or after the fact. Each staff and service employee is responsible for completing the Leave Request Form immediately upon returning to work, or on a weekly basis if the absence continues for more than one week.

4. Retroactive approval of sick leave may be granted when emergency circumstances warrant; however, the mere reporting of an absence will not necessarily result in favorable action.

5. All cost center heads are responsible for monitoring absences within their areas and for ensuring that leave forms are forwarded in a timely manner to the Office of Human Resources and Affirmative Action. The Office of Human Resources and Affirmative Action will maintain an individual leave file for each employee and enter the leave taken in the computer.

E. Sick Leave Carry-Over

1. Unused sick leave is carried forward on December 31 of each year. There is no limit on the number of days that can be carried forward.

2. An employee's sick leave balance is recorded on his or her monthly or biweekly paycheck stub. The leave balance may also be obtained by calling the Office of Human Resources and Affirmative Action.

F. Pay for Sick Leave

If an employee dies, payment for accrued sick leave credited to the account of the employee or 60 workdays, whichever is smaller, is paid to the employee's designated beneficiary.

G. Termination of Employment

No sick leave is paid when the employee/employer relationship ceases to exist other than:

1. Upon retirement, all unused sick leave days are certified as additional service credit to the Alabama Teachers' Retirement System.

2. Upon the death of an employee who is still in service, a death benefit equal to the unused accrued sick leave credited to the account of the employee or 60 workdays, whichever amount is smallest, is paid to the designated beneficiary of the employee, or is included in the amount reported to the Retirement System, but not both. The amount

of accrued sick leave above which is not selected for payment as a death benefit is certified to the Teachers' Retirement System at the option of the beneficiary.

3. If an employee resigns his or her employment with the University and is rehired at a later date, his or her sick leave is not reinstated.

4. If an employee resigns his or her position with the University and is vested in the Alabama Teachers' Retirement System, his or her accrued sick leave is certified to the Retirement System upon his or her retirement.

H. Advanced Sick Leave

1. Upon the recommendation of the supervisor and department head, full-time regular employees may be authorized to take small amounts of sick leave in advance of earning said leave under emergency conditions, normally not to exceed 24 hours. An

additional 16 hours of sick leave may be approved by the appropriate vice president when circumstances warrant such action.

2. Part-time regular employees working less than 40 hours per week but more than 20 hours per week are authorized advanced sick leave on a prorated basis.

3. Advanced sick leave must be repaid from the next earned sick leave hours. Any sick leave time taken in advance, but not repaid with earned leave, must be repaid upon termination.

I. General Sick Leave Policies

1. Sick leave is not intended to be nor may it be used for additional annual leave time. The only allowed sick leave to be extended beyond eight consecutive work hours (one workday) is for personal illness or accident, illness, or death in the employee's immediate family which requires the attention of the employee; maternity leave; inclement weather leave; and the maximum of two personal leave days.

2. The supervisor may require the employee to provide verification of the necessity for the employee to be absent. For example, the supervisor may require a doctor's statement verifying the necessity for the employee to be absent to attend to a member of the immediate family during an illness.

3. If an employee does not have sufficient sick leave to cover an appropriate absence, such leave is reported as "Justified Leave Without Pay" for the hours the employee is short. During periods of emergency, if an employee desires that annual leave or compensatory time be used upon the exhaustion of all sick leave, the employee should notify the Office of Human Resources and Affirmative Action, in writing, prior to sick leave being exhausted.

4. If an employee is on annual leave and becomes ill, or if other circumstances occur which qualify the employee for sick leave, the leave time may be counted against sick leave, if certification is provided verifying the sickness or qualifying circumstances. If the qualifying sick leave extends beyond the employee's original authorized annual leave period, the additional leave time may be counted against accumulated sick leave.

5. If an employee is receiving sick leave benefits when a holiday occurs, he or she is not charged sick leave for the holiday. The approved leave period is not automatically extended due to the holiday.

6. If the President notifies employees in advance that a particular day or half day is designated as additional time off (holiday or inclement weather), an employee on sick leave is not charged sick leave for the time off.

7. If an employee exhausts all sick leave due to an on-the-job injury, he or she may request that annual leave be paid, but such requests must be made in writing to the Office of Human Resources and Affirmative Action.

8. The employee's supervisor has the responsibility to insure that the employee uses sick leave for its legitimate purposes. Until the supervisor is satisfied that the employee has used sick leave properly, he or she may recommend the withholding of sick leave pay. Upon request of the supervisor, the employee may be required to show evidence of his or her illness in the form of a medical certificate from a physician. The University also reserves the right to have a physician(s) of its choice examine the employee.

9. If a person is physically able to return to work but chooses not to return to work after becoming medically fit following an illness or accident, the person has resigned his or her position. Therefore, the employer/employee relationship has terminated unless the University chooses to offer the employee an extension of time.

10. An employee may not use more than six months of consecutive sick leave, or a combination of sick leave, annual leave, leave without pay and long-term disability, and retain his or her position unless the University offers to extend this time. This does not affect the rights of the employee to draw long-term disability insurance benefits. If an employee is eligible for long-term disability benefits the provisions of Paragraph C.5. above apply.

11. Under no circumstances is sick leave converted to annual leave.

12. If the employee must be on an extended qualifying sick leave (e.g., sickness) and wishes to maintain his or her accumulated sick leave balance, the leave may be taken as annual leave.

13. Failure to communicate with the supervisor for three consecutive days regarding a request or necessity for sick leave is considered a voluntary resignation (abandonment of position) without proper notice.

14. Any employee who violates or abuses sick leave is subject to disciplinary action, including termination.

15. An employee on sick or temporary disability leave should return to work in his or normal job as soon as medically feasible. An employee returning to work after such a leave may be requested to supply the University with a doctor's statement certifying that he or she is able to return to his or her normal duties. An employee is not permitted to work against the advice of his or her doctor.

16. A day for sick leave purposes is considered an 8-hour day for full-time regular staff and service employees, and as the actual hours the employee was scheduled to work for regular staff and service employees who work less than 40 hours per week. To eliminate confusion, the leave taken is also recorded in hours.

17. If an employee transfers from one department to another department, he or she retains his or her accrued sick leave.

18. Accrued sick leave from another Alabama public educational institution who participates in the Retirement System of Alabama is transferrable to the University of North Alabama.

J. Donating Leave

For the policy pertaining to donating sick leave to another employee see Paragraph I, of Appendix I.

APPENDIX K

UNIVERSITY OF NORTH ALABAMA

REMISSION OF COURSE HOUR FEES POLICY

As a part of its fringe benefit package, the University of North Alabama provides remission of course hour fees to faculty, staff, and service employees and to spouses and qualified dependent children.

The program set forth herein was derived from the policies approved by the Board of Trustees on May 11, 1979, in which remission of course hour fees was approved for dependent children and on February 5, 1982, in which remission of course hour fees was approved for full-time employees. The original policies have been modified by adding additional benefits and implementing procedures. The current policy was approved by the Board of Trustees on April 10, 1991, with incorporated revisions having been approved on June 8, 1998, March 12, 1999 and March 16, 2007.

A. Children

1. The University pays three-quarters of the basic tuition or part-time regular course tuition (excluding all fees and related charges, i.e., books, supplies, room, and board) for enrollment in the undergraduate program at the University of North Alabama for eligible children of full-time regular faculty, staff and service employees, and retirees having had such employment status prior to retirement.
2. Qualifying children of faculty and non-faculty employees are eligible for the remission of course hour fees if a parent is employed on a continuous full-time regular basis at the University at the beginning of the semester in which the child will be enrolled.
3. In order for the remission of course hour fees benefit to continue, the employee must be employed on a continuous full-time regular basis by the University at the beginning of each enrollment period. A leave of absence, other than for illness or disability, is not counted as uninterrupted service. Failure to teach in any summer term does not break the continuity of employment.

4. To qualify as a child of a retiree of the University of North Alabama, the individual must meet the requirements set forth in paragraph 5 below.
5. Eligible children are those who meet all the following conditions:
 - a) Be the natural children, stepchildren, or legally adopted children of the employee or retiree who:
 - have not reached their 25th birthday prior to the term for which they will next enroll,
 - are unmarried, and;
 - are dependents of the employee as determined by eligibility for federal income tax purposes.Stepchildren and legally adopted children must have had this status for at least one full year at the time of enrollment to be eligible for this benefit;
 - b) Have not received or completed requirements for a baccalaureate or equal degree from a four-year degree granting institution; and
 - c) Are eligible for admission and matriculation under existing university policies.
 - d) Not more than six calendar years may expire between the first and last enrollment under this program.
 - e) This benefit is limited to a maximum of nine semesters. Summer and interim terms are counted as one-half of a semester for this purpose. Enrollment for any credit during a spring or fall term constitutes a full term of entitlement.
 - f) Dependent children may take up to nine semester hours of credit during the summer sessions and be charged with half a semester of eligibility for the remission of course hour fees. Ten semester hours or more during the summer will be charged as one semester of eligibility.
 - g) Full-time regular faculty, staff, service employees, and qualified retirees who wish to take advantage of this benefit must apply for each person/child to be enrolled each semester by submitting the designated application form to the Office of Human Resources and Affirmative Action prior to the appropriate application deadline. The Office of Human Resources and Affirmative Action establishes an application deadline each semester and notifies all employees of the same.

B. Faculty, Staff, and Service Employees: There is a full remission of course hour fees for both graduate and undergraduate level courses taken at the University of North Alabama by faculty, staff, and service employees of the University.

1. Faculty, staff, and service employees must be employed at the University at the beginning of the semester in which the individual is enrolled.
2. A leave of absence, other than for illness or disability, is not counted as uninterrupted service. Failure to teach in any summer term does not affect this benefit provided that the employee has a contract for employment for the subsequent fall term.

3. Individuals wishing to apply for remission of course hour fees must be admitted to the University prior to the initial registration and must be eligible to register for each term in which a course is to be taken.
4. Courses for faculty, staff, and service employees under this benefit are available only on a space available basis. Courses must be registered for during late registration or as specified by the Dean of Enrollment Management. The late registration fee is waived.
5. Regular faculty, staff, and service employees may take no more than six credit hours during any school term under this benefit and six credit hours may be taken during the summer sessions.
6. The maximum amount the University will pay, on behalf of a qualifying employee for remission of course hour fees per semester shall not exceed the cost for six credit hours of undergraduate or graduate classes. The employee will be responsible for all costs incurred in excess of this allocation.
7. Remission of course hour fees for special programs of study scheduled outside the regular fall semester, spring semester and summer sessions will be limited to: (1) 1.5 course hours per four weeks; or, (2) six graduate course hours per each four months (16 weeks); or, (3) two graduate or two undergraduate courses (three hours each) during each of the fall, spring and summer term. No more than two courses (regardless of the number of hours) can be claimed for remission of course hour fees benefits during any four month period. Course hours taken shall not exceed 18 hours per calendar year. The maximum amount paid for a course hour for special programs or study (undergraduate or graduate) will be the standard amount for a regular graduate course hour.
8. A class may be audited if approved by the supervisor and department head.
9. Upon the recommendation of the supervisor and department head, an employee may be given special permission to take two continuing education courses each semester in lieu of two regular graduate or undergraduate courses, if the course is compatible with the employee's duties. The total number of courses can not exceed two per term.
10. With the approval of his or her supervisor, a staff or service employee may be permitted to take a course under this benefit during the normal workday or during the one-hour lunch break. When a course is taken during the normal workday, the time spent for class, laboratory, or other required attendance is charged against the employee's accrued absence leave and/or annual leave as directed by the employee. Employees in this classification may not take a course that requires them to be away from their regular work station during the normal workday for more than one hour and thirty minutes on any day (other than for a final examination) or when it is the judgment of their immediate supervisor that their work cannot be left unattended.
11. Faculty may not take a course that conflicts with their teaching schedule.
12. Faculty, staff, and service employees who wish to take advantage of this benefit must submit the designated application form to the Office of Human Resources and Affirmative Action by the appropriate application deadline. An application deadline is established as provided in paragraph A. 9 above. The

form must be signed by the employee and the appropriate approving authority.

13. The approving authority for employee remission of course hour fees depends on the division to which the faculty, staff, or service employee is assigned as outlined below:

	<u>Approving Authority</u>
(1) Business and Financial Affairs Staff	Vice President for Business and Financial Affairs
(2) Student Affairs Staff	Vice President for Student Affairs
(3) Faculty and Academic Affairs Staff	Dean of Academic Area
(4) Advancement Staff	Vice President for Advancement
(5) Athletic Staff	Athletic Director/President
(6) Administrative and International Relations Staff	Vice President for Administration and International Relations

14. If the employee's Remission of Course Hour Fees Application is approved, the Office of Human Resources and Affirmative Action sends a copy of the approved form to the employee.

C. Spouses: The spouse of a faculty, staff and service employee or qualifying retiree is eligible for remission of course hour fees for one course per semester and summer sessions under the same provisions as stipulated for faculty, staff, and service employees in paragraph B above, except for continuing education courses.

Remission of course hour fees for special programs of study for a qualifying spouse will be one half that of an employee.

D. Retirees/Current Trustees: Retirees and current trustees of the University are eligible for remission of course hour fees under the same provisions as those stipulated for faculty, staff, and service employees in Paragraph B above, except for continuing education courses.

E. Adjunct Faculty: An adjunct faculty member teaching one or more three hour courses during a semester is eligible for remission of course hour fees during the employment period under the same provisions as stipulated for full-time regular faculty, staff and service employees in Paragraph B above.

F. Part-Time or Temporary Staff and Service Employees: A part-time or temporary staff and service employee is eligible for remission of course hour fees under the same provisions as stipulated for regular faculty, staff and service employees in Paragraph B above.

G. General Remission of Fees Information

1. The employee's failure to submit an application for remission of course hour fees for dependent children, spouse, or self to the Office of Human Resources and Affirmative Action prior to the deadline results in the employee's forfeiting his or her eligibility to receive remission of course hour fees benefit for the covered academic semester. Deviation from this policy is authorized only in unusual circumstances and when extenuating circumstances dictate.
2. The remission of course hour fees benefit is in the form of a remission and is not paid in cash or refunded in the event of withdrawal.
3. If a faculty, staff, or service employee's employment is terminated, remission of course hour fees for the individual, his or her dependent children, and spouse will be discontinued as of the date of termination. If a child, spouse, or employee is enrolled in a course at the time of termination, the University must be reimbursed for a prorated share of the fees covered by the remission of course hour fees benefit in order to continue in the course.
4. The total number of regular university courses and continuing education classes, programs, seminars, training sessions, etc. may not exceed two per semester for an employee.
5. A faculty, staff or service employee's benefits under this policy can not be combined with the Senior Scholars Program.
6. A faculty, staff or service employee or retiree can not combine his or her benefit under this policy with that of a spouse as listed in Paragraph C above.
7. A retiree employed by the University in an adjunct or temporary capacity can not combine his or her benefits as an employee and a retiree.

APPENDIX L

UNIVERSITY OF NORTH ALABAMA

PURCHASING POLICY

No university employee may enter into a purchase agreement, make commitments to purchase, or otherwise obligate expenditure of university funds except on proper authorization and through the established procedures involving requisitions, purchase orders, delivery, invoice, and payment, and including strict compliance with the state bid law and sound business practices, and University of North Alabama purchasing policies and procedures.

- A. Budget:** For each fiscal year (October 1 - September 30), the university budget includes funds approved for each university cost center to purchase and requisition equipment, supplies, and services. The University's budget procedures are available in the Office of Business Affairs.
- B. Purchasing Office:** The Purchasing Office coordinates with cost centers in taking advantage of special discounts, services, and shipping arrangements, and of the economies of large-scale purchases. All such purchases and services are charged back to the cost center originating the request, and cost center heads are responsible for keeping requests within their budgetary allocations. For requests of an unusual type and those that exceed budgetary allocations, cost center heads should consult the appropriate school dean.
The University is not responsible for purchases made by persons other than the University's purchasing agent by official purchase order. Purchase orders are not issued after the fact. When these procedures are violated, the transaction is the personal obligation of the person making the arrangement.
- C. Off-Campus Purchases:** Purchases to be made from off-campus agencies are requisitioned on the "Purchasing Request" form, properly completed as to identification of the cost center, budget account number, signature of the cost center head, suggested vendors, and specifications on items, quantities, and costs. The form is then submitted to the Purchasing Office. On approval, a

purchase order is issued. No purchases may be made except on an advance purchase order prepared by the Purchasing Office. A minimum turn-around time of two workdays must be allowed for issuance of a purchase order, but normally a longer time period is required. Requests requiring bid submission must allow a minimum of four weeks for processing. No purchase order numbers are assigned by telephone except in emergency circumstances.

Orders delivered or picked up must be inspected for conformity to the order before acceptance and invoice approval. All invoices for orders received must be promptly approved by the cost center head and sent to the Business Office for payment. Order cancellations or modifications, invoice errors, and other matters related to purchases should be cleared through the Purchasing Office.

- D. On-Campus Purchases:** Purchases to be made from the University Supply Room or the University Bookstore are requisitioned on the intra-campus request form, properly completed as to the identification of the cost center, the budget account number, and the signature of the cost center head. Cost centers should maintain a record of purchases by requisition from the Supply Room and the Bookstore.

APPENDIX M
UNIVERSITY OF NORTH ALABAMA
TRAVEL POLICY

A. Automobiles

1. A limited number of university-owned automobiles are available for use by faculty and staff members for authorized university travel. Automobiles are assigned on a reserve basis through advance request on the "Use of University Automobiles" form, properly completed, signed by the head of the department, and mailed or submitted in duplicate to the Business Office. This office returns the duplicate copy authenticated as to the reservation and the specific automobile assigned. No telephone requests are honored. Due to the extensive use of university automobiles, requests must be filed well in advance of the trip planned. For assigned automobiles, the keys, credit cards, and "Motor Vehicle Use Report" form are obtained from the Business Office during regular business hours, Monday through Friday. Full instructions for pick-up, return, and disposition of keys, cards, and forms are attached to the "Motor Vehicle Use Report" form.
2. No vehicle is to be reserved for longer than the time reasonably required by the trip, and the Business Office is to be notified immediately of cancellations or reduced trip time so that other requests may be served. Users of university-owned automobiles are responsible for proper care and servicing, and for compliance with speed limits and other traffic regulations. Vehicles should be returned with at least one-fourth of a tank of gasoline and in a state of internal cleanliness for the benefit of the next user. Any problems or defects are to be noted on the "Motor Vehicle Use Report" form along with the mileage report.
3. Personal automobiles that are left in the motor pool during trips should be parked in the parking space assigned to the university vehicle in use.
4. Mileage on university-owned automobiles will be charged back to the using cost center at the prevailing mileage rate. Use of a privately- owned

- automobile may be authorized at prevailing mileage rates if, after proper advance request, it is determined that all university automobiles are assigned. If a privately-owned automobile is used by choice, reimbursement is made at one-half of the established mileage rate.
5. Contact the Business Office concerning the current insurance policy in effect for personal liability coverage.
 6. The University owns a 25-passenger minibus which is available for use; however, it is an Alabama state law that the minibus must only be driven by individuals who have a Commercial Driver's License.

B. Private and Government Aircraft

1. Flight in private aircraft is not required in any authorized university program. No university employee may require flight in a private aircraft as a part of any course of study, project, or employment. No university employee will be penalized for refusing to fly in a private aircraft.
2. Flight in a private aircraft by any person in the university community is taken at that person's own risk. The University of North Alabama will not assume any responsibility to any member of the university community who chooses to fly in a private aircraft, whether as passenger or as pilot.

C. Reimbursement

1. Funds are budgeted to appropriate academic offices and departments for reimbursement of travel expenses incurred by staff members in connection with required university business, or with approved attendance at meetings of learned societies and professional associations. Allocation of departmental travel funds, together with approval for travel and for absence from duty, is made by the head of the department and the dean of the school.
2. No funds may be advanced for travel. Reimbursement for expenses for authorized travel within Alabama is based on a maximum per diem as per state law, which is subject to change. Currently, travel allowance is not paid for a trip of less than six hours' duration. For travel not requiring an overnight stay, the traveler is paid a meal allowance for a trip of from six to twelve hours' duration, and for a trip in excess of twelve hours, one meal allowance plus one-fourth of the permissible per diem allowance. For travel requiring an overnight stay, the permissible per diem allowance is paid for each day or fraction thereof. However, the traveler staying overnight may elect to be reimbursed for less than the per diem. Approved out-of-state travel is reimbursed for reasonable and necessary expenses, or up to the amount allowed by the department head. When the use of privately owned vehicles is authorized, reimbursement is made at the established mileage rate. An overnight stay for personal convenience or pleasure does not constitute a required overnight stay. Proper forms for reimbursement claims are to be

submitted to the Business Office within the month in which the trip occurred and must be accompanied by receipts for travel by public carrier. A lodging receipt is not required for an overnight trip within the State of Alabama. However, the University prefers to have this documentation, if available. For travel outside the state, a lodging receipt must be attached to the travel expense voucher. Additionally, the University may require a copy of the program or an announcement of any conference or convention for which reimbursement is claimed.

APPENDIX N

UNIVERSITY OF NORTH ALABAMA

CONTINUATION OF BENEFITS AND

DEATH BENEFITS POLICIES

An employee is entitled to the continuation of certain benefits during absences due to vacation, sickness, on-the-job injuries, long-term disability, leave without pay or leave of absence, and retirement.

In the event of death, the beneficiary of a full-time regular employee may be entitled to certain death benefits.

CONTINUATION OF BENEFITS

An employee's benefits will continue in force as long as he or she remains active (defined as being on the payroll). When an employee exhausts his or her leave, is placed in a "leave-without-pay" or "leave-of-absence" status, or is placed on long-term disability, his or her benefit entitlements change.

A. Annual and Absence Leave: (See Paragraphs 7.02 and 7.03.)

1. An employee continues to earn absence and annual leave as long as he or she remains on the payroll. Once the employee exhausts all leave, he or she is placed in a leave-without-pay status, at which time the employee ceases to earn leave.
2. If the employee has sufficient accrued leave days, he or she may continue to receive full leave pay until he or she returns to work, becomes eligible for long-term disability or three months rounded up to the beginning of the next month from the date leave began, whichever comes first. An exception to this

policy for a short period may be made by the President. (See Paragraph 7.07 E.3.c.)

3. The employee continues to earn absence leave and annual leave while receiving pay for such leave; however, once the employee exhausts his or her leave or starts drawing disability benefits, he or she ceases to accrue leave.
4. If an employee who is absent due to sickness exhausts all accumulated leave prior to returning to work or prior to being approved for long-term disability benefits, he or she is placed in a leave-without-pay status (for reasons of sickness).
5. An employee may request leave without pay in order to save his or her accrued leave (to "freeze leave"). If the employee elects to freeze his or her leave, he or she has technically gone on leave without pay and is not entitled to accrue leave until he or she returns to work.

B. Health Benefits: (See Paragraph 7.07 A.)

1. During leave without pay (pending disability):

- a) If an employee exhausts his or her accumulated annual and absence leave, thereby being placed in a leave-without-pay (pending disability) status, or leave-without-pay (for reasons of sickness) status, the University continues to pay the employee's individual health benefit premiums for six months. The employee may continue the family coverage by paying the difference between the individual plan and family plan.
- b) If the employee has sufficient leave to carry him or her through the long-term disability waiting period, his or her individual health care premiums are paid for six months after he or she becomes eligible for disability.
- c) After the employee has exhausted his or her six-month entitlement in which the University paid the individual premiums, he or she is no longer eligible for coverage under the University's group plan. However, he or she may continue coverage under the provisions of the COBRA Law.
- d) During an approved leave under the provisions of the Family and Medical Leave Act the University will continue to pay the employee's individual health insurance premiums for the duration of the approved leave. (See Paragraph 7.04)

2. During leave resulting from an on-the-job injury:

- a) The University pays the individual health premiums for an employee who is absent from work due to a verified on-the-job injury, provided the employee elects Workers' Compensation Equivalency benefits, for six months from the date of injury. Absence leave or annual leave paid during the absence due to injury does not count toward the authorized six months of health insurance payment.
- b) If an employee who is injured on the job elects to use absence leave or annual leave until becoming eligible for long-term disability, the authorized

six months of health insurance payments do not start until the employee exhausts absence and annual leave, or upon becoming eligible for long-term disability payments, whichever comes first.

3. Termination: Upon termination, an employee may continue his or her individual health benefits and the coverage for his or her dependents under the provisions of the Consolidated Omnibus Reconciliation Act (COBRA) of 1986 for periods of time stipulated by the Act.
4. Death: In the event of an employee's death, his or her spouse and dependents are entitled to continuation of health insurance coverage for 36 months under the provisions of the COBRA Law.

5. Retirement

- a) If an employee retires under the Alabama Teachers' Retirement System, his or her individual or family health insurance coverage under the University's group plan will be discontinued.
 - b) An employee under the age of 65 who retires under the Alabama Teachers' Retirement System may be eligible for health insurance coverage under the Public Education Employees' Health Insurance Program (PEEHIP).
 - c) An employee over the age of 65 who retires under the Alabama Teachers' Retirement System or reaches the age of 65 after retirement may be eligible for health insurance coverage under Medicare and supplemental coverage under PEEHIP.
6. While working after age 65: If an employee continues to work beyond age 65, he or she will be afforded an opportunity to select the University's group plan as primary coverage over Medicare.

C. Cancer Insurance and Intensive Care Insurance

1. Cancer insurance and intensive care insurance premiums for an active employee are paid under the same circumstances as the health insurance premiums described in Paragraph B above.
2. If the employee quits or retires, he or she may convert his or her cancer and intensive care policy to a non-group, direct pay policy.

D. Life Insurance: (See Paragraph 7.07 F, H.)

1. An employee's life insurance coverage remains in force while he or she is on annual or absence leave.
2. If an employee is placed in a leave-without-pay status (for reasons of sickness), his or her life insurance premiums are paid by the University until such time as he or she is approved for long-term disability or for six months,

- whichever comes first. If the employee is approved for long-term disability, the premiums may be waived.
3. If an employee returns to work after being on long-term disability, his or her life insurance remains in force or is reinstated and the premium is paid by the University.
 4. If an employee does not return to work after being on long-term disability, his or her group life insurance benefits cease. The individual may be allowed to convert his or her coverage to a non-group, direct pay policy.

E. Long-Term Disability Insurance: (See Paragraph 7.07 E.)

1. Payment of long-term disability premiums for the employee is made under the same circumstances as for the life insurance premiums described in Paragraph D above, except the individual is not allowed to convert his or her coverage to a non-group, direct pay policy if he or she does not return to work after being on long-term disability.
2. During an approved leave under the provisions of the Family and Medical Leave Act the University will continue to pay the long-term disability premiums for the duration of the approved leave. (See Paragraph 7.04)

F. Continuation of Benefits During Long-Term Disability: An employee on long-term disability is entitled to health, dental, life, cancer, intensive care, and long-term disability benefits as described in this appendix only and is not afforded other benefits available to working employees.

G. Continuation of Benefits During Leave without Pay or Leave of Absence Due to Sickness and Leave of Absence not Related to Sickness

1. Leave without pay or leave of absence due to sickness:
 - a) If an employee exhausts his or her accrued leave, he or she may be placed in a leave-without-pay status (see Paragraph 7.06 E.) for short periods of time or leave of absence (see Paragraph 7.06 F.) for periods up to six months. If the leave is due to sickness or pending long-term disability, the University will pay the employee's health, dental, life, cancer, and intensive care insurance premiums for six months after exhausting all leave.
 - b) Life insurance and long-term disability insurance premiums may be waived after the employee is approved for long-term disability.
 - c) After six months, the employee may continue health and dental insurance under the provisions of the COBRA Law. Cancer and intensive care insurance coverage may be continued by direct pay to the insurance provider.
 - d) If an employee is no longer eligible for long-term disability benefits, but is eligible for retirement, he or she is eligible for continuation of benefits available to a retiree. (See Paragraph H. below.)

- e) If an employee is no longer eligible for long-term disability benefits but returns to work, he or she is eligible for the benefits offered an employee in his or her job category.
 - f) An employee on leave without pay or leave of absence is entitled to health, dental, life, cancer, intensive care, and long-term disability benefits as described in this appendix only and is not afforded benefits available to other employees.
2. Continuation of benefits during absences not related to sickness
- a) If the absence is not due to sickness, the employee may be granted special permission to continue his or her health, dental, life, cancer, and intensive care insurance at his or her own expense.
 - b) If approval to continue coverage under the University's group plan is denied, the employee may be allowed continuation of health and dental insurance coverage under the provisions of COBRA. The employee may convert life, cancer and intensive care insurance policies to non-group, direct pay plans.

H. Continuation of Benefits after Retirement

1. Health and dental insurance: Upon retirement from the University an employee is no longer eligible for health and dental insurance under the University's group health and dental insurance plans. A retiree may elect basic hospital/ medical coverage under PEEHIP before age 65. Upon reaching age 65, the retiree should be eligible for coverage under Medicare. If a retiree elects coverage under PEEHIP until age 65 and converts to Medicare, Parts A and B, at age 65, he or she may purchase Medicare supplemental coverage under PEEHIP. The Medicare supplemental coverage can only be purchased during the state's open enrollment periods.
2. Life insurance: If an individual retires before age 65, his or her life insurance benefits in force at the time of retirement (equal to one and one-half times annual salary) may be continued until age 65 by paying the premiums. Upon reaching age 65, the amount of life insurance available is reduced to \$10,000 and the monthly premium is reduced. Upon reaching age 70, life insurance benefits under the University's group policy cease. The retiree may be offered a conversion policy by the insurance carrier at an increased premium.
3. Accidental death and dismemberment (AD&D): Accidental death and dismemberment benefits are not available after an employee retires.
4. Cancer and intensive care insurance: Cancer and intensive care insurance will be discontinued under the University's group plan upon retirement. A retiree may participate in a non-group, direct pay plan.
5. Long-term disability insurance: Upon retirement, the individual's long-term disability insurance is discontinued. There are no provisions to allow conversion of the long-term disability insurance coverage to a direct pay policy.

6. Admission to athletic events: The University offers admission to athletic events at reduced rates to retirees. (See Paragraph 7.09 E.)
7. Remission of course hour fees
 - a) The University pays one-half of the basic fee or part-time regular course fees (excluding all special charges, books, supplies, room and board) for enrollment in the undergraduate program at the University of North Alabama for eligible children of retirees. (See Appendix K.)
 - b) A retiree and his or her spouse are eligible for remission of course hour fees under the same provisions stipulated for faculty, staff, and service employees, except for continuing education courses.
8. Library : Retired staff and service employees are accorded full use and check-out privileges at Collier Library.
9. Parking: Upon request, retired staff and service employees may continue to obtain current decals from the Department of Public Safety which will permit campus parking in spaces reserved for faculty and staff. Without current decals, only the spaces reserved for visitors may be used.
10. Post Office: Upon written request, and as space availability permits, retired faculty and staff may retain their post office boxes for up to one year from the date of retirement.
11. Wellness Center: Retired staff and service employees may request to use the Wellness Center in Flowers Hall. Limited employee locker and shower facilities are available. Inquires should be directed to the chair of the Department of Health, Physical Education, and Recreation.
12. Publications: Retired staff and service employees can arrange to have copies of The Flor-Ala mailed to them through annual paid subscription; the UNA Magazine is mailed to those who contribute to the Annual Fund; the Diorama may be obtained by direct purchase at the Diorama Office; copies of the current undergraduate and graduate bulletins may be obtained from the Office of Enrollment Management on request.

DEATH BENEFITS

A. Beneficiary

1. In the event of death, a full-time regular employee's life insurance and retirement entitlement under the University's benefit plan are made payable to the employee's designated beneficiary or contingent beneficiary in case the designated beneficiary does not survive the employee.
2. The documents used to determine an employee's beneficiary in the event of his or her death are on file in the Office of Human Resources and Affirmative Action. These forms are Form F2097-1-87 for life insurance and TRS Form-100-8-93 for retirement entitlement. Payment of unpaid biweekly or monthly salary, accrued absence leave, and annual leave is made to the employee's estate.

B. Death Benefits before Retirement: If an employee dies before he or she retires from the University, his or her beneficiary will receive from the University the employee's life insurance entitlement, retirement entitlement, leave and unpaid biweekly or monthly salary entitlement as listed below:

1. Life insurance (TIAA): In the event of the death of an employee under the age of 65, his or her beneficiary receives one and one-half times the employee's current annual salary. If the employee is between the ages of 65 and 69, the beneficiary receives the amount of the annual salary; if the employee is between the ages of 70 and 74, 67% of the annual salary is the benefit; and if the employee is between the ages of 75 and 79, 45% of the annual salary is the benefit.
2. Teachers' Retirement System (TRS) death benefits: If an employee dies before retirement, his or her beneficiary is entitled to death benefits from the Teachers' Retirement System based on the employee's age and the number of years of service in accordance with the following:
 - a) Over age 60 with 10 or more years of service, or any age with 25 or more years of service

Choice of: (1) Option 3 monthly benefit (50% allowance) to spouse unless another individual is designated or (2) return of member contributions and total earned interest plus death benefit equal to the salary on which the member made retirement contributions for the previous scholastic year (July 1 - June 30).
 - b) Under age 60 with between 1 and 25 years of service, or over age 60 with between 1 and 10 years of service: Return of member contributions and total earned interest plus death benefit equal to the salary on which the member made retirement contributions for the previous scholastic year (July 1 - June 30).
 - c) Any age with less than one year of service, death was job-related: Return of member contributions and total interest plus death benefit equal to annual earnable compensation of member at time death occurs.
 - d) Any age, less than one year of service, death was not job-related: Return of member contributions and total earned interest plus matching death benefit which is limited to \$5,000 maximum.
3. TRS life insurance: Contingent upon funding by the legislature each year within the rules of the Teachers' Retirement System (TRS), the beneficiary or estate of a deceased member who dies within 90 days of the last day the member was in active pay status is eligible to receive up to \$15,000 in life insurance benefits. (See Paragraph 7.07 H.)
4. Absence leave benefits: Upon the death of an employee who is still in service, a death benefit equal to the unused accrued absence leave credited to the

- account of the employee or 60 workdays, whichever is smaller, is paid to the estate of the employee or will be included in the amount reported to the Teachers' Retirement System, but not both. The amount of accrued absence leave above that which is selected as a death benefit will be certified to the Teachers' Retirement System at the option of the beneficiary. (See Appendix J, Paragraph F.2.)
5. Annual leave benefits: Upon the death of an employee, his or her estate receives payment for all accrued annual leave. (See Appendix I, Paragraph G.5.)
 6. Unpaid earned biweekly or monthly salary: Upon the death of an employee, that portion of the biweekly or monthly salary earned by the employee but not paid is paid to the beneficiary.
 7. Continuation of health insurance: In the event of the death of an employee who has family health insurance coverage under the University's group plan, the covered spouse and dependents are entitled to continuation of health insurance coverage for 36 months under the provisions of COBRA. That law allows the spouse and dependents to remain on the University's group plan by paying 102% of the premiums.

C. Death Benefits after Retirement

1. If an employee dies after retiring, his or her beneficiary is entitled to benefits from the Teachers' Retirement System based on the option selected by the employee prior to retirement. (See Paragraph 7.08 A.4.)
2. If the retiree has continued his or her group life insurance at his or her own expense, the beneficiary is entitled to the amount of life insurance in force at the time of the employee's death.

APPENDIX O

UNIVERSITY OF NORTH ALABAMA

WAGE AND SALARY POLICIES AND PROCEDURES

A. Compensation Philosophy: The University of North Alabama recognizes that its employees are an important asset and that the long-term success of the University is linked directly to sustained, high quality employee performance. (The term "employee" as used in this document refers to all non-faculty positions below the dean level, excluding coaches.) The University regards its employees as an investment and provides a compensation package that meets the needs of university employees. Each full-time, regular exempt staff and service employee (Paragraph 3.03B, Section 3) is paid a salary, and each full-time regular nonexempt employee is paid an hourly wage. Both full-time regular exempt and full-time regular nonexempt employees are provided specified fringe benefits. (See Section 7 for benefits.)

The University of North Alabama seeks to pay its employees fairly in proportion to the level of their duties, responsibilities, and individual performance. The University's wage and salary plan is intended to encourage and support career development, motivate and retain high quality employees, encourage long careers at UNA, and attract qualified individuals from outside the institution as needed. The University's wage and salary program seeks to combine market awareness (external competitiveness) and internal equity. However, the University reserves the right to freeze or prorate salaries and wages, and the rights to change, suspend, or alter any benefits provided to employees.

As a means of achieving maximum equity and competitiveness consistent with the availability of university resources, the University has adopted a job evaluation, job classification, and grade structure that govern both exempt and nonexempt staff and service positions (Paragraph 3.06, Section 3). The policies and procedures outlined herein apply to both exempt and nonexempt staff and service positions, unless otherwise noted.

The University strives to maintain pay grades which recognize the responsibilities, skills, knowledge, and accountability determined for each job using compensable factors (job factors that are important in determining pay, e.g., education, experience, etc.) and which reflect UNA's purpose, role, and goals. Each pay grade has an in-grade pay range. Performance and longevity, over the long term, are key determinants of the actual pay level within each grade range for individual employees. The intent is not to force equal pay for all employees but rather to reward employee performance. Therefore, the University's wage and salary program is based on competitive levels.

The wage and salary program has been developed and will be maintained considering data from other educational institutions of similar size, scope and mission, and regional and local general industry for appropriate job categories. The University will analyze the competitive market periodically and adjust benefits and pay opportunities as economic/market factors shift and the University's budget allows.

The University may also utilize across-the-board pay increases based on economic conditions as well as incentive pay programs.

The University's wage and salary program is to be reviewed and updated periodically. The program provides for the executive review and management of the wage and salary dollars and makes a good faith and reasonable effort to provide administrative processes to ensure fair and equitable pay practices which comply with applicable federal, state, and local regulations. The wage and salary program will be reviewed periodically to ensure compliance with these regulations. Information about the purpose and objectives of the wage and salary program, and significant modifications which subsequently occur, will be communicated to employees through established university channels.

The wage and salary program, policies, and procedures are guidelines the University intends to apply in every applicable situation. However, none of the wage and salary policies or procedures are intended to induce continued employment or to be an offer of a contract for employment. The wage and salary policies and procedures shall not be construed to constitute an employment contract or any part of an employment contract, or to create or convey a property interest in employment or compensation. All employment contracts are in the form of separate contract documents and must be in writing and signed by the President.

The University has the full power and discretionary authority to interpret, construe, and administer the terms of the wage and salary policies and to determine their applicability to particular situations, job positions, or persons. The University's interpretations and determinations under this policy shall be final and binding.

B. General: The University's wage and salary plan is designed to:

1. Categorize jobs using appropriate information: job descriptions, job questionnaires, wage and salary surveys, interviews, job observation, etc.;

2. Establish pay grades that reflect the differences in difficulty, responsibility, or knowledge requirements among jobs;
3. Establish experience/proficiency and performance levels within each pay grade;
4. Place jobs in pay grades through a job evaluation system;
5. Implement a program to reward exceptional performance and motivate employees to increase productivity, performance and training;
6. Recognize changes in an employee's experience/proficiency and performance through pay adjustments;
7. Provide a wage and salary program with characteristics designed to meet changes in the employment market; and
8. Identify employment market rates of pay for benchmark jobs to develop competitive wage and salary structures.

C. Responsibilities

1. In relation to the wage and salary policies and procedures, the Director of Human Resources and Affirmative Action is responsible for:
 - a) Coordinating and administering the University's compensation programs;
 - b) Conducting reviews, as appropriate, of the compensation program elements (e.g., pay and benefits) to preserve the equity and competitiveness of the programs;
 - c) Staying abreast of laws, rules, and regulations which influence compensation policies;
 - d) Conducting wage and salary surveys;
 - e) Preparing proposals for changes in fringe benefits and the wage and salary plan;
 - f) Monitoring wage and salary adjustments to determine equity within and between cost centers; and
 - g) Conducting professional development and educational programs (i.e., conducting staff and service performance reviews) and offering advice and counsel on compensation matters to all employees.
2. Supervisors (i.e., cost center heads) are responsible for:
 - a) Performing job analyses (the identification and description of job content information);
 - b) Preparing and updating job descriptions;
 - c) Completing job evaluation questionnaires in accordance with accompanying instructions;
 - d) Communicating information regarding the wage and salary program to employees, including pay grade and range;
 - e) Recommending employees for performance increases;
 - f) Notifying the Director of Human Resources and Affirmative Action in writing through the appropriate vice president when the grade assignment for a specific job appears to be inconsistent with job responsibilities;

- g) Notifying the Director of Human Resources and Affirmative Action in writing through the appropriate vice president when difficulties are experienced in hiring and retaining qualified or competent employees;
- h) Notifying the Director of Human Resources and Affirmative Action in writing through the appropriate vice president when, in the judgment of the supervisor, existing pay guidelines will result in overpaying or underpaying an employee; and
- i) Ensuring that the ratings of employees' performance are accurate and that pay adjustments are equitable within the cost center.

D. Job Descriptions (See Paragraph 3.01, Section 3.)

- 4. A job description, which gives a general outline of responsibilities and duties, is prepared for each position. The job description serves as written documentation of the primary responsibilities assigned to the employee. The job description should accurately identify and describe the work content, determine the requirements, and state the qualification requirements of the job. Preparation of the job description is based on facts secured about the job through a job analysis (the identification and description of job content information).
- 5. The job description shall be reviewed periodically to make sure that any changes in job duties are incorporated in the job description. Every change in job duties does not necessarily warrant consideration for reclassification. (See Paragraph O.)

E. Job Evaluation

- 1. The Human Resources Committee is responsible for evaluating exempt and nonexempt staff and service employee positions using appropriate information (e.g., job descriptions, job questionnaires, wage and salary surveys, interviews, and job observation).
- 2. A computerized job evaluation system is utilized to provide a measuring instrument to assist in establishing the relative position of jobs in the organizational hierarchy based on job-related criteria. The computerized job evaluation system is maintained in the Office of Human Resources and Affirmative Action.
- 3. The end result of the job evaluation process is to assign each job to a pay grade.

F. Classification Plans

- 1. A job classification plan listing all positions below the level of dean (other than faculty and coaches) has been established and is maintained in the Office of Human Resources and Affirmative Action.
- 2. The job classification plan categorizes jobs, using the Fair Labor Standards Act (FLSA), as exempt from the provisions of the FLSA or nonexempt from the provisions of the FLSA. Nonexempt employees are further categorized as staff employees or service employees.

3. Where circumstances warrant, the classification plans or the classification of a particular job or class of jobs will be amended or changed. Such changes may be made only by the President. Normally, such changes will not be made unless recommended by the Human Resources Committee.

G. Job Grade Structures: The University has two employee grade structures, one for exempt employees and one for nonexempt employees.

1. Both grade structures consist of pay grades, groupings of a wide variety of jobs or classes similar in work difficulty and responsibility requirements. Pay grades serve to link the job evaluation program, the classification processes, and the assignment of pay to a particular job.
2. The exempt and nonexempt grade structures provide the necessary number of grades to recognize differences in difficulty, responsibility, or knowledge requirements among jobs. Pay for each grade reflects, to the extent possible, the current competitive rate of pay for jobs in the applicable labor market. There are 10 grades (grades 20 through 29) for the nonexempt salary structure and 9 grades (grades 30 through 38) for the exempt salary structure.
3. To provide a range of pay opportunities, the University's exempt and nonexempt grade structures use in-grade experience/proficiency levels below the midpoint and performance levels above the midpoint. Each pay grade has 11 in-grade levels with level 1 representing the minimum, level 6 the midpoint, and level 11 the maximum for each respective grade. Each pay grade has a 30 percent range with a constant dollar increase from one level to the next within each grade.
4. The pay grade range provides an opportunity to differentiate the pay received by the probationary employee, the employee whose performance is average, and the employee whose performance is excellent. The pay grade range also provides an opportunity to recognize service that is both extended and productive. The minimum rate of pay for each grade is intended to be sufficient to attract qualified applicants to fill vacancies.
5. Adjoining pay grades will overlap, thereby providing an opportunity for the employee demonstrating excellent performance in the adjacent lower grade who has an extended and productive employment history at UNA to earn more than the new, less experienced employee in a higher grade. Thus, it is possible that the highly skilled, highly productive employee in a lower graded job can be rewarded for making a greater contribution than the less experienced incumbent in the next higher grade.
6. Pay charts for the exempt and nonexempt positions are maintained in the Office of Human Resources and Affirmative Action. The charts list all grades and in-grade levels, and denote the appropriate wage and salary rates for each in-grade level.

H. Pay Adjustments: Employees may receive pay adjustments because of significant and/or permanent changes in job responsibilities, economic conditions, or job performance, or because of transfer, promotion, or demotion.

1. Job Content Changes: Where differences in job responsibilities and duties are sufficient to change the evaluated worth of the job and the assigned pay grade, the pay of the incumbent will be adjusted accordingly.
2. Economic Changes
 - a) With the approval of the Board of Trustees for the University of North Alabama, economic fluctuations may be recognized through changes upward or downward in the pay structure. Additionally, through the use of periodic wage and salary surveys, pay structure adjustments may be implemented and recommended by the Executive Council or the President and approved by the Board of Trustees.
 - b) A pay increase resulting from a cost-of-living adjustment is not a performance salary increase, but rather an adjustment to the total wage or salary structure. A cost-of-living increase is an attempt by the University of North Alabama to remain competitive with the appropriate labor market and to maintain the employee's buying power at a constant level.
3. Job Performance: The University attempts to recognize employee performance through appropriate adjustments in pay (Paragraph I below).
4. Job Changes: When a permanent or temporary transfer, promotion, or demotion occurs, a change in wage or salary will reflect changes made in job duties and responsibilities.

I. In-Grade Increases

1. General Guidelines:
 - a) An employee will not be paid a salary or hourly rate below the entry level for his or her assigned grade.
 - b) The employee paid above the maximum of the pay range will be eligible for across-the-board and cost-of-living allowance increases as implemented for employees paid below the maximum of the pay range.
 - c) Progression to the next in-grade level is based on time in grade, experience/proficiency, and performance. Salary increases are not automatic based on longevity, but must be evaluated in relation to job experience/proficiency for those employees compensated below the midpoint and job performance for those above the midpoint.
 - d) An employee who is paid below the midpoint will be eligible for consideration for an experience/proficiency increase each year on October 1. In order to be considered for an experience/proficiency increase: (1) a newly hired employee must have been employed a minimum of nine months on October 1 (employed prior to January 1); (2) a newly promoted employee must have a minimum of nine months in grade on October 1 (promoted prior to January 1).
 - e) An employee who is paid above the midpoint is eligible for consideration for a performance increase every three years effective on October 1. In order to be considered for a performance increase: (1) an employee hired at level 6 must have been employed a minimum of two years and nine months on October 1

(employed before January 1 two years prior); (2) a newly promoted employee must have two years and nine months time in grade on October 1 (promoted before January 1 two years prior).

- f) Factors to be considered for in-grade increases below the midpoint focus primarily on experience/ proficiency, and include time in grade.
- g) The factor to be considered for in-grade increases above the midpoint is performance. Wage and salary increases above the midpoint are awarded on the expectation of continued outstanding performance and are subject to annual reviews. A supervisor may recommend a reduction in grade level for a nonexempt employee following an appropriately documented annual performance review. (Appendix Q.)
- h) Because the education and experience necessary to perform the duties of the job are considered when classifying jobs, degrees or certifications in addition to those necessary to perform the duties of the job are not covered by this policy. However, additional and continuing education will be beneficial to an employee in meeting the performance and proficiency requirements for in-grade increases and may be recognized otherwise as the President may authorize.
- i) Recommendations for in-grade increases (including appropriate justification) are submitted in writing in July to the Office of Human Resources and Affirmative Action through the appropriate supervisory channels.
- j) An employee given an in-grade increase is also entitled to any across-the-board increase that may be given in the same year.
- k) The normal time required to be considered for the next in-grade level is as follows:

Level 11 - 3 years (Maximum)	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="border-right: 1px solid black; padding-right: 5px;">Performance</div> </div> <hr style="width: 50%; margin: 5px auto;"/> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="border-right: 1px solid black; padding-right: 5px;">Experience/ Proficiency</div> </div>
Level 10 - 3 years Performance	
Level 9 - 3 years	
Level 8 - 3 years	
Level 7 - 3 years	
Level 6 - 1 year (Midpoint)	
Level 5 - 1 year	
Level 4 - 1 year Experience/	
Level 3 - 1 year Proficiency	
Level 2 - 1 year	
Level 1 - Entry Level (Minimum)	

2. Progression to the Midpoint

- a) Progression to the midpoint is related primarily to the employee's experience/proficiency and time in service. Normally, as the employee has served the required time in a level, he or she has attained additional job knowledge and is deserving of an in-grade increase. This progression allows for the employee to receive training in the operation of certain types of equipment or in working within well-defined procedures so that he or she achieves increasing degrees of competency within certain periods of time.

- b) An employee who does not show satisfactory progression below the midpoint will be denied an in-grade increase for that year or the in-grade level increase may be delayed for a specified period of time less than a year. In either case, the employee may be placed on probation. If his or her proficiency level does not improve to a satisfactory level while on probation, the employee's employment may be terminated (Paragraph 3.04).
- c) Initial employment of a nonexempt employee is normally at the entry level of the pay grade, at the probationary level. In exceptional circumstances, based upon experience or unusual qualifications of an applicant and with the recommendation of the cost center head, concurrence of the appropriate vice president, and approval of the President, nonexempt employees may be hired at an in-grade level higher than entry level, but normally not higher than in-grade level 2 for grades 20 through 24 and in-grade level 6 for grades 25 through 29. Although the nonexempt employee may be hired at an in-grade experience/ proficiency level higher than entry level, he or she must serve a probationary period.
- d) Successful completion of the probationary period is not accompanied by a wage or salary increase (Paragraph 3.04).
- e) In exceptional circumstances, based upon experience or unusual qualifications of an applicant and with the recommendation of the appropriate cost center head, concurrence of the appropriate vice president, and approval of the President, an exempt employee may be hired at a higher in-grade experience/proficiency level than entry level, but not higher than the midpoint.
- f) An employee who is hired at a level higher than entry level will be eligible for consideration for an in-grade level increase after serving the one year required between levels below the midpoint and the three years required between levels above the midpoint.
- g) Two in-grade experience/proficiency level increases may be awarded for exceptional performance. If after receiving a two-level increase an employee does not continue to perform at the expected level during the subsequent rating period, the next in-grade experience/proficiency increase may be withheld for an additional year. After receiving a two- level increase, an employee will be eligible for consideration for an in-grade increase after one year.
- h) The following should be used as a guide in progressing an employee through the in-grade experience/proficiency range below the midpoint:
 - i) First Sector (Levels 1 through 3): The first sector represents the lower portion of the pay structure. Newly hired employees should normally be paid a rate of pay within the first sector.
 - j) Second Sector (Levels 4 and 5): Incumbents who are satisfactorily progressing toward complete fulfillment of job requirements should be advanced toward the midpoint.
 - k) Third Sector, Midpoint of Pay Range (Level 6): The midpoint represents the competitive market or "going" rate of pay for jobs in a given pay grade. A fully experienced employee who consistently functions at a satisfactory or acceptable level of performance should progress to this rate of pay.

3. Progression above the Midpoint: Progression above the midpoint will be related primarily to the employee's performance. An employee above the midpoint may be considered for a performance increase every three years. If it has been more than three years since the last performance increase, an employee may be considered annually. An increase of two in-grade levels for performance may be awarded for exceptional performance. After receiving an increase of two levels, an employee will be eligible for consideration for an in-grade increase after three years. The following should be used as a guide in progressing an employee through the in-grade performance range above the midpoint:
 - a) Fourth Sector (Levels 7 and 8): Only those employees who consistently perform at a level above that normally demonstrated by employees of the University of North Alabama within the pay grade shall receive rates of pay at this level.
 - b) Fifth Sector (Levels 9 and 10): Only those employees who make outstanding contributions and demonstrate consistently outstanding performance shall receive rates of pay in the fifth sector.
 - c) Sixth Sector, Maximum of the Range (Level 11): The University of North Alabama established the maximum of the pay grade as the amount that should be sufficient to recognize the full-worth of a job, to reward the outstanding contributor, and to stimulate above-average performance by employees. Only those employees who have consistently performed in an exceptional manner over an extended period of time can expect to be paid at the maximum of the pay grade.

J. Performance Evaluation and Recommendation for Pay Adjustment

1. A performance evaluation is prepared in July for each exempt and nonexempt employee.
2. The success of the progressive in-grade procedure depends on the evaluation of the employee's performance. Therefore, extreme care must be taken to ensure that the ratings of performance are accurate and that pay adjustments are equitable within a cost center and among cost centers.
3. Supervisors must be aware that the major problem of a progressive in-grade procedure is the overwhelming influence of longevity. Unless the employee's performance is at least average (to the midpoint) and exceptional (beyond the midpoint), the employee should not be recommended for an in-grade increase.
4. Due to the inflationary tendencies of a performance evaluation system, an above average performance evaluation alone does not constitute sufficient justification for an in-grade increase. The performance evaluation must be accompanied by a recommendation to award the increase and substantiating data submitted to the Office of Human Resources and Affirmative Action through the chain of supervision.

K. Wage and Salary Surveys: Rates of pay are established, in part, on the basis of prevailing wages and salaries, the realistic market for specific types of work, and the

supply and demand for qualified employees, taking into account the budgetary constraints of the University.

1. The University of North Alabama will analyze the competitive job market periodically and adjust pay opportunities up or down as economic and market factors shift and as funds are available for pay increases.
2. External competitiveness will be determined primarily by comparing the average wages and salaries that the University pays for specifically described positions with those in similar employment situations. This comparison will be made by using wage and salary surveys.

L. Calculating Annualized Salary

1. The annual salary for an exempt employee who works 40 hours per week for 52 weeks per year (2080 hours per year) is determined by his or her assigned grade and in-grade level.
2. The annualized salary of a nonexempt employee who works less than 40 hours per week and/or less than 52 weeks per year is based on an hourly rate for the assigned in-grade level (based on 2080 hours per year) multiplied by the number of hours worked.
3. Except for shift differential pay (Paragraph M), there will not be differential hourly rates for nonexempt employees in the same level within a pay grade. An employee who accrues annual leave and holidays is given credit for those days in calculating his or her annualized salary. Only full-time regular employees accrue annual leave (Paragraph 7.02, Section 7). An employee will not be given credit for other days (e.g., spring break if he or she does not work those days). An employee who is paid for 52 weeks of work (2080 hours) may be allowed time off during the spring break only upon the approval of annual leave.

M. Shift Differential

1. The University pays a shift differential to full-time and part-time regular nonexempt employees who work evening and night shifts on a regularly scheduled basis. Working a night or evening shift occasionally does not qualify an individual for shift differential pay. The University reserves the right to adjust schedules temporarily to meet fluctuating demands and staffing needs for exempt and nonexempt employees.
2. Shift differential will not be paid for the day shifts on Saturday and Sunday. Hours worked during an emergency call-in or work periods of less than eight hours will not qualify for shift differential.
3. A full-time regular or part-time regular nonexempt employee is eligible to be paid a shift differential rate for the entire eight hours of work performed on the evening

or night shift if 50 percent or more of the hours are worked between 4:00 p.m. and 6:00 a.m.

4. Shift differential is paid for holidays, absence leave, and annual leave that fall during all periods in which the employee is assigned to the evening or night shift.
5. The shift differential rate is \$.30 per hour for nonexempt pay grades and is not adjusted by cost-of-living and across-the-board increases applied to the base hourly rate.
6. The number of hours an employee on the biweekly payroll worked on the evening or night shift is reported to the payroll office on the biweekly payroll time report. If a nonexempt employee on the monthly payroll is placed on or removed from an evening or night shift, this is reported by memorandum to the payroll office.

N. Classification: Classification is required when a new position is authorized.

1. Request for a classification action is made through the appropriate vice president to the Director of Human Resources and Affirmative Action. Each request should contain a fully executed job questionnaire and a job description.
2. The classification request is reviewed by the Human Resources Committee, and a recommendation regarding classification of the position is made to the President. Only the President can approve the classification of a new position.

O. Reclassification: Jobs that have changed significantly may be reevaluated and subsequently reclassified resulting in a change in grade up or down depending upon the nature of the change. The reclassification action may pertain to a single position or to an entire class of positions.

1. Reclassification of a position may be requested when differences in job responsibilities and duties are sufficient to change the evaluated worth of the job and the assigned pay grade as determined by the supervisor.
2. Requests for a reclassification action are made by the supervisor and through the appropriate vice president to the Director of Human Resources and Affirmative Action. Each request should contain a fully executed job questionnaire, a revised job description, and a statement outlining the changes in the duties and responsibilities of the position since it was last evaluated. The statement should also outline the changes in skills, abilities, and knowledge required of the incumbent. Reclassification requests will be considered once a year and must be received in the Office of Human Resources and Affirmative Action no later than July 1. If directed by the President, reclassification requests may be reviewed at other times during the year. Requests for reclassification of vacant positions may be submitted as vacancies occur provided there has been a significant change in the duties and responsibilities of the position.

3. The reclassification request is reviewed by the Human Resources Committee, and a recommendation is made to the President no later than September 1. Only the President can approve the reclassification of a position.
4. If a position is reclassified upward, the employee's hourly rate or salary is increased to the minimum of the new grade, or to five percent above the employee's hourly rate or salary before reclassification, whichever is higher. After applying a five-percent increase to the employee's current hourly rate or salary, the hourly rate or salary will be rounded up to the next in-grade level. Based on exceptional qualifications, with the recommendation of the appropriate vice president and with the approval of the President, an employee's hourly rate or salary may be increased by more than one level, not to exceed the midpoint if below the midpoint, or not to exceed the appropriate level if the employee is above the midpoint. If reclassified, the increase becomes effective immediately upon approval of the reclassification of the position by the President.

P. Job Title Change

1. A request for a change in a job title is submitted to the appropriate vice president for concurrence, then to the Executive Council or President for final approval. The job title reflects the duties and responsibilities of the job as classified, but does not influence the job classification system. Job titles may change to reflect trends, university needs, etc.
2. Upon approval by the Executive Council or President, the Office of Human Resources and Affirmative Action makes the appropriate change.

Q. Exempt or Nonexempt Status (See Paragraph 3.06A.)

1. Requests for changes in exempt or nonexempt status must be sent in writing to the Office of Human Resources and Affirmative Action.
 2. Prior to submitting a request for a change in exempt or nonexempt status, the supervisor should refer to Title 29, Part 541 of the Code of Federal Regulations, which is available from the Office of Human Resources and Affirmative Action.
 3. The Director of Human Resources and Affirmative Action will consult with the University's legal counsel in classifying a position as exempt or nonexempt.
2. R. Reemployment
3. An individual who is reemployed will be subject to the same policies as a newly hired employee.

S. Adjustment to Pay Structure: All changes to the wage and salary structure shall be stated in terms of a certain percentage increase or decrease. When an adjustment is made to the wage and salary structure, all dollar amounts in the wage and salary charts will increase or decrease by the specified percentage.

T. Budget Planning

1. For budgetary purposes and for purposes of comparing one cost center to another, a "compa-ratio" (C.R.) formula will be used. The formula:

$$\frac{\text{Sum of Actual Salaries}}{\text{Sum of Midpoint Salaries}}$$

The C.R. should normally be near 100 percent.

2. During budget planning, the Office of Human Resources and Affirmative Action will provide the Business Office an estimate of the amount of money required to fund in-grade experience/proficiency and performance increases during the next budget year.

U. Pay Adjustments Due to Promotion: A promotion results when an employee leaves one position and transfers to another position in a higher pay grade. A promotion involves applying and being selected for an announced vacancy.

1. When promoted, an employee's salary will be increased to the minimum of the new grade or to five percent above his or her current hourly rate or salary before the promotion, whichever is highest. Normally, the employee should receive an increase in pay of not less than five percent. After applying a five-percent increase to the employee's current pay, the pay is rounded up to the next level within the new pay grade. Based on exceptional qualifications, with the recommendation of the appropriate vice president and with the approval of the President, an employee's hourly rate or salary may be increased by more than one level, not to exceed the midpoint, or not to exceed the appropriate level if the employee is above the midpoint. Normally, the employee will not be paid at the same in-grade level as before the promotion.
2. After a promotion, an employee is not eligible for consideration for an in-grade increase until nine months (on October 1) after the effective date of the promotion if below the midpoint and until after two years and nine months if above the midpoint.
3. An employee is eligible for any cost-of-living or across-the-board increase given to other employees during the year of a promotion. Likewise, an employee would be subject to a pay reduction if economic conditions require it.

V. Pay Adjustment Due to Transfer

1. An employee who is transferred to a job in a lower grade, at his or her own request or by management action, should have his or her pay decreased to an in-grade level in the lower pay grade commensurate with his or her qualifications to perform the new duties. If an employee is transferred to a job he or she previously held, normally his or her pay should be reduced to his or her former grade and in-grade level for this job. In case of transfer for disciplinary reasons, the new hourly rate or salary should be at the in-grade level recommended by the appropriate vice president and approved by the President.

2. When an employee transfers to another position with no change in grade, normally his or her in-grade level will not change; consequently, his or her pay will remain the same, subject to performance ratings as before.

W. Human Resources Committee

1. A standing Human Resources Committee is established to evaluate new positions, to review current positions for possible reclassification, and to consider other appeals associated with the University's wage and salary policies and procedures.
2. The Committee consists of six or more members appointed by the President and serves for one year.

X. Confidentiality

1. The University maintains an "open pay system" to the extent possible, allowing employees access to information about the wage and salary program that facilitates better understanding of the system.
2. General information about the University's pay plan, job evaluation program, pay grades, in-grade experience/ proficiency and performance levels, and pay charts will be communicated to all employees. Specific information regarding the classification of a specific job, job questionnaire data, etc., will be communicated to an employee on a need-to-know basis only.
3. Specific personal details of an employee's income, such as tax and benefit elections, will be communicated to supervisors and administrators only in the official line of duty.

Y. Appeals

1. **Classification Review:** The classification of university exempt and nonexempt positions under the wage and salary plan is only as good as the information that was received from the job descriptions, job questionnaires, and the other survey factors which were reviewed. Some staff members may not have included all of their duties or functions on the job descriptions and questionnaires during the classification process. It is also possible that some jobs were over-classified. Therefore, corrections to classifications may be made. The University reserves the right to review and change the grade classification of each job.

A request for reclassification of a position which was evaluated under the University's wage and salary plan may be submitted by following the procedures outlined below.

a. Review and revise job description

- i. The job description for the position should be reviewed and revised as required. Each employee should be given an opportunity to provide input in the review and revision of the job description.

- ii. The job description should contain a list of responsibilities delegated to the employee and the duties required to carry out those responsibilities. It should describe the work contents of the job and determine the requirements that the job places on the job holder. Each job description should also identify the knowledge, skills, and abilities required to perform the work and identify the education, training, and experience required of the employee.
- iii. Guidelines for preparing a job description are available in the Office of Human Resources and Affirmative Action.

b. Prepare job questionnaire

- i. A new job questionnaire should be prepared for the position.
- ii. Supervisors play a key role in the questionnaire completion process by ensuring that employees fill out questionnaires and by reviewing the questionnaire for completeness, consistency, and accuracy.
- iii. Guidelines for preparing the job questionnaire are available in the Office of Human Resources and Affirmative Action.

c. Provide additional information: The employee and supervisor may provide any additional information pertaining to the job that they think will assist in the job evaluation process. For example, a statement outlining the changes in the duties and responsibilities of the position since it was last evaluated may be included. The statement may also outline the changes in skills, abilities, and knowledge required of the employee.

d. Submit request for reclassification: Request for a reclassification review action is made by the supervisor and through the appropriate vice president to the Office of Human Resources and Affirmative Action.

e. Review by the Human Resources Committee

- i. The Human Resources Committee reviews the following information, as available, pertaining to the position under review:
 - Current job description
 - Current job questionnaire
 - Information provided by employee and supervisor
 - Previous job description
 - Previous job questionnaire
 - Survey data
 - Benchmark data
 - Multicomp data analysis (job evaluation software including "Electronic Devil's Advocate," questionnaire comparison, job profile analysis, and projected grade)
 - Current groupings of positions
 - Job descriptions of like positions
 - Job questionnaires of like positions
 - The Committee may interview the employee or supervisor if additional information is required.

- ii. The Committee will make a recommendation to the Executive Council, which may accept, reject, or modify the Committee's decision.
- f. **Notification of decision:** The employee and supervisor will be notified by the President of the Executive Council's decision. The Executive Council's decision is final.
- g. **Adjustment:** If a position is reclassified upward, the employee's rate of pay is increased to the minimum of the new grade, or to five percent above the employee's rate before reclassification, whichever is higher (not to exceed the employee's appropriate level). After applying a five- percent increase to the employee's current pay, the rate of pay will be rounded up to the next in-grade level. Based on exceptional qualifications, with the recommendation of the appropriate vice president and the approval of the President, an employee's hourly rate or salary may be increased by more than one level, not to exceed the midpoint if below the midpoint, or not to exceed the appropriate level if the employee is above the midpoint. If reclassified, the increase becomes effective immediately upon approval of the reclassification of the position by the President. If a position is reclassified downward, the employee's rate of pay will not be adjusted; however, his or her in-grade level will be adjusted accordingly.

2. Job title change (See Paragraph P.)

3. Overtime status change (See Paragraph Q.)

- 4. Wage and salary concerns review:** The objectives of these procedures are to provide a mechanism by which an employee's appeal concerning the wage and salary plan can be considered quickly and fairly and promote better understanding of the plan.

a. Procedures

- i. An employee may submit an oral or written appeal to his or her immediate supervisor if he or she believes that the wage and salary plan is unfair or discriminatory or that there has been a misapplication of the policies and procedures. The supervisor shall attempt to resolve the matter within his or her division.
- ii. An appeal should be submitted to the Human Resources Committee only after the immediate supervisor, any intermediate supervisor, and the respective vice president have had an opportunity to resolve the concern and that concern has not been resolved. If there are compelling reasons for the intermediate supervisor and vice president not to be involved, these two steps may be eliminated and the appeal may be made directly to the Committee.
- iii. If the appeal revolves around a misunderstanding of the wage and salary policies and procedures or other personnel policies, the supervisor should

provide the appropriate information. The supervisor should seek assistance from the Office of Human Resources and Affirmative Action and other staff personnel in resolving the employee's problem. If the immediate supervisor, any intermediate supervisor, and vice president cannot resolve the employee's problem, the Wage and Salary Plan Appeal Form (Form J, Section 9) should be prepared and submitted through the employee's chain of supervision to the Human Resources Committee.

b. Review by the Human Resources Committee: The Human Resources Committee will review all comments and information provided by the employee, supervisors, and vice president. Further, the Committee will research the problem, conduct interviews, etc., in order to gather the necessary information needed to formulate a recommendation. The Human Resources Committee will make a recommendation to the Executive Council. The decision of the Executive Council will be forwarded to the employee in writing and will be final.

Z. Initial Implementation: Initial implementation of the wage and salary plan is in accordance with procedures set forth in the Addendum to this Appendix.

ADDENDUM TO
APPENDIX O
IMPLEMENTATION OF
WAGE AND SALARY PLAN

The wage and salary program outlined herein supersedes all previous wage and salary programs for University of North Alabama exempt and nonexempt employees who are covered by the wage and salary policies and procedures. All exempt and nonexempt employees as defined herein will be a part of this wage and salary plan upon the effective implementation date. The University will discontinue using the old wage and salary plan immediately upon implementation.

The in-grade level at which the employee should receive pay will be at the "appropriate in-grade level." The employee's "initial in-grade level" will be based on his or her current salary or hourly rate. The objective is to initially adjust the employee's current salary or hourly rate to his or her appropriate in-grade level or the midpoint, whichever is the lowest. *No employee's salary or hourly rate will be reduced as a result of the implementation of the University's wage and salary plan; however, this plan and related policies do not impact the University's right to adjust salaries or wages or other personnel matters due to financial exigency, employee discipline for serious rule violations, or otherwise, nor do they replace or supersede other personnel policies. Further, the President has been delegated authority from the Board of Trustees to make*

modifications of or exceptions to this policy as necessary to serve the best interests of the University.

A. Appropriate In-Grade Level

1. An appropriate in-grade level will be determined based on the employee's number of years of service, or number of years in current position if promoted to current position within the past five years. For purposes of implementing the wage and salary plan, it will be assumed that all employees have progressed satisfactorily to the extent that they would have received all in-grade level increases had the wage and salary plan been in effect at the time of their employment.
2. An employee with less than five years of service will have an appropriate in-grade experience/ proficiency level below the midpoint. For example, an employee who has 3 1/2 years of service would have an appropriate in-grade experience/proficiency level 4.
3. Employees with five years of service or more will have an appropriate in-grade performance level at or above the midpoint.

B. Initial In-Grade Level (Current Pay)

1. The employee's initial in-grade level will coincide with his or her current salary or hourly rate.
2. The initial in-grade level for an employee who works less than 40 hours per week and/or less than 52 weeks per year will be determined by annualizing his or her pay.

C. Salary Adjustments

1. Initial In-Grade Level Below the Entry Level: All employees' wages or salaries which are below the entry level of the new wage and salary plan will be raised at least to the minimum for the grade insofar as funds are available for this purpose.
2. Initial In-Grade Level Below the Appropriate In-Grade Level
 - a) The objective is to adjust the pay of all employees below the midpoint to the appropriate in-grade level.
 - b) After the employee's salary or hourly rate has been increased to his or her appropriate level, he or she will be eligible for consideration for an in-grade increase on October 1 of each year if below the midpoint and on October 1 every three years if above the midpoint.
3. Initial Level (Current Pay) Above the Appropriate In-Grade Level: An employee who currently is being paid above the appropriate in-grade level and is below the midpoint of the grade will continue to receive across-the-board increases as awarded to other employees but will not be eligible for in-grade experience/proficiency increases until his or her pay coincides with the

appropriate in-grade level. Thereafter, the employee may be considered for an in-grade experience/proficiency increase.

4. Initial Level Above the Midpoint

- a) An employee who is paid above the midpoint at the time the wage and salary plan is implemented will continue to receive across-the-board increases as awarded to other employees but will not be eligible for a performance increase until all employees below the midpoint are brought to their appropriate in-grade level.
- b) The eligibility date for consideration for an in-grade increase for an employee above the midpoint, but below his or her appropriate in-grade level, will be determined by the number of years of service. For example, if an employee has 11 years of service, he or she will be eligible for consideration to level 8. After all employees below the midpoint have been increased to their appropriate level, an employee above the midpoint but below his or her appropriate level may be considered for an in-grade level increase without waiting three years since the last in-grade level increase. This increase will not exceed the employee's appropriate level in terms of years of service.

5. Initial In-Grade Level (Current Pay) Above Maximum: If an employee's current pay is above the maximum (level 11), he or she will not be eligible for an in-grade increase. The employee will be eligible for future across-the-board or cost-of-living increases on the same basis as other employees.

D. Pay Adjustment Priorities: The implementation of the University's wage and salary plan will be gradual and will depend upon the availability of funds. Within the budgetary constraints, pay adjustments will be made in the following order.

1. Phase I: The pay of all employees below the midpoint will be adjusted to their appropriate levels, not to exceed the midpoint.
2. Phase II: After all employees below the midpoint have received adjustment to their appropriate levels, employees may be considered for in-grade experience/proficiency and performance increases as they become eligible for consideration based on years of employment.

APPENDIX P

UNIVERSITY OF NORTH ALABAMA

FAMILY AND MEDICAL LEAVE ACT

TO BE PUBLISHED

APPENDIX Q

UNIVERSITY OF NORTH ALABAMA

PERFORMANCE EVALUATION

A. General Policy: Performance evaluation is a basic tool of supervision used to appraise each employee's past performance and assist him or her in setting and meeting future goals. Employee goals and contributions should be tied to the goals of the University. The performance evaluation is a means whereby a personal inventory is taken to identify strengths and areas that would benefit from improvement. A performance appraisal should assist in eliminating barriers to outstanding performance, help each employee grow in his or her job, and facilitate cooperation between the employee and supervisor to achieve enhanced overall performance. Each performance evaluation should be based on performance factors as they relate to the job responsibilities and duties set forth in the employee's job description, behavioral traits, supervisory factors (if applicable), and standards.

B. Purpose of Evaluation: Performance evaluations are of prime importance to both the supervisor and the employee for the following reasons:

- 1. It serves as a management tool.**

- a) It gives the supervisor a stronger role in personnel management.
- b) It ensures that an employee's work contributions are judged against objective standards.
- c) It improves communication between the supervisor and the employee.
- d) It avoids serious disciplinary problems by identifying and addressing problem areas early.
- e) It improves the morale and effectiveness of an employee and assures that his or her growth potential is maximized.

2. It assists the employee in the performance of his or her job responsibilities.

- a) It recognizes good work.
- b) It provides the employee information about what is expected of him or her.
- c) It provides information (feedback) regarding how well the employee is doing, identifying strengths as well as areas where performance can be improved. It helps to determine the cause(s) of inappropriate performance and identifies means of correcting performance deficiencies.
- d) It sets appropriate work standards for the employee and evaluates the employee against those standards.

3. It provides a documented, supportable basis for other actions.

- a) It identifies development and training needs.
- b) It provides data to support promotion decisions.
- c) It aids in administering wage (salary) level increases.
- d) It helps determine appropriate remedial or disciplinary action.

C. Responsibilities: The rater (supervisor), reviewer (level above supervisor), and Director of Human Resources and Affirmative Action share responsibility for the performance evaluation program. The day-to-day administration is a rater and reviewer responsibility, with the Human Resources and Affirmative Action Director serving in a supporting capacity.

1. The Human Resources Director:

- a) Provides the rater and reviewer with technical information needed to implement and operate the performance evaluation program;
- b) Provides training for the rater and reviewer in the performance evaluation program;
- c) Informs the rater and reviewer of the proper preparation and importance of the performance evaluation form;
- d) Ensures that written performance evaluations are prompt and complete and conform with policies and procedures;
- e) Notifies the rater of due dates for employee performance evaluations;
- f) Maintains and files performance evaluations; and
- g) Evaluates the effectiveness of the overall performance evaluation program, conducts research to determine the most effective evaluation techniques, and provides feedback to management and employees.

2. The rater (supervisor): Evaluating employee performance is an integral part of the act of supervising. The supervisor is the key to implementing and maintaining an effective performance evaluation program. The supervisor must view the evaluation process as a tool to assist in carrying out personnel management responsibilities and must realize that performance evaluation is a job which requires thought, time and effort. The role of the supervisor is to review the performance with the employee in order to advise or assist the employee in achieving a higher performance level or in overcoming obstacles to achieving high-level performance. The rater:

- a) Informs the employee of the performance evaluation program;
- b) Makes the employee aware of who his or her rater and reviewer are;
- c) Discusses, identifies and defines major job responsibilities and duties, performance factors, behavioral traits, supervisory factors (if applicable), and standards with the employee at the beginning of each rating period;
- d) Encourages the employee to participate in the development of performance requirements and performance standards;
- e) Holds the employee accountable for meeting performance standards;
- f) Gives the employee an opportunity to demonstrate fully successful performance;
- g) Assigns an accurate rating based on the employee's level of performance during the rating period;
- h) Provides the employee feedback on how well he or she is performing the job responsibilities as compared to performance standards;
- i) Informs the employee of his or her progress in areas that need improvement and assists the employee in improving his or her job performance; and
- j) Uses the results of the employee's performance evaluations as a basis to recommend training, reassignment, increase or reduction in grade, or the removal of the employee from university employment.

3. The reviewer (rater's supervisor)

- a) Ensures that the rater is trained on the performance evaluation program;
- b) Ensures that written performance evaluations are prompt, complete and conform with policies and procedures;
- c) Reviews the written evaluation of an employee by a subordinate supervisor for accuracy and fairness. If deemed to be appropriately prepared and the evaluation is not contested, signs and forwards it to the appropriate vice president;
- d) Meets with the employee, if requested, to discuss an evaluation prepared by his or her supervisor;
- e) Resolves any disagreement between the rating supervisor and the employee;
- f) Reviews the employee's written appeal. If necessary, meets with the employee and rater, individually and/or together; and

- g) Determines the validity of the employee's appeal. (1) If the determination is made that the evaluation is appropriate, informs the employee by letter. The appeal and the letter are attached to the evaluation and forwarded to the appropriate vice president. (2) If the determination is made that the evaluation is not appropriate, the reviewer discusses his findings with the rater. (3) If the rater agrees with the reviewer, a new performance evaluation form is prepared. (4) If the rater does not agree to changing the evaluation, the reviewer attaches his or her findings and the appeal to the performance evaluation and forwards it through the appropriate vice president to the Office of Human Resources and Affirmative Action for filing in the employee's personnel file.

4. The employee

- a) Assists the supervisor in the development of job responsibilities and duties as set forth in the job description;
- b) Assists the supervisor in the development of (1) performance factors and standards; (2) job-related behavioral traits and standards; and (3) supervisory factors and standards, if applicable (For coaches' evaluations, these items are combined.);
- c) Participates freely in meetings with the supervisor to obtain a clear understanding of his or her job responsibilities, behavioral traits, and the standards upon which his or her performance will be evaluated, and in order to fully understand what is expected to enhance future performance;
- d) Seeks continual communication with the supervisor during the evaluation period to keep informed of changes in job responsibilities, job-related behavior, performance standards, supervisory standards (if applicable), and feedback on how well the employee is performing;
- e) Performs duties in a manner which facilitates fulfillment of standards;
- f) Signs performance evaluation signifying that he or she has reviewed the performance evaluation and has been afforded an opportunity to discuss the evaluation with the supervisor; and
- g) Submits an appeal if he or she believes the ratings do not adequately reflect his or her performance. (See Paragraph L.)

D. Types of Performance Evaluations

1. Informal evaluation

- a) The employee's performance is to be continually reviewed by his or her supervisor.
- b) The employee is encouraged to ask his or her supervisor for feedback about his or her performance and to answer any job-related questions. The supervisor will discuss the employee's performance with him or her at any time.

2. Annual evaluation

- a) At least once a year, during the month of July, the supervisor makes a formal written evaluation of the employee's performance. (For coaches' evaluations, these will be done during May to coincide with end of contract year.)
 - b) Annual performance evaluations should be administered for employment periods of at least 90 days since the last evaluation.
- 3. Probationary evaluation:** All commitments of full-time employment, full-time with designated off-periods, and regular part-time employment with nonexempt status are contingent upon satisfactory completion of a three-month probationary period. (See Paragraph 3.04.)
- a) During the probationary period, the employee has an opportunity to learn more about the job responsibilities and duties and determine whether or not he or she is satisfied with the position. At the same time, the supervisor has an opportunity to determine whether the employee has the ability and desire to perform the job responsibilities and duties.
 - b) Since the probationary period serves as an orientation period, several informal evaluation sessions will be held between the immediate supervisor and the employee. The initial evaluation should take place by the end of the third month of service. (See Paragraph 3.10.C for formal evaluation requirements.)
- 4. Special formal evaluation**
- a) A special formal evaluation is administered at the discretion of the supervisor for exceptional performance or for below-acceptable performance.
 - b) The special formal evaluation is administered for an employment period of at least 60 days but not within the three-month period preceding the annual evaluation cut-off date.
 - c) A probationary evaluation is prepared when an employee is placed on probation as a disciplinary action. (See Paragraph 4.04 A.7.)
- 5. Follow-up:** If the employee's annual performance is below the accepted standards for his or her job, the employee is advised of this and assistance is offered. An additional evaluation shall be scheduled to measure the employee's progress.
- 6. Temporary promotion:** A performance evaluation should be prepared for an employee who has received a temporary promotion of 60 calendar days or more.

E. Evaluation Factors, Traits, and Standards

- 1. Performance factors and standards:** In the evaluation of an employee on the performance of his or her job responsibilities and duties as set forth in the job description, the employee will be evaluated using five *performance factors*

(knowledge, skills, and abilities; quality of work; quantity of work; work habits; and communication), in Part II of the Performance Evaluation Form. The following are generic standards for the five performance factors. As a minimum, these generic standards can be used as stated; however, they should be used in conjunction with specific standards established for each job responsibility and duty. These performance factors and standards are not specifically applicable to coaches' evaluations. (See Coaches' Evaluation Form.)

- a) *Knowledge, skills, and abilities*: exhibits understanding of job responsibilities and duties; possesses theoretical knowledge and practical "know-how" that relate to the job; understands processes of assignments; displays skills and abilities; demonstrates abilities to achieve effective results; shows proficiency in application of methods, procedures, techniques, tasks, machines, equipment, material, etc., necessary to accomplish work; possesses required specialized knowledge of job; shows willingness to acquire new or broader knowledge of job; and understands new information and situations quickly.
- b) *Quality of work*: performs work with acceptable accuracy; performs work that is neat and presentable; performs duties with thoroughness; shows attention to detail and accuracy; sets high personal work standards; achieves high quality results; and makes few mistakes.
- c) *Quantity of work*: completes an acceptable amount of work; does extra work when asked; performs work in a productive and timely manner; uses time and resources efficiently; and meets work schedules.
- d) *Work habits*: adheres to attendance and punctuality policies; carries out duties in an orderly and diligent manner; works with minimum supervision; complies with instructions, rules, policies, and regulations; organizes and manages time in meeting schedules, projects, deadlines, priorities, appointments, etc.; strives to eliminate nonessential work; plans and organizes work; and devotes efforts to completion of responsibilities and duties.
- e) *Communication*: displays skills in receiving and sending written and oral messages; communicates well with supervisors, fellow employees, students, and visitors in a clear, concise, accurate, and timely manner; and makes useful suggestions.

2. Behavioral traits and standards: *Behavioral traits* are the criteria against which the employee's work-related behavior is assessed. The five behavioral traits (dependability, cooperation, initiative, adaptability, and judgment), in Part III of the Performance Evaluation Form, are considered important to all university staff and service positions. The following standards may be used for each of the behavioral traits, or modified as necessary for each employee. These behavioral traits and standards are not specifically applicable to coaches' evaluations. (See Coaches' Evaluation Form.)

- a) *Dependability*: carries out assigned responsibilities and duties in a reliable manner; responds to instructions and procedures; completes work in a

conscientious and timely manner; meets deadlines promptly; trustworthy; works with minimal guidance and supervision; and performs to limits of abilities.

- b) *Cooperation*: assists and cooperates with others; helps others willingly; maintains rapport with others; works efficiently with all associates; tactful, friendly, courteous, patient, and uses discretion in dealing with fellow employees, supervisors, students, and the public; responds to the needs of individuals seeking information and assistance; considers new ideas, the views of others and divergent points of view; and accepts additional work assignments.
- c) *Initiative*: seeks increased responsibility and broader knowledge of job; receptive to new work assignments; makes useful suggestions; attempts to influence events that can affect the achievement of goals; energetic about completion of work; plans; voluntarily starts projects; and attempts non-routine tasks.
- d) *Adaptability*: receptive to instructions, guidance, suggestions, etc.; interprets and responds to instructions, methods, and procedures; adjusts to new or changing work assignments and situations; and alters activities when required.
- e) *Judgment*: evaluates facts and applies sound judgment; thinks logically; reaches sound opinions and logical conclusions; recognizes the need to make decisions; makes practical decisions; responds to instructions and procedures in a favorable manner; and seeks advice and input of superiors, subordinates and other appropriate sources.

3. Supervisory factors and standards: In addition to the five performance factors (as related to the job responsibilities and duties) and five behavioral traits, employees who have supervisory responsibilities will be evaluated on five *supervisory factors* (leadership, delegation, planning and organizing, administration, and personnel management) in Part IV of the Performance Evaluation Form. These factors impact directly on the employee's supervisory effectiveness and his or her overall evaluation. The following standards for each factor may be used as stated or modified as necessary for each employee. These supervisory factors and standards are not specifically applicable to coaches' evaluations. (See Coaches' Evaluation Form.)

- a) *Leadership*: demonstrates effective supervisory abilities; guides and affects positively the actions and results of individuals and groups; establishes rapport, gains respect and cooperation; inspires and motivates subordinates; exhibits fairness and impartiality toward subordinates; supports subordinates; trains, guides, and instructs subordinates effectively; plans, schedules and makes assignments successfully; maintains discipline; directs work group toward common goals; considers new ideas, the views of others, or divergent points of view; maintains poise and adjusts to changes, work pressure, or difficult situations without undue stress; and displays high degree of integrity and trustworthiness.

- b) *Delegation*: delegates appropriate responsibilities to subordinates; affords subordinates opportunities to succeed by assigning responsibilities, authority, and accountability; gives clear instructions; defines assignments; oversees the work of subordinates; and uses observation, reports, meetings, and other means to monitor and follow up on the work of subordinates.
- c) *Planning and organizing*: establishes work objectives, standards and programs to assess progress; anticipates future needs; sets priorities, applies imagination in developing new and sound plans; allocates resources and personnel for best effect within budget constraints; implements cost-saving measures; uses financial, material and other resources for maximum benefit; makes sound and timely decisions; plans and organizes work; carries out assignments effectively; coordinates work with that of other related activities; adjusts work operations to meet emergent or changing requirements; and demonstrates the skills to analyze, solve problems, and establish priorities.

- d) *Administration*: handles paperwork requirements; performs day-to-day administrative tasks; manages time; keeps accurate records; administers policies and implements procedures; maintains appropriate contact with supervisor; completes required reports in a timely manner; demonstrates concerns for cost, waste, and inventories; coordinates work within and outside the cost center, faculty, and staff as required; demonstrates skills in developing improvements in work methods or designing new procedures; and understands and applies the principles required to further the University's goals.
- e) *Personnel management*: serves as a role model and provides personal assistance with professional growth and development; resolves work-related employee problems; trains and counsels subordinates to solve personnel issues; assists subordinates in accomplishing their work-related objectives; evaluates performance of subordinates effectively; encourages positive performance through appropriate feedback; and supports equal employment opportunity policies.

F. Performance Evaluation Process: The performance evaluation process follows a continuous cycle which is repeated annually and is related to the job responsibilities and duties, performance factors, job-related behavior, and supervisory factors. The basic components of the performance evaluation process are: (1) communicating the job responsibilities and duties, performance factors, behavioral traits, and supervisory factors and standards; (2) observing/measuring performance and behavior; (3) providing on-going performance feedback; (4) preparing the formal performance evaluation; and (5) reviewing the performance evaluation with the employee.

1. Communicating the job responsibilities and duties, factors/traits, and standards

- a) The employee needs to have a clear understanding of his or her job responsibilities and duties, performance factors, behavioral traits, supervisory factors (if applicable), and standards upon which his or her performance will be evaluated.
- b) It is the supervisor's responsibility to inform the employee early in the performance cycle of the work to be accomplished, how well he or she is expected to perform that work, and job-related behavior that is important to the successful accomplishment of the job. This should be accomplished through supervisor-employee discussions about what is expected during the coming evaluation cycle.
- c) Communication regarding job performance between the supervisor and the employee should be continual. Any changes in job responsibilities and duties, performance factors, job-related behavior factors, supervisory factors, or standards should be discussed with the employee immediately. The employee should be encouraged to discuss the performance of his or her job and/or expected behavior with the supervisor at any time during the performance evaluation cycle.

2. Observing/measuring performance and behavior

- a) One of the objectives of the performance evaluation process is to determine the extent to which the employee is meeting or exceeding the established performance standards, behavior standards, and supervisory standards (if applicable).
- b) Throughout the evaluation cycle the supervisor should monitor the employee's performance and behavior in relation to the established standards. These observations will provide the information needed for the supervisor to objectively evaluate and discuss the employee's job performance.
- c) To make the evaluation fair and accurate, the supervisor should not rely solely upon his or her memory but should maintain working records. Such records should include notes regarding dates of observations, conferences with or assistance to the employee, quality and quantity of work, strengths and weaknesses, customer reactions, peer evaluation, attendance record, safety record, notes of meetings and counseling sessions, disciplinary letters, etc. The supervisor may maintain a running record of critical incidents (events that serve as examples of the employee's job performance) in which the employee performed either above standards or below standards.

3. Providing on-going performance feedback

- a) Throughout each performance evaluation cycle the supervisor coaches the employee on how his or her performance and job-related behavior compares with the performance standards, behavioral standards, and supervisory standards (if applicable). Such communication strengthens supervisor-employee relationships and increases productivity. The frequency of the mini-evaluations will depend upon the amount of developing and coaching the employee needs.
- b) The supervisor should make any necessary corrections and provide feedback on the positive aspects of the employee's performance and behavior as well as on those areas requiring correction. The employee feels good about work accomplishments when good job performance is reinforced and recognized. The employee will take more pride in his or her job and be motivated to put forth extra effort when the supervisor expresses appreciation of good job performance.
- c) In addition to informal and spontaneous discussions, the supervisor should periodically evaluate the employee's overall performance and inform the employee when progress is made toward achieving performance requirements. As a minimum, a prearranged conference should be held for this purpose at the midpoint of the annual evaluation cycle, and conferences should be held as often as needed to keep the employee informed of his or her progress. If performance or behavior has fallen below standards, the supervisor should counsel and assist the employee to improve performance before the situation develops into a major performance problem. Counseling, training and closer supervision are some improvement actions that should be considered.

4. Preparing the formal performance evaluation

- a) At the end of the evaluation cycle, the supervisor will prepare a written evaluation of the employee's performance.
- b) The employee's performance of the job responsibilities and job-related behavior should be evaluated against established standards.
- c) The supervisor should refer to the record he or she has maintained on the employee's performance throughout the evaluation cycle as a guide in preparing the formal evaluation.
- d) Instructions for preparing the performance evaluation form are listed in Paragraph G and on the Performance Evaluation Form.

5. Reviewing the performance evaluation with the employee

- a) After the performance evaluation form has been completed, a meeting with the employee should be set for the purpose of reviewing the evaluation. The evaluation interview should be private and should provide the employee every opportunity for an open and frank discussion.
- b) The supervisor should give the employee a full and honest picture of how well he or she has performed. The performance evaluation review should be a motivating experience. It should enhance the employee's ability to perform and should enlist the individual's willingness to improve. The discussion should result in a better understanding between the supervisor and the employee about what is expected of the employee and how he or she is doing relative to those expectations. The evaluation of the employee's performance should encompass the entire evaluation period and should be evaluated against job responsibilities and duties, performance standards, behavioral standards, and supervisory standards (if applicable). These requirements should be known to the employee. The employee should be made aware of what is taken into consideration in the overall evaluation. Specific examples of performance should be discussed in detail. The employee should be commended for work well done and helped to understand in what specific way he or she needs to improve.
- c) The review should consist of a discussion with the employee regarding: (1) progress on performance of responsibilities and duties, and of behavior compared with standards; (2) strengths and accomplishments; (3) areas needing improvement; (4) a plan for any areas identified as needing improvements; and (5) future job responsibilities and duties, performance standards, behavioral standards, and supervisory standards (if applicable).
- d) The employee is afforded an opportunity to review his or her performance evaluation and sign the form verifying the review. The employee's signature does not necessarily indicate agreement with the evaluation.

6. Repeating the performance evaluation process

- a) The employee's job description should be reviewed for possible updating.

- b) The five steps in the performance evaluation process set forth in this section should be repeated during the next performance evaluation cycle.

G. Performance Evaluation Form: The University of North Alabama's performance evaluation form contains five performance factors, five behavioral traits, five supervisory factors, and an overall performance of duties section. Standards for the factors and traits are listed in Paragraph E. The performance evaluation form for coaches, including ratings scale and procedures, will vary from this form. (See Coaches' Evaluation Form.)

1. Ratings: The rater has a choice of not rating the employee on the factor or trait, if not applicable, or rating the employee's performance on a scale of 1 through 9. The rating scale for each factor or trait is as follows.

- a) Not applicable: This performance/behavior factor or trait cannot be related to standards or requirements of this position.
- b) Poor (1): Performance or work-related behavior relative to standards (or requirements) is clearly unacceptable. Work performance/behavior is inadequate and definitely inferior to the standards for the position. Performance is consistently deficient. The employee shows either an unwillingness or inability to improve. The employee's performance or behavior adversely impacts the effectiveness of the work group. Definite and immediate improvement must occur.
- c) Below average (2, 3): Performance or work-related behavior compared to standards (or requirements) is less than that expected of a proven, competent employee. Performance or behavior is distinctly limited due to lack of interest, inadequate motivation, or insufficient knowledge of the job. Performance is below that expected of someone in his or her grade and level. Work falls short of acceptable level for time in job and requirements of job. Job performance or behavior is inconsistent or inadequate. Can usually be expected to perform his or her duties, although effectiveness is below standards. Improvement is needed.
- d) Average (4, 5, 6): Performance or work-related behavior relative to standards (or requirements) is of the quality that is expected of a competent employee. Meets the expectations or standards of the job. Performance or behavior is adequate. Usually demonstrates a willingness and ability to meet an acceptable level of performance or behavior. Does that which is expected. Although work is satisfactory, there is room for improvement. Improvements in performance or behavior are required for a rating above average. Improvement would enhance the work group's effectiveness.
- e) Above average (7, 8): Performance or behavior exceeds standards (or requirements) and is noticeably better than average performance. Demonstrates a desire to exceed an acceptable level of performance. Does more than expected. Performance or behavior is of a high quality. Commendable performance or behavior. Displays a level of performance or behavior which enhances the effectiveness of the work group.

- f) Superior (9): Performance or work-related behavior relative to standards (or requirements) is of a quality that is achieved only by the most exceptional employee. Performance or behavior far exceeds requirements. Thorough knowledge. Performance or behavior is easily recognizable as being far superior to other employees. Consistently demonstrates exceptional desire and ability to excel. Sets an example for others to follow. Does far more than what is expected. This individual is among the very few worthy of special notice. Extraordinary level of performance or behavior that is seldom found.

2. Rating procedures

- a) Performance factors (Part II) and behavioral traits (Part III) - The rater indicates the employee's level in each performance factor or behavioral trait by marking an "X" in the box at the right of the trait or factor considered.
 - i. Under the *below average* rating, the rater may assign a "low" or "high" by marking either 2 or 3.
 - ii. Under the *average* rating, the rater may assign a "low", "average" or "high" by marking either 4, 5 or 6.
 - iii. Under the *above average* rating, the rater may assign a "low" or "high" by marking either 7 or 8.
 - iv. A *superior* rating is assigned by marking 9.
- b) Supervisory factors (Part IV)
 - v. Those employees (both nonexempt and exempt) who have supervisory responsibilities will be evaluated on supervisory factors using the same rating procedures as discussed above.
 - vi. Overall performance of duties (Part V)
 - vii. The employee's overall performance rating will take into consideration his or her performance of job responsibilities and duties, performance factors, behavioral traits, and supervisory factors (if applicable). The same rating procedures as those discussed above will be used.
 - viii. Narrative (Part VI)
 - ix. The rater will discuss significant strengths and areas requiring improvement in the narrative section of the evaluation form.
 - x. All ratings of 1 and 2 Parts II, III and IV must be explained in detail in the narrative section of the evaluation form. An overall rating of 8 or 9 in Part V (Overall Performance) must be supported in the narrative section of the evaluation form.

H. Use of Performance Evaluation: The results of the performance evaluation shall be used to aid in decisions about employees such as training, pay adjustments, promotion, reassignment, reduction in grade, retaining and terminating, and demotion.

- 1. **Training:** At the time of the annual evaluation, the supervisor may start action to obtain training or arrange for developmental work assignments. Also, the

supervisor may counsel the employee regarding self-development activities that would contribute to his or her performance or career development.

2. **Pay adjustment (Paragraph J, Appendix O)**
3. **Promotion:** Results of performance evaluations shall be considered in evaluating an eligible candidate for a promotion from one grade to another grade.
4. **Reassignment, reduction in grade, or termination:** When an employee continues to perform at the "below average" or "poor" level after being given a reasonable period of time (as specified by the supervisor at the time) to improve the current performance, action shall be taken to remove the employee from the position.
5. **Demotion:** An employee who does not maintain the degree of proficiency required for the within-grade level shall be considered for a within-grade level demotion. (See Paragraph 4.04 A.6 and Paragraph V, Appendix O.)

I. Continued Performance Deficiency

1. If, after the employee is advised of any performance deficiency and of what must be done to correct it, it is found that the employee lacks the ability to meet the requirements of his or her position, or if the employee is able but unwilling to make the effort to perform the work satisfactorily, the individual's employment should be terminated.
2. In case of deficient performance, the performance evaluation used in the evaluation process may be considered a warning. The number of additional reviews and warnings and the time involved before recommending termination of employment are at the supervisor's discretion.

J. Performance Deficiency Resulting from a Personal Problem

1. After the supervisor ascertains the nature of the problem, the supervisor shall discuss it with his or her supervisor and the Director of Human Resources. The employee may be referred to a counseling service.
2. Regardless of whether counseling is accepted, rejected or not required, the supervisor advises the employee regarding the standards for demonstrating acceptable performance and provides additional assistance as appropriate.
3. The employee's performance must be closely monitored to determine if his performance is improving and to determine whether the employee is cooperating with a recommended plan of counseling, treatment and/or rehabilitation.
4. If acceptable performance does not result, other remedial action, or, if necessary, demotion or termination may be appropriate.

K. Administrative Procedures

1. Performance evaluation forms will be provided by the Office of Human Resources and Affirmative Action.
2. Instructions for completion of the performance evaluation form are provided on the form and in this appendix. Questions concerning the execution of this form should be addressed to the Office of Human Resources and Affirmative Action.

3. Each dean or department head should ensure that an annual performance evaluation is accomplished in July for each staff and service employee within his or her area of responsibility who is below the dean level. The evaluation should be conducted by the employee's immediate supervisor.
4. The employee's signature on the form will indicate that the rating has been discussed with him or her but does not indicate concurrence with the rating.
5. Procedures for appealing the performance evaluation are in Paragraph L.
6. The supervisor at the next level above the employee's immediate supervisor will review all of the performance evaluations prepared by the supervisors under him or her.
7. Copies of employee evaluations are sent to the appropriate Vice President for review.
8. All employee evaluations are forwarded to the Office of Human Resources and Affirmative Action to be filed as a permanent part of the employee's personnel record.
9. Upon request, performance evaluations will be made available to a supervisor when consideration is being given to a personnel action. Such access will also be afforded if a former employee makes application for reemployment.

L. Evaluation Appeal

1. The employee may request a meeting with his or her rater or reviewer to discuss informally the performance evaluation.
2. The employee has a period of ten business days from the date on which he or she signed the evaluation to file a written appeal. This appeal may be filed if the employee believes the evaluation is not justified, does not adequately reflect his or her performance, or was unfairly administered. Reconsideration may be requested of any item, including the overall rating.
3. A written appeal should be addressed to the rater and should state in detail the employee's specific disagreements with the evaluation. If the rater is unable to resolve the disagreement, the appeal will be forwarded to the reviewer.
4. The reviewer's responsibilities in handling a performance evaluation appeal are listed in Paragraph C.3.d. through g.