



University of Dubuque Employee Handbook

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ABOUT THIS HANDBOOK/DISCLAIMER

We prepared this handbook to help employees find the answers to questions that they may have regarding their employment with the University of Dubuque. Please take the necessary time to read it. We do not expect this handbook to answer all questions. Supervisors and Human Resources also serve as a major source of information.

Neither this handbook nor any other verbal or written communication by a University representative is, nor should it be considered to be, an agreement, contract of employment, express or implied, or a promise of treatment in any particular manner in any given situation, nor does it confer any contractual rights whatsoever. The University of Dubuque adheres to the policy of employment at will, which permits the University or the employee to end the employment relationship at any time, for any reason, with or without cause or notice.

No University representative other than the President may modify at-will status and/or provide any special arrangement concerning terms or conditions of employment in an individual case or generally and any such modification must be signed in writing by the President and employee.

This handbook states only general University guidelines. The University may, at any time, in its sole discretion, modify or vary from anything stated in this handbook, with or without notice, except for the rights of the parties to end employment at will, which may only be modified by an express written agreement signed by the employee and the President.

This handbook supersedes all prior handbooks.

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Section 1 - GOVERNING PRINCIPLES OF EMPLOYMENT

1-1. INTRODUCTION

For employees who are commencing employment with the University of Dubuque ("University of Dubuque" or "the University"), on behalf of the University of Dubuque, let me extend a warm and sincere welcome. We are confident that you will find the University of Dubuque a dynamic and rewarding place in which to work. We consider our employees to be one of our most valuable resources.

For employees who have been with us, thanks for your past and continued service.

I extend my personal best wishes for success and happiness here at the University of Dubuque. We understand that it is our employees who provide the services that our students and others rely upon, and who will enable us to create new opportunities in the years to come.

Travis L. Frampton, Ph.D., President of the University

1-2. MISSION

Mission Statement 2028

The University of Dubuque is a private university offering undergraduate, graduate, and theological seminary degrees, and other educational opportunities with the intention of educating and forming the whole person. The University is comprised of individuals from the region, our nation, and the world. As a community, the University practices its Christian commitments by educating students, pursuing excellence in scholarship, challenging students to live lives of worth and purpose, and preparing students for service to the church and the world.

Therefore, the University of Dubuque is committed to:

- A hospitable Christian environment which respects other faith traditions;
- Relationships which encourage intellectual, spiritual, and moral development;
- Excellence in academic inquiry and professional preparation;
- A diverse and equitable community where Christian love is practiced;
- Stewardship of all God's human and natural resources;
- Zeal for life-long learning and service.

1-3. EQUAL EMPLOYMENT OPPORTUNITY

The University of Dubuque is an Equal Opportunity Employer that does not discriminate on the basis of actual or perceived race, color, creed, national origin, ancestry, citizenship status, age, sex or gender (including pregnancy, childbirth and pregnancy-related conditions), gender identity or expression (including transgender status), sexual orientation, marital status, military service and veteran status, physical or mental disability, genetic information, or any other characteristic to the extent such categories are protected by applicable federal, state or local laws and ordinances.

The University of Dubuque is dedicated to this policy with respect to recruitment, hiring, placement,



promotion, transfer, training, compensation, benefits, employee activities, access to facilities and programs and general treatment during employment.

The University reserves the right to prefer persons, for all employment related purposes, who believe and conduct their lives consistent with the Christian Mission and Values of the University.

The University will endeavor to make a reasonable accommodation of an otherwise qualified applicant or employee related to an individual's: physical or mental disability; sincerely held religious beliefs and practices; and/or any other reason required by applicable law, unless doing so would impose an undue hardship upon the University's business operations.

Any applicant or employee who needs an accommodation in order to perform the essential functions of the job should contact the Director of Human Resources to request such an accommodation. The individual must specify what accommodation is needed to perform the job and submit supporting documentation explaining the basis for the requested accommodation, to the extent permitted and in accordance with applicable law. The University then will review and analyze the request, including if helpful, engaging in an interactive process with the employee or applicant, to identify if such an accommodation can be made. The University will evaluate requested accommodations, and as appropriate, identify other possible accommodations, if any. The individual will be notified of the University's decision regarding the request within a reasonable period. The University treats all medical information submitted as part of the accommodation process in a confidential manner.

Any employees with questions or concerns about equal employment opportunities in the workplace are encouraged to bring these issues to the attention of the Director of Human Resources. The University will not allow any form of retaliation against individuals who raise issues of equal employment opportunity in accordance with University processes and procedures. If employees feel they have been subjected to any such retaliation, they should contact the Director of Human Resources. To ensure our workplace is free of artificial barriers, violation of this policy, including any improper retaliatory conduct, will lead to discipline, up to and including termination. All employees must cooperate with all investigations conducted pursuant to this policy.

Discrimination, in violation of this policy, is a serious matter and will be subject to severe sanctions up to and including termination.

No hardship, no loss or benefit, and no penalty may be imposed on an employee as punishment for filing or responding to a bona fide complaint of discrimination, appearing as a witness in the investigation of a complaint, or serving as an investigator. Retaliation, or attempted retaliation, is a serious violation of this policy and anyone who does so will be subject to sanctions up to and including termination.

1-4. NON-HARASSMENT

It is the University of Dubuque's policy to prohibit intentional and unintentional harassment of or against job applicants, contractors, interns, volunteers or employees by another employee, supervisor, vendor, customer or any third-party on the basis of the individual's actual or perceived race, color, creed, religion, national origin, ancestry, citizenship status, age, sex or gender (including pregnancy, childbirth and pregnancy-related conditions), gender identity or expression (including transgender status), sexual orientation, marital status, military service and veteran status, physical or



mental disability, genetic information or any other characteristic to the extent such categories are protected by applicable federal, state or local laws (referred to as "protected characteristics"). Such conduct will not be tolerated by the University of Dubuque.

The purpose of this policy is not to regulate our employees' personal morality, but to ensure that no one harasses another individual in the workplace, including while on University premises, while on University business (whether or not on University premises) or while representing the University. In addition to being a violation of this policy, harassment or retaliation based on any protected characteristic as defined by applicable federal, state, or local laws also may be unlawful. For example, sexual harassment and retaliation against an individual because the individual filed a complaint of sexual harassment or because an individual aided, assisted or testified in an investigation or proceeding involving a complaint of sexual harassment as defined by applicable federal, state, or local laws may be unlawful.

Harassment Defined

Harassment generally is defined in this policy as "unwelcome verbal, visual or physical conduct that denigrates or shows hostility or aversion towards an individual because of any actual or perceived protected characteristic or has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment."

Harassment can be verbal (including slurs, jokes, insults, epithets, gestures, or teasing), visual (including offensive posters, symbols, cartoons, drawings, computer displays, text messages, social media posts or e-mails) or physical conduct (including physically threatening another, blocking someone's way, etc.). **Such conduct may violate this policy, even if it does not rise to the level of a violation of applicable federal, state, or local laws.** Because it is difficult to define unlawful harassment, employees are required to behave at all times in a manner consistent with the intended purpose of this policy.

Sexual Harassment Defined

Sexual harassment can include all of the above actions, as well as other unwelcome conduct, such as unwelcome or unsolicited sexual advances, requests for sexual favors, conversations regarding sexual activities and other verbal, visual or physical conduct of a sexual nature when:

- submission to that conduct or those advances or requests is made either explicitly or implicitly a term or condition of an individual's employment; or
- submission to or rejection of the conduct or advances or requests by an individual is used as the basis for employment decisions affecting the individual; or
- the conduct or advances or requests have the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Examples of conduct that violate this policy include:

1. unwelcome flirtations, leering, whistling, touching, pinching, assault, blocking normal movement;
2. requests for sexual favors or demands for sexual favors in exchange for favorable treatment;
3. obscene or vulgar gestures, posters, or comments;



4. sexual jokes or comments about a person's body, sexual prowess, or sexual deficiencies;
5. propositions or suggestive or insulting comments of a sexual nature;
6. derogatory cartoons, posters, and drawings;
7. sexually explicit e-mails, text messages or voicemails;
8. uninvited touching of a sexual nature;
9. unwelcome sexually related comments;
10. conversation about one's own or someone else's sex life;
11. conduct or comments consistently targeted at only one gender, even if the content is not sexual; and
12. teasing or other conduct directed toward a person because of the person's gender.

Retaliation Prohibited

In addition, the University will not allow any form of retaliation against individuals who report unwelcome conduct to a supervisor or who cooperate in the investigations of such reports in accordance with this policy. If the employee has been subjected to any such retaliation, the employee should report it in the same manner in which the employee would report a claim of perceived harassment under this policy.

Violation of this policy including any improper retaliatory conduct will result in disciplinary action, up to and including termination.

Consensual Relationships

Consensual relationships involving sexual behavior that is welcome and voluntary do not constitute sexual harassment under the law. However, consensual sexual or romantic relationships in situations where one individual has greater power or authority over another frequently result in claims of harassment if and when the relationship ends, and perceptions of favoritism while the relationship continues, will typically result. Such relationships are inappropriate and must be reported to the Director of Human Resources immediately.

Once the relationship is made known to the Director of Human Resources, the Director of Human Resources will review the situation with relevant University personnel in light of all the facts (reporting relationship between the employees, effect on co-workers, job titles of the parties, etc.) and will determine whether one or both employees need to be moved to another job or department.

If it is determined that one employee must be moved, and there are jobs in other departments available for both and for which they qualify, the employees may decide who will be the one to apply for a new position. If the employees cannot amicably come to a decision, or an employee is not chosen for the position to which he or she applied, the employees will contact the Director of Human Resources who will decide which employee should be moved. That decision will be based on which move will be least disruptive to the organization as a whole in the good faith discretionary judgment of the Director of Human Resources. If it is determined that one or both employees must be moved, but no other jobs are available for or acceptable to either employee, the employees will be given the option of terminating their relationship or resigning, a failure to do either of which may result in the employees' termination.

1-5. REPORTING ALLEGED DISCRIMINATION, HARASSMENT, OR RETALIATION

Any employee who believes that he or she has been a victim of discrimination, harassment or



retaliation prohibited by this handbook, or any employee who has witnessed such wrongful conduct, must immediately report the alleged wrongful conduct.

Reporting Procedures

If the employee has been subjected to, or witnessed, conduct which violates these policies, the employee should implement the following steps:

1. The employee should, if comfortable, inform the alleged wrongdoer that his/her behavior is offensive, unwelcomed and/or otherwise discriminatory and to stop such behavior immediately. If the employee believes that he or she cannot talk to the alleged wrongdoer, the employee must inform the Director of Human Resources or a supervisor.
2. If the behavior persists, or if the employee is uncomfortable with Step 1, the employee must file a written complaint immediately to the Director of Human Resources. If the employee is unable for any reason to contact this person, or if the employee has not received an initial response within reasonable time after reporting any incident of what the employee perceives to be harassment, the employee will contact the VP for Operations. If the person toward whom the complaint is directed is one of the individuals indicated above, the employee must contact any higher-level manager in the reporting hierarchy. No formal action under this procedure will be taken by the University until a written complaint is filed.
3. The written complaint must include any of the following elements that apply to the circumstances surrounding the alleged wrongful conduct:
 - Name of filer
 - Name of victim (if different from filer)
 - Name of wrongdoer(s)
 - Identification of the specific type of wrongful conduct at issue (e.g., "retaliation for filing a written complaint of sexual harassment," "denial of employment benefits based on race discrimination," etc.)
 - Date(s) or range of dates on which the alleged wrongful conduct occurred and whether it is continuing
 - The location(s) of the alleged wrongful conduct
 - A narrative description of the alleged wrongful conduct with a reasonable chronology of events, if applicable
 - A list of other witnesses and contact information (if available)
 - A list and copies of relevant documents (if available)
 - Any other information that the employee believes would be helpful in understanding the alleged wrongful conduct or would be assistive in an investigation

The filer must sign and date the written complaint. Complainants are strongly encouraged to submit a written complaint as soon as possible after the alleged wrongful conduct first occurs to allow the University to intervene and implement its formal procedures.

Investigation Procedures

Every report of perceived harassment will be fully investigated and corrective action will be taken



where appropriate. All employees must cooperate with all investigations conducted pursuant to this policy.

The investigation will include interviews of, and/or requests for written responses to questions directed to, the alleged victim(s) and wrongdoer(s), other employees of the University, and any witnesses that assent to such participation. The investigator will also request copies of documents, communications and other evidence identified during the course of the investigation from the alleged victim(s) and wrongdoer(s) which must be provided. The investigator will create, and the Director of Human Resources will maintain, an investigatory file on all such matters in the Office of Human Resources and separate from employee personnel files. The investigatory file will consist of the initial written complaint, the final investigative report and any recommendations through preponderance of evidence standard, a record of the remedial or disciplinary action taken (or to be taken), if any, and any documents created or used during, or otherwise relevant to, the investigation.

To the extent reasonably possible, confidentiality will be maintained by the University relating to any reported victims, witnesses, and wrongdoers, and will only be disclosed as necessary to perform a comprehensive and complete investigation, identify and implement appropriate remedial or disciplinary actions, support any subsequent grievance actions (as applicable), and comply with applicable law. A final investigative report will be prepared by the investigator and other appropriate University personnel and shall conclude whether a violation of policy occurred and recommend organizational changes, as necessary, to reduce the likelihood of recurrence of the wrongful conduct (if applicable). The final investigative report will include a statement of remedial and/or disciplinary action to be implemented against the wrongdoer(s), or the victim(s) (in the case of a fabricated complaint), if warranted. Depending on the circumstances, disciplinary action may include (but is not limited to): reprimand, counseling, training, censure, removal of privileges, letters of warning or suspension, and dismissal. Discipline for a violation of this policy need not be progressive; a first violation of this policy may warrant suspension or termination.

1-6. DRUG-FREE AND ALCOHOL-FREE WORKPLACE

To help ensure a safe, healthy, and productive work environment for our employees and others, to protect University property, and to ensure efficient operations, the University of Dubuque has adopted a policy of maintaining a workplace free of drugs and alcohol. This policy applies to all employees and other individuals who perform work for the University.

For purposes of this policy, “drugs” is defined as all substances that are subject to regulation or control by government and other substances that are defined as “drugs” by the University. “Alcohol” includes all substances that contain alcohol in quantities that exceed approved levels by governmental authorities, and which are defined as restricted alcohol containing substances by the University.

The unlawful or unauthorized use, abuse, solicitation, theft, possession, transfer, purchase, manufacture, sale, or distribution of controlled substances (including medical marijuana), drug paraphernalia or alcohol by an individual anywhere on University premises except at University events where alcohol is served under the supervision of University personnel, while on University business (whether or not on University premises) or while representing the University, is strictly



prohibited. Employees and other individuals who work for the University also are prohibited from reporting to work or working while they are using or under the influence of alcohol or any controlled substances, which may impact the employee's ability to perform their job or otherwise pose safety concerns, except when the use is pursuant to a licensed medical practitioner's instructions and the licensed medical practitioner authorized the employee or individual to report to work. However, this exception does not extend any right to report to work under the influence of medical marijuana or to use medical marijuana as a defense to a positive drug test, to the extent the employee is subject to any drug testing requirement, except as permitted by and in accordance with applicable law.

An employee is required to report, within five (5) days after its occurrence, any criminal drug statute conviction to the Director of Human Resource. Failure to do so may be grounds for immediate termination. In cases in which the employee is supported by a federal grant or contract, the University must notify the contracting or granting agency within ten (10) days after receiving notice of an employee's drug statute conviction.

Legal use of prescribed narcotic or sedative drugs is permitted on the job if prior notice and confirmation is given, and only if it does not impair an employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger the user or other individuals in the workplace. Notice of such use must be provided to the Director of Human Resources. The Director of Human Resources may request permission to consult with the employee's medical provider who has issued the prescription as needed. If such permission is not granted or such consultation not provided, the use of such drugs on the job may be denied.

Upon reasonable suspicion, any employee may be asked to submit to a drug and/or alcohol test due to direct observation by University personnel of the employee's substance abuse or related impairment while at work; abnormal conduct or significant deterioration in performance while at work (including, but not limited to, the occurrence of medical error(s)); a credible report of alcohol or drug use while at work; evidence that an employee has caused an accident while at work causing sufficient injury or damage; or, evidence that an employee has made, sold, possessed or used drugs while at work.

The University maintains a policy of non-discrimination and will endeavor to make reasonable accommodations to assist individuals recovering from substance and alcohol dependencies, and those who have a medical history which reflects treatment for substance abuse conditions. However, employees may not request an accommodation to avoid discipline for a policy violation. We encourage employees to seek assistance before their substance abuse or alcohol misuse renders them unable to perform the essential functions of their jobs or jeopardizes the health and safety of any University employee, including themselves.

In addition to any specific disciplinary measures published elsewhere in this Handbook, and without limiting the ability of the University to implement disciplinary measures as it deems appropriate under any circumstances, a violation of this policy may be cause for one or more of the following actions to be imposed with respect to the employee:

- Termination
- Participation in, and successful completion of, a drug abuse program sponsored or approved by private or governmental institution as a condition of continued employment
- Suspension from University duty for up to five (5) days without pay



- Referral for prosecution for violation

1-7. WORKPLACE VIOLENCE

The University of Dubuque is strongly committed to providing a safe workplace. The purpose of this policy is to minimize the risk of personal injury to employees and damage to University and personal property.

The University of Dubuque does not expect employees to become experts in psychology or to physically subdue a threatening or violent individual. Indeed, the University of Dubuque specifically discourages employees from engaging in any physical confrontation with a violent or potentially violent individual. However, the University of Dubuque does expect and encourage employees to exercise reasonable judgment in identifying potentially dangerous situations.

Prohibited Conduct

Threats, threatening language or any other acts of aggression or violence made toward or by any University employee will not be tolerated. For purposes of this policy, a threat includes any verbal or physical harassment or abuse, any attempt at intimidating or instilling fear in others, menacing gestures, flashing of weapons, stalking or any other hostile, aggressive, injurious, or destructive action undertaken for the purpose of domination or intimidation. To the extent permitted by law, employees, students, and visitors are prohibited from carrying weapons onto University premises.

Procedures for Reporting a Threat

All potentially dangerous situations, including threats by co-workers, must be reported immediately to any supervisor with whom the employee feels comfortable. Reports of threats may be maintained confidential to the extent maintaining confidentiality does not impede the University of Dubuque's ability to investigate and respond to the complaints. All threats will be promptly investigated. All employees must cooperate with all investigations. No employee will be subjected to retaliation, intimidation, or disciplinary action as a result of reporting a threat in good faith under this policy.

If the University determines, after an appropriate good faith investigation, that someone has violated this policy, the University will take swift and appropriate corrective action. If an employee is the recipient of a threat made by an outside party, that employee must follow the steps detailed in this section. It is important for the University to be aware of any potential danger in its offices, on its premises or at University sponsored events or activities.

1-8. SMOKE-FREE ENVIRONMENT

The University supports a healthy environment for faculty, staff, students, and visitors, and has enacted this policy in compliance with the Iowa Smoke Free Air Act.

This Iowa Smoke Free Air Act bans the smoking of tobacco in all indoor and outdoor spaces on the University campus including all University property, parking lots (including, if you are lighting up while sitting in your personal vehicle), athletic fields, stadiums, University vehicles (no matter if it's on –or-off campus), the University of Dubuque Flight Operations Center at the Dubuque Regional Airport (grounds, including outdoor spaces), apartments, houses, residence halls and University sidewalks. In essence, it is against the law to smoke tobacco on or in any University property. In addition, the University of Dubuque has chosen to be a tobacco-free campus and employees are prohibited from using any tobacco



products while on college property. Employees are also prohibited from using products that simulate tobacco use, such as e-cigarettes, vaping and smokeless tobacco and tobacco chew. The law does not prohibit smoking on public sidewalks around the University.

Please be attentive to this law and help by informing anyone smoking on University property that Iowa law and University policy prohibits their activity or call Safety and Security. The law takes a firm position concerning the failure to maintain a smoke-free campus community that will result in civil penalties, as well as other consequences, for both the individual and the University.

1-9. IMMIGRATION COMPLIANCE

It is the policy of the University of Dubuque to employ only those persons who are legally eligible to work in the United States. The Immigration Reform Act of 1986 requires employers to verify the identity and work eligibility of all persons hired. All new employees are required to sign a verification form (I-9) and furnish both proof of identity and proof of eligibility to work in the United States upon date of hire.



Section 2 - OPERATIONAL POLICIES

2-1. EMPLOYEE CLASSIFICATIONS

Under the Fair Labor Standards Act (FLSA) employees may be hired into either exempt or non-exempt positions. Positions are classified as either “exempt” or “non-exempt” with respect to eligibility for overtime pay. A general summary of the FLSA requirements and standards for exempt and non-exempt are provided below.

Exempt Employee

An exempt employee is one who holds a salaried position that meets specific criteria established by the Fair Labor Standards Act (FLSA). Exempt employees are not eligible for overtime pay. In order to qualify for an exempt position, the position must satisfy the respective tests regarding the content of the employee’s job duties. The University determines whether a paid position with the University meets the requirements for exemption under the FLSA for purposes of determining an employee’s qualification for overtime.

Non-Exempt Employee

A non-exempt employee is one who does not fall into one of the exempt categories. Non-exempt employees are eligible for overtime compensation.

The following employment classifications have been established for benefit purposes:

Regular Employee

An employee holding a position, either part-time or full-time, for an unspecified period.

Temporary Employee

An employee holding a position, either part-time or full-time, for a limited time only such as summer help or casual labor. Temporary employees are not eligible to participate in benefit programs provided by the University. Employees who were hired for a specific short-term project, or on a short-term freelance, per diem or temporary basis. Short-Term employees generally are not eligible for University benefits but are eligible to receive statutory benefits.

Full-time Employee

An employee regularly scheduled to regularly work 2080 hours per year who was not hired on a short-term basis.

Part-time Employee

An employee regularly scheduled to work less than forty (40) hours per work week who were not hired on a short-term basis. For example, a “50% time” employee is scheduled to work 1040 hours per year. Part-time employees may be eligible for some benefits, provided the eligibility requirements are met.

Adjunct Employees

Employees who were hired to teach one or more specific courses on a contract basis. Adjunct employees generally are not eligible for University benefits but are eligible to receive statutory benefits.



2-2. RECRUITMENT

Position Approval

The University is committed to seeking and retaining personnel for each employment position who will make the most positive contribution to its character, goals, Values and Mission. All vacant positions must be budgeted and approved for hiring prior to recruitment and appointment. The supervisor requesting the position must complete a Position Approval form to obtain approval from the President. Once such approval is obtained, it must be submitted to the Director of Human Resources for budget and salary information before the hiring process is implemented, final salary approval for position from the President.

Position Description

All staff positions must have an approved job description on file in the Office of Human Resources prior to recruitment and appointment. Such descriptions must contain all the essential functions and job-related criteria necessary for successful performance of the duties and responsibilities of the position. The bulletin board is designed to post notifications of job vacancies as well as the University of Dubuque website.

Recruitment Policy

The Office of Human Resources will meet with the hiring department to review the department's current hiring goals, demographics and develop a recruitment strategy that supports the Mission and meets the department's needs. The Office of Human Resources will post and advertise the position appropriately and will endeavor to attract the broadest and most demographically diverse applicant pool that results in the most qualified applicant for each position. Depending on the position, advertising may range from the university website, regional and national publications, and professional organizations. After the application deadline, the Office of Human Resources will refer the candidates to the hiring department's designated committee.

The Office of Human Resource, with input from the Vice President of Operations and the President's Advisory Council for Diversity, Inclusion & Hospitality, will provide interviewing and DEI training for the search committee. The search committee will interview the candidates in order to recommend selection of the most qualified applicants to fill the specific position.

In exigent circumstances the President may choose to authorize an expedited hiring process. All charges to recruitment must be pre-approved and follow budget guidelines.

All recruiting and hiring of University personnel must comply with applicable law and University policies and procedures. No University employee is authorized to conduct recruiting or to make employment offers, commitments or representations that are not in strict conformity with law and University policies and procedures. Employees and agents of the University are prohibited from violating applicable federal, state, or local non-discrimination laws in conducting recruitment activities on behalf of the University of Dubuque.

Interviewing for Positions

Current employees may interview for other positions on campus during their regular working hours without loss of pay, provided they request approval in advance from their supervisor. Supervisors must approve requests within a reasonable amount of time to allow the employee to be considered for the



vacancy. Outside candidates will interview with the department and Human Resources prior to offering of the position. If in-person interviews are not available, this may be done through phone or teleconference.

Offer of Employment

Offers of employment may only be extended in writing and must be approved in advance by the President. The employment offer is subject to approval by the President and a background check. No written appointment offer of employment is valid and binding on the University unless it is signed by the President. Any offer of employment that is not properly approved by the President has no binding effect on the University and does not create any right of expectation of employment nor may it form the basis for any claim of reliance.

Appointment Letter

The Director of Human Resources will send an appointment letter to the selected candidate. The candidate must sign and return the original letter indicating acceptance of employment. No oral commitments or representations shall be binding on the University, and no one is authorized to make oral commitments or representations concerning appointments or terms or conditions of appointment at the University. Once received, Human Resources will sign and obtain the cabinet member's signature and the President's signature. Only after these approvals and signatures are obtained is the letter official and the employee is allowed to work.

Background Screenings

Employees may be subject to routine background checks, including credit checks, during the course of their employment and their acceptance of employment is acknowledgement of their consent to such checks.

2-3. ORIENTATION PERIOD

The first six calendar months of an employee's employment is an orientation period ("Orientation Period"). The purpose of the Orientation Period is to familiarize the employee with the job and ensure a good match between the person and the position. It is also a time for the University of Dubuque to determine if the employee can perform all the essential job duties and fit in the University of Dubuque culture. To assist employees in becoming acquainted with the University as quickly as possible, the Human Resource Director conducts orientation sessions for its newly hired employees. The orientation provides the new employee with an overview of the University's history, standards, policies, and procedures. Each session is designed to provide information that employees will find helpful as they become acclimated to their new positions and the University.

If an employee does not complete the Orientation Period, they will not have any vacation paid out upon leaving the University.

Employees shall be evaluated at the end of the Orientation Period. If the employee's performance has not been satisfactory and does not appear to be improving the employee may be terminated. This Orientation Period is intended as an expression of the more exploratory nature of employment during this period and in no way shall be interpreted to change the at-will nature of the employment relationship; that is, the Orientation Period does not guarantee any term of employment and the completion of the Orientation Period does not create an expectation of nor a right to continued



employment. During the Orientation Period an employee may be terminated with or without cause or notice at any time.

2-4. EMPLOYEE SERVICE CREDIT

"Length of service" refers to the length of time that employees spend as active full-time or part-time employees with the University of Dubuque. Service begins on the day they become full-time or part-time employees.

Length of service may be used in determining certain employee benefits, such as time-off benefits, etc. Employees who leave employment with the University and are rehired will not lose credit for service with the University provided their last day of prior service was within 365 days of again becoming an active employee unless they were previously terminated for cause.

2-5. YOUR EMPLOYMENT RECORDS

In order to obtain their position, employees must provide personal information, such as address and telephone number. This information is contained in their personnel file.

Employees must keep their personnel file up to date by informing the Director of Human Resources of any changes. Employees also should inform the Director of Human Resources of any specialized training or skills they acquire, as well as any changes to any required work authorizations from the U.S. government or visas. Unreported changes of address, marital status, etc. can affect withholding tax and benefit coverage. Further, an "out of date" emergency contact or an inability to reach employees in a crisis could cause a severe health or safety risk or other significant problem.

2-6. WORKING HOURS AND SCHEDULE

Employees classified as exempt are required to devote no less than those scheduled hours identified in such employee's contract of employment, appointment letter, or other document(s) containing the exempt employee's terms of employment that are particular to his or her position with the University as well as those hours necessary to properly perform the duties and responsibilities of the position the employee holds. For that reason, exempt employee work hours may be non-uniform. Without limiting the preceding sentence, the University requires that all exempt employees devote sufficient time and effort to performing the duties and responsibilities of their respective positions to meet the needs and expectations of their supervisors and departments, reasonably support their colleagues, and effectively promote the Mission, vision and Values of the University to its community of learners and constituents.

Each non-exempt employee's scheduled work hours will be determined by his or her supervisor. The supervisor, or supervisor's designee, will inform employees of their daily schedule of hours of work, including any changes that are considered necessary or desirable by the University, including but not limited to scheduling adjustments during a workweek to avoid overtime.

Employees will be provided meal and rest periods as required by law. A supervisor will provide further details.

To accommodate the needs of the business, at some point the University of Dubuque may need to change individual work schedules on either a short-term or long-term basis.



2-7. REMOTE WORK/TELECOMMUTING

The University of Dubuque may allow employees to work remotely if their job duties and work performance are determined to be eligible for remote work. Eligibility will be decided on a case-by-case basis by the University. Employees also may be required to work remotely during periods of public health emergencies if government orders and mandates recommend such work.

This policy provides general information regarding remote work/telecommuting. Employees who are approved to work remotely will consult their individual agreement for specific details of their remote work/telecommuting arrangement, such as expected work hours, equipment provided, and other important information.

Any remote work/telecommuting arrangement may be discontinued by the University at any time and at the discretion of the University. Employees also may discontinue the arrangement but may not be guaranteed office space at the University's work location.

This policy and any individual agreement addressing this work arrangement do not create a contract of employment and are not intended to be considered or construed as a promise of continued employment. Employment is at will and may be discontinued at any time by the University or employee without notice, cause, or liability.

Hours of Work

Exempt employees, if approved for telecommuting, will work full time from home. Scheduled hours of work will be set by the employees' manager or supervisor. Employees must maintain regular contact with their supervisors and managers. Telecommuting work hours are subject to review and audit by the University at any time. Failure to fulfill work hour requirements will result in loss of pay and is cause for termination or discipline.

Non-exempt employees must accurately record all hours worked pursuant to the University's timekeeping system and take rest and meal breaks as if in the University's workplace and as required by law. Nonexempt employees may not work beyond scheduled working hours (including working more than 40 hours in a workweek) without prior, written authorization from their manager or supervisor.

Location

Employees must provide, at their expense, a secure, dedicated work area. Employees are responsible for maintaining the work area in a safe, secure, and nonhazardous condition at all times. Employees will maintain security devices and procedures necessary to prevent use of or access to University communication and information management devices, e.g., telephones and computers, by unauthorized persons, including by preventing the connection of any University-furnished computer system, network, or database to any computer, network, or database other than a computer, network, or database to which connections are provided or authorized by the University.

Duties

Employees are required to follow all existing University policies and procedures. The duties, obligations, responsibilities, and conditions of employment with the University remain unchanged. Employees must stay engaged with work throughout the workday and be fully available during



normal business hours. If employees do not successfully perform their job duties remotely, this arrangement will be revoked and may be cause for termination and loss of pay. Employees are required to follow existing University policies with respect to scheduled and unscheduled time off, including the obligation to speak with their manager or supervisor before the scheduled start time in the event of an unscheduled absence, tardy, or early departure.

Accidents and Injuries

Employees agree to maintain safe conditions in the remote workspace and to practice the same safety habits and rules applied on University premises. If employees incur an injury arising out of the course and scope of the assigned job duties while working in the remote workspace, the workers' compensation provisions in place for the State in which the employees are working will apply. Employees must notify their supervisor or manager immediately and complete all necessary and/or requested documents regarding the reported injury. The University assumes no responsibility for injuries occurring in the remote workspace outside normal working hours or for injuries that occur because of a reasonably recognizable unsafe remote workspace.

Equipment

Employees must use electronic communications and information management equipment that has been encrypted and meets all of the University's security requirements. If the University provides equipment for home use, employees agree to provide a secure location for University-owned equipment and will not use, or allow others to use, such equipment for purposes other than University business. Employees have no expectation of ownership in such equipment, linkages, property, or other items installed or provided by the University. The University will bear the expense of removal of any such equipment, linkages, and installations provided by the University upon the termination of the remote work/telecommuting arrangement but not modification of or repairs to the work location. Employees hereby release the University from any damage or liability incurred in the installing or removal of the equipment provided by the University. Employees are responsible for all unauthorized use or access and any breaches of University confidentiality obligations and must report any such issues immediately to their supervisor. Employees are also responsible for the cost of repairing or replacing any University provided equipment when damage results from unauthorized use or access.

Return of University Property

All equipment, records, and materials provided by the University will remain University property. Employees agree to return University equipment, records, and materials upon request. All University equipment will be returned by employees for inspection, repair, or replacement as needed or requested or immediately upon termination of the remote work/telecommuting arrangement.

Expenses

Upon presentment of satisfactory receipts, the University will reimburse employees for certain preapproved expenses and in accordance with the purchasing guidelines found on <https://www.dbq.edu/CampusPortal/CampusForms/index.cfm> or by contacting the campus Finance, Business and Auxiliary department located in Smith Hall.

Regular household utility charges, such as electricity, water, phone, Internet service, auto, homeowners' insurance, etc., are not reimbursable unless reimbursement is required as a matter of



law.

Confidentiality

Employees agree that they are subject to the University's policies prohibiting the nonbusiness use or dissemination of the University's confidential business information. Employees will take all appropriate steps to safeguard the University's confidential business information, including segregating it from personal papers and documents, not allowing non-employees to access such information, and keeping such information in locked drawers or file cabinets when not in use.

Employees will maintain confidential information, including, but not limited to, personally identifiable student information, information regarding the University's products or services, processing, marketing and sales, client lists, client e-mail addresses and mailing addresses, client data, orders, memoranda, notes, records, technical data, sketches, designs, plans, drawings, trade secrets, research and development data, experimental work, proposals, new product and/or service developments, project reports, sources of supply and material, operating and cost data, and corporate financial information.

Contact

If employees have any questions concerning this policy, they should contact the Director of Human Resources.

2-8. TIMEKEEPING PROCEDURES

Employees must record their actual time worked for payroll and benefit purposes.

Non-exempt employees must record the time work begins and ends, as well as the beginning and ending time of any departure from work for any non-work-related reason, on forms or the designated method of clocking in and out, whether it be via time clock or desk top application, as prescribed by the University. Non-exempt employees may not start work until their scheduled starting time.

Exempt employees are required to record their daily work attendance and report full days of absence from work for reasons such as leaves of absence, sick leave, or personal business.

Altering or falsifying a time record, punching another employee's timecard, creating another employee's time record, or seeking to have another employee punch a timecard for you or create your time record is not authorized and a violation of the University's general work rules and may be cause for loss of pay and disciplinary action up to and including termination.

It is the employee's responsibility to verify and certify the accuracy of all time recorded. Any errors in the time record must be reported immediately to a supervisor, who will attempt to correct legitimate errors.

2-9. OVERTIME

Like most successful companies, the University of Dubuque experiences periods of extremely high activity. During these busy periods, additional work is required from all of us. Supervisors are responsible for monitoring business activity and requesting overtime work if it is necessary. Reasonable effort will be made to provide employees with adequate advance notice in such situations as the



circumstances dictate.

Any non-exempt employee who works overtime will be compensated at the rate of one and one-half times (1.5) their normal hourly wage for all time worked in excess of 40 hours each workweek unless otherwise required by law.

Employees may work overtime only with prior supervisor authorization. Any overtime worked without prior authorization will not be compensated.

For purposes of calculating overtime for non-exempt employees, the workweek begins at 12 a.m. on Sunday and ends at 12 a.m. on the following Sunday.

Any and all approved paid absences, including but not limited to sick leave, vacation leave, holiday leave, jury duty leave, funeral/bereavement leave, and paid leave related to FMLA or military leave are paid at the employee's regular rate of pay, but are not counted as time worked for the purposes of computing overtime. Employee attendance at required lectures, meetings, and training programs will be considered hours of work, and therefore will be compensated time if an employee's supervisor requires and authorizes attendance. Employees under a union contract will follow guidelines outlined in that contract.

2-10. TRAVEL TIME FOR NON-EXEMPT EMPLOYEES

Overnight, Out-of-Town Trips

Non-exempt employees will be compensated for time spent on authorized travel (except for meal periods) during their normal working hours, on days they are scheduled to work and on unscheduled workdays (such as weekends). Non-exempt employees also will be paid for any time spent performing job duties during otherwise non-compensable travel time; however, such work to be compensable requires advance supervisor authorization on travel forms.

Out-of-Town Trips for One Day

Non-exempt employees who travel out of town for a one-day assignment will be paid for all travel time except for, among other things, time spent traveling between the employee's home and the local railroad, bus or plane terminal, and meal periods.

Local Travel

Non-exempt employees will be compensated for time spent traveling from one job site to another job site during a workday. The trip home, however, is non-compensable when the employee goes directly home from the final job site, unless it is much longer than the regular commute home from the regular worksite. In such case, the portion of the trip home in excess of the regular commute is compensable.

Commuting Time

Under the Portal-to-Portal Act, travel from home to work and from work to home is generally non-compensable. However, if a non-exempt employee regularly reports to a worksite near their home but is required to report to a worksite farther away than the regular worksite, the additional time spent traveling is compensable.

If compensable travel time results in more than 40 hours worked by a non-exempt employee, the



employee will be compensated at an overtime rate of one and one-half (1-1/2) times the regular rate.

2-11. SAFE HARBOR POLICY FOR EXEMPT EMPLOYEES

It is the University of Dubuque's policy and practice to accurately compensate employees and to do so in compliance with all applicable state and federal laws. To ensure proper payment and that no improper deductions are made, employees must review pay stubs promptly to identify and report all errors.

Those classified as exempt salaried employees will receive a salary which is intended to compensate them for all hours they may work for the University of Dubuque. This salary will be established at the time of hire or classification as an exempt employee. While it may be subject to review and modification from time to time, such as during salary review times, the salary will be a predetermined amount that will not be subject to deductions for variations in the quantity or quality of the work performed except pursuant to a disciplinary process.

Under federal and state law, salary is subject to certain deductions. For example, unless state law requires otherwise, salary can be reduced for the following reasons:

- full-day absences for personal reasons;
- full-day absences for sickness or disability if the deduction is made in accordance with a bona fide plan, policy or practice of providing wage replacement benefits for such absences (deductions also may be made for the exempt employee's full-day absences due to sickness or disability before the employee has qualified for the plan, policy or practice or after the employee has exhausted the leave allowance under the plan);
- full-day disciplinary suspensions for infractions of University written policies and procedures;
- Family and Medical Leave Act absences (either full- or partial-day absences);
- to offset amounts received as payment from for jury and witness fees or from the military as military pay;
- the first or last week of employment in the event the employee works less than a full week; and
- any full work week in which the employee does not perform any work;
- overpayment of salary or expenses; or
- recovery of costs for damage to or unauthorized use of University equipment.

Salary may also be reduced for certain types of deductions such as a portion of health, dental or life insurance premiums; state, federal or local taxes; social security; or voluntary contributions to a 403(b) plan.

In any work week in which the employee performed any work, salary will not be reduced for any of the following reasons:

- partial-day absences for personal reasons, sickness, or disability;
- an absence because the University has decided to close a facility on a scheduled workday; absences for jury duty, attendance as a witness, or military leave in any week in which the employee performed any work (subject to any offsets as set forth above); and
- any other deductions prohibited by state or federal law.



However, unless state law provides otherwise, deductions may be made to accrued leave for full- or partial-day absences for personal reasons, sickness, or disability.

If employees believe they have been subject to any improper deductions, they can immediately report the matter to a supervisor. If the supervisor is unavailable or if the employee believes it would be inappropriate to contact that person (or if the employee has not received a prompt and fully acceptable reply), they can immediately contact the Director of Human Resources or any other supervisor in the University of Dubuque with whom the employee feels comfortable.

2-12. YOUR PAYCHECK

Non-exempt employees will be paid bi-weekly for all the time worked during the past pay period on the Friday following the preceding two (2) weeks' pay period which ends on Saturday. Exempt employees will be paid on a monthly basis the last business day of the month. If a payday falls on a Holiday, the payday will automatically be rescheduled for the day before the holiday.

Payroll stubs itemize deductions made from gross earnings. By law, the University of Dubuque is required to make deductions for Social Security, federal income tax and any other appropriate taxes. These required deductions also may include any court-ordered garnishments. Payroll stubs also will differentiate between regular pay received and overtime pay received.

If there is an error in any employee's pay, the employee can bring the matter to the attention of the Director of Human Resources immediately so the University can resolve the matter quickly and amicably.

Paychecks will be direct deposited and employees can view paystubs on My.dbq.edu.

2-13. LUNCH/BREAK PERIODS

Regularly scheduled breaks and lunch times are provided and will be communicated to employees by their supervisor. For non-exempt employees, two (2) fifteen (15) minute paid breaks are permitted throughout an eight (8) hour workday. Work hours more than 5 but less than 8 receive (1) fifteen-minute paid break. Employees are not allowed to leave University property during paid break periods. Employees receive an automatic half-hour unpaid lunch break per day, whether the employee chooses to take the lunch break or not. It is required that employees will be fully relieved of their duties during the unpaid lunch break. Non-exempt employees are required to clock in and out during unpaid lunch periods unless otherwise notified.

2-14. DIRECT DEPOSIT

The University of Dubuque requires all new employees to have direct deposit. Paychecks can be viewed and accessed online by going to MY.dbq.edu. Employees can log in using their University network login.

2-15. SALARY ADVANCES

The University of Dubuque does not permit advances on paychecks or against accrued paid time off.



2-16. PERFORMANCE REVIEW

Depending on the employee's position and classification, the University of Dubuque endeavors to review performance annually. However, a positive performance evaluation does not guarantee an increase in salary, a promotion or continued employment. Compensation increases and the terms and conditions of employment, including job assignments, transfers, promotions, and demotions, are determined by and at the discretion of the University.

In addition to these formal performance evaluations, the University encourages employees and supervisors to discuss job performance on a frequent and ongoing basis.

2-17. RECORD RETENTION

The University of Dubuque acknowledges its responsibility to preserve information relating to litigation, audits, and investigations. Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the University and its employees and possible disciplinary action against responsible individuals (up to and including termination of the employee). Each employee has an obligation to contact the Director of Human Resources to inform them of potential or actual litigation, external audit, investigation, or similar proceedings involving the University that may have an impact on record retention protocols.

2-18. JOB POSTINGS

The University of Dubuque is dedicated to assisting employees in managing their careers and reaching their professional goals through promotion and transfer opportunities. This policy outlines the job posting program, which is in place for all employees. To be eligible to apply for an open position, employees must meet the following requirements:

- be a current, regular, full-time, or part-time employee; have been in current position for at least six (6) consecutive calendar months; maintain a performance rating of satisfactory or above;
- not be on conduct/performance-related probation or warning;
- meet the job qualifications listed on the job posting; and
- provide their current manager with notice prior to applying for the position.

If employees find a position of interest on the Employee Bulletin Board and they meet the eligibility requirements, a University of Dubuque employment application must be completed in order to be considered for the position. Not all positions are guaranteed to be posted. The University reserves the right to seek applicants solely from outside sources or to post positions internally and externally simultaneously.

For more specific information about the program, please contact the Human Resources Department.

2-19. PROMOTIONS/TRANSFERS

The University encourages the continued development of its employees and is supportive of current employees' promotions to higher level positions when deemed appropriate. Employees are encouraged to complete at least six (6) consecutive calendar months of service in their present position before considering a transfer.



2-20. COMPLAINT RESOLUTION

The University has an “open door” policy and actively promotes honest, constructive communication as a means of solving problems prior to the filing of a formal complaint. Should an employee have a work-related problem, concern, or suggestion, the matter can be discussed with their immediate supervisor or department manager. If an employee does not wish to informally discuss their issue at the level of their immediate supervisor or department manager, or the employee is not satisfied with the response received, the matter can then be discussed with the Director of Human Resources. (Custodians, Groundskeepers, and Maintenance please refer to the union contract.)

Please respect the chain of communication and allow your immediate supervisor the first opportunity to respond to a concern unless confidentiality is an issue. It is intended that all problems be resolved, whenever possible, before the filing of a formal complaint. Open communication between employees, supervisors, department managers and other administrators is encouraged prior to resorting to the formal complaint resolution procedure.

Purpose of Complaint Resolution

The purpose of this procedure is to promote prompt and efficient investigation and resolution of complaints. These procedures shall be the formal method for resolving all job-related complaints for non-faculty employees.

Resort to Other Procedures

In recognition of the fact that the commitment of the University and employee to this process is necessary in order to achieve its designed objectives, if the complainant seeks resolution of the subject matter of a pending complaint in any forum or by any set of procedures other than those established in this procedure, whether administrative or judicial, the University shall be under no obligation to proceed any further with the matter hereunder. The act of filing an action in another forum in order to avoid violating a time limitation shall not be considered a violation of the intent of this paragraph.

Confidentiality

The complaint resolution proceedings under this procedure shall be maintained as confidential, subject only to the need of the complainant and the University to comply with the processes specified herein and to present evidence concerning the complaint in other administrative or judicial proceedings. All meetings under this procedure shall be held in private and only the parties designated herein may be in attendance.

Complaint Resolution Procedure

For the purpose of this procedure, Complaint shall mean an allegation that the employee's employment rights and entitlements as set forth in this Employee Handbook or in the employee's individual employment contract, if any, have been denied or adversely affected due to a violation, misapplication, or misinterpretation of University policies, regulations, or procedures.

Working Days shall mean those days when the business offices of the University are open.

When any action which is required to be taken, under this procedure, within a specified time period is not taken in time, the following shall apply:

- If the employee fails to act within the time limits provided herein, the University shall have no



responsibility to process the complaint and it shall be deemed withdrawn without the ability to re-file a formal complaint on the same subject matter.

- In the case where the employee's immediate supervisor fails to act in time in accordance with the requirements of Step 1 of Procedure for Handling a Complaint, the employee may proceed to the Step 2 review level and any untimely decision by the supervisor in Step 2 shall be void.

Procedure for Handling a Complaint

Step 1. A complaint must first be presented in writing to the employee's immediate supervisor. The complaint must be filed within a reasonable amount of time from the date on which the employee knew or should have known of the action or condition which occasioned the complaint. The supervisor, upon learning of the complaint, shall investigate the matter as deemed appropriate and respond to the employee in writing within ten (10) working days of the date the complaint was filed with the supervisor's office.

Step 2. If the complaint is not resolved at Step 1 and the employee desires to pursue the matter, the employee shall formalize the complaint as indicated below and file it with the Director of Human Resources within ten (10) working days of the Step 1 decision. The formalized complaint shall be presented in writing. The written submission shall state the specific policy, regulation or procedure alleged to have been misinterpreted, misapplied, or violated, the effect on the employee, and the relief requested.

Prior to the issuance of a decision, and after any investigation is completed, the Director of Human Resources shall hold an informal meeting with the employee in an attempt to affect a settlement. If no settlement is reached at the meeting and the Director of Human Resources believes that the inclusion of other University personnel is required to reach resolution of the complaint, the Director of Human Resources may facilitate a second meeting between the employee and such personnel. If resolution of the complaint is not reached in the second meeting, the Director of Human Resources will proceed to issue a decision and notify the employee within fifteen (15) working days from the date the written complaint was filed with the Director of Human Resources. The decision of the Director of Human Resources shall be final. In the event that the employee's immediate supervisor is the Director of Human Resources, the Vice President of Finance shall designate another individual to perform the functions of the Director of Human Resources set forth in this Step 2.

2-21. DISCIPLINE

The University may impose counseling sessions and/or disciplinary actions for the purpose of correcting an employee's behavior, but not for punishing an employee. The University, in its discretion, may choose to apply a system of progressive discipline as follows:

- a) verbal warning, counseling – in this case the employee's supervisor will discuss the area of concern with the employee as well as appropriate corrective action and the supervisor shall document the event in writing and place a copy of the incident and resolution in the employee's file;
- b) written warnings – the employee's supervisor, with the Director of Human Resources, will address the area of concern in a writing delivered to the employee and placed in the employee's employment file, addressing the problem, corrective action, and a timetable for improvement or



- assessment of compliance;
- c) suspension without pay – the basis for and period of time applicable to the suspension shall be documented in the employee's employment file;
- d) termination.

The University may depart from these progressive discipline steps when, in the University's discretion, it believes the circumstances warrant a more accelerated, final, or alternative method of discipline.

The establishment of a progressive disciplinary system does not alter the At-Will nature of employment. All disciplinary actions will be made and remain a permanent part of an employee's personnel record and cannot be removed for any reason.

2-22. TERMINATION

An employment relationship with the University will terminate immediately, or an identified termination date will be established, in the event of:

- A voluntary resignation or termination by an employee.
- Discharge/termination of an employee by the University.
- Absence from work for three (3) consecutive regularly scheduled workdays without proper notification.
- Failure to return to work after (i) expiration of an approved leave of absence, (ii) recall from layoff, or (iii) the end of approved absence under paid time off benefits.
- Failure to return to work after expiration of the period granted under applicable FMLA regulations.
- An employee's self-employment or employment by a third-party during an approved leave of absence without first obtaining prior written approval.

All employees whose employment has ended are required to participate in a brief exit interview with the Director of Human Resources. Employees are required to return all University property in their possession or under their control including ID badge, parking pass, cell/smart phone, keys, uniforms, computer equipment, and other private property and equipment issued to such employee by the University and any related University owned items. An employee who does not participate in an exit interview may jeopardize future employment opportunities with the University. In all cases where an employee's employment terminates, the employee will be paid any earned and owing compensation for the pay period in which employment terminated on the next regularly scheduled pay day subject to deductions and offsets.

The University asks employees who wish to voluntarily resign to adhere to the following steps:

1. The employee must notify their supervisor in writing as soon as possible of their intent to voluntarily terminate employment. The University asks for a two-week notice, but you are not required to do so under an At-Will employment relationship.
2. Upon termination of employment, employees are required to return any and all University



property in their possession including without limitation ID badge, parking pass, cell/smart phone, keys, fob, uniforms, computer equipment, and personal protective equipment issued to such employee by the University and any related University owned items.

2-23. SERVICE ANIMALS

Animals may not be brought to an employee's work area or anywhere within University premises without formal approval by the Department of Human Resources and the employee's supervisor. The only exceptions to the policy would be for service animals and educational purposes, which exception must be documented, approved and on file with HR.

2-24. EMPLOYEE PARKING

The University reserves the right to search/inspect anything on University property including personal vehicles. No weapons (including firearms used for hunting) may be maintained in personal vehicles while on University property at any time.

Parking is only authorized in designated parking areas. Do not block other vehicles, which prevents them from entering or moving their vehicle. Parking permits must be purchased for parking on University property for a fee each year. New employees are eligible to set up monthly payroll deductions on date of hire. Please see Security to obtain your parking permit.

2-25. KEYS

Campus security is important to all University employees. Building or office keys issued to employees must be kept in their possession, and may not be loaned to or borrowed by anyone else. A lost key or fob must be reported at once to an employee's supervisor and the Facilities Office. Employees will be responsible for paying to replace lost keys or for replacing locks in the case of stolen keys. When leaving employment with the University all keys must be turned into the Office of Human Resources.

2-26. INCLEMENT WEATHER

In the event of severe weather conditions each employee should use their best personal judgment as to whether it is safe to travel to and from work, except for essential personnel who will be notified if they are required to come in. If the University officially closes due to inclement weather, employees who are eligible to work remotely may work from home. Closings, cancellations, or remote classes will be posted on the University portal, broadcasted on local radio and television stations, and sent through University email.



Section 3 - BENEFITS

3-1. BENEFITS OVERVIEW

In addition to good working conditions and competitive pay, it is the University of Dubuque's policy to provide a combination of supplemental benefits to all eligible employees. In keeping with this goal, each benefit program has been carefully devised. These benefits include time-off benefits, such as vacations and holidays, and insurance and other plan benefits. We are constantly studying and evaluating our benefits programs and policies to better meet present and future requirements. These policies have been developed over the years and continue to be refined to keep up with changing times and needs. All employees must work at least 30 hours or 1560 hours annually to qualify for benefits other than those required by law.

The next few pages contain a brief outline of the benefits programs the University of Dubuque provides employees and their families. Of course, the information presented here is intended to serve only as guidelines.

The descriptions of the insurance and other plan benefits merely highlight certain aspects of the applicable plans for general information only. The details of those plans are spelled out in the official plan documents, which are available for review upon request from the Director of Human Resources. Additionally, the provisions of the plans, including eligibility and benefits provisions, are summarized in the summary plan descriptions ("SPDs") for the plans (which may be revised from time to time). In the determination of benefits and all other matters under each plan, the terms of the official plan documents shall govern over the language of any descriptions of the plans, including the SPDs and this Handbook.

Further, the University of Dubuque (including the officers and administrators who are responsible for administering the plans) retains full discretionary authority to interpret the terms of the plans, as well as full discretionary authority with regard to administrative matters arising in connection with the plans and all issues concerning benefit terms, eligibility, and entitlement.

While the University intends to maintain these employee benefits, it reserves the absolute right to modify, amend or terminate these benefits at any time and for any reason.

If employees have any questions regarding benefits, they can contact the Director of Human Resources or refer to the University website.

3-2. PAID HOLIDAYS

Holiday pay is paid to all regular employees who work 30 hours or more in a workweek. Temporary Employees will normally be excused without pay on holidays. To be eligible for holiday pay, employees that are not scheduled to work on a holiday must be on approved pay status on their scheduled workday before and after the appropriate holiday.

"On approved pay status" includes absence from work as a result of:

- Approved funeral bereavement leave;



- An injury that is compensable under Workers' compensation under the Iowa Workers Compensation Act;
- Approved jury duty;
- Approved vacation;
- Approved sick leave; or
- Worked their last scheduled workday prior to the holiday and their first scheduled workday after the holiday.

The holiday schedule is approved each calendar year by the President's cabinet. Currently, the University has 13 paid Holidays, but this schedule is subject to change on a year-to-year basis, from time to time.

Employees will be paid for the following holidays:

New Year's Eve
New Year's Day
President's Day
Good Friday
Memorial Day
Juneteenth Day
Fourth of July
Labor Day
Thanksgiving Day
Day after Thanksgiving
Christmas Eve
Christmas Day
Day after Christmas

Eligible employees are paid the equivalent of eight (8) hours/day times the pay rate for their assigned job for each Holiday. Regular part time employee who work less than 40 hours a week will be paid based on their percentage of a full time equivalent % position of employment.

Employees' who are scheduled to work on a Holiday and have been pre-approved to work will receive time and a half for hours worked.

3-3. PAID VACATIONS

The University of Dubuque recognizes the importance of providing time for rest and relaxation. The University of Dubuque fully encourages employees to get this rest by taking vacation time. Full-time employees accrue paid vacation time as follows:

Regular exempt and non-exempt full-time employees accrue one hundred and sixty (160) hours of paid vacation per service year. Regular exempt and non-exempt part time employees who work 30 hours or more will receive a proportioned amount in comparison to scheduled work time (e.g., an 80% employee will receive one hundred twenty-eight (128) hours of paid vacation a calendar year). The maximum vacation entitlement for part-time employees is prorated based on hours worked compared to a full-time employee's per service year.



An eligible employee under this policy may use accrued vacation after 90 days pending supervisor approval. No vacation will be paid out upon leaving the University until after the Orientation Period of 6 months of employment has been completed. Vacations should be taken during the calendar year accrued, unless otherwise required by law.

Reasonable effort will be undertaken to accommodate an employee's vacation scheduling preference consistent with operating needs and schedules. If too many people request the same period of time off, the University reserves the right to choose who may take vacation during that period. Employees with the longest length of service generally will be given preference subject to operating needs. Vacation requests must be submitted to managers at least two (2) weeks in advance of the requested vacation dates.

Vacation may be used in hourly increments.

Accrued, unused vacation is paid out upon separation as follows:

- An hourly employee who resigns or terminates (unless terminated for cause) will receive pay for up to two (2) weeks (80 hours) of unused accrued vacation time after completion of the Orientation Period.
- All salaried employees who resign or terminate (unless they are terminated for cause) will receive pay for up to two (2) weeks (80 hours) of unused accrued vacation time after 6 consecutive months of employment. Salaried employees are required to have all their monthly absence reports completed accurately and turned into payroll to be eligible for payout.

When a Holiday falls within a vacation period, all employees who are eligible for Holiday pay will be paid Holiday for that day.

When accrued vacation reaches an employee's maximum, no further accrual will take place. At no time may an employee have vacation time with a negative balance.

When an employee is absent and has exhausted all of their accrued sick leave, vacation will be used, however, it will still go against the employee's attendance record by being recorded as sick time.

Salaried employees are required to complete absence forms detailing the amount of sick leave and vacation leave used by calendar month. By June 10th of each year, the Director of Human Resources must have received absence forms covering the entire preceding twelve (12) months for each salaried employee. If an employee fails to turn in at least one absence form covering the entire calendar year no later than June 10th of each year, all accrued vacation and sick leave will be adjusted to zero (0).

3-4. SICK DAYS

Full-time, regular employees accrue sick leave at the rate of one (1) working day for each calendar month of employment. Regular part time employees whose regularly scheduled work hour requirement is at least 30 hours per workweek accrue sick leave on a prorated hourly basis per calendar month. For example, an 80%-time employee will accrue sick leave at 80% of the rate accrued by a Regular Employee that is full-time. Sick days must be used in at hourly increments. Sick



leave may be carried over from calendar year to calendar year with no maximum accumulative limit.

If the employee will be out of work due to illness, they must call in and notify their supervisor as early as possible, but at least by the start of the workday. If an employee calls in sick for three (3) or more consecutive days, they may be required to provide their supervisor with a medical release from a physician on the day they return to work. This release must also be provided to the Office of Human Resources. The University reserves the right to require employees to provide appropriate medical verification in cases where an employee is on sick leave for an extended period of time, or where the legitimacy of an employee's use of sick leave is called into question. If an employee has exhausted all of their accrued sick leave, they will be required to use accrued vacation for time missed, or, if vacation time is exhausted, their pay will be reduced. Once an employee submits a resignation any sick time submitted will need to be approved by the Human Resource Director.

While sick days are intended to cover only the employee's own illnesses, if required by applicable state or local law, sick days may be used to care for a family member's (including civil union partners') illness or for any other reason required by applicable state or local law.

After 15 years of continuous employment, from date of hire, with the University, upon retirement or resignation, employees are eligible for payout of up to 500 hours of unused sick leave.

3-5. LACTATION BREAKS

As part of our family-friendly policies and benefits, the University supports breastfeeding mothers by accommodating the mother who wishes to express breast milk during her workday when separated from her newborn child. The provisions of this Lactation Policy are intended to meet the requirements of the Fair Labor Standards Act as it relates to breaks for nursing mothers and will be interpreted so as to accomplish such an objective.

For up to one (1) year (365 days) after a child's birth, the employee/mother who is breastfeeding her child will be provided reasonable break times to express breast milk for her newborn. The University has designated an employee's own offices for this purpose. If such employee does not have an office, the employee should contact the Office of Human Resources to request/reserve a compliant location. Any employee needing a door lock or curtain installed must contact the Office of Human Resources.

The University of Dubuque will provide a reasonable amount of break time to accommodate employees desiring to express breast milk for their infant child, in accordance with and to the extent required by applicable law. The break time, if possible, must run concurrently with rest and meal periods already provided. If the break time cannot run concurrently with rest and meal periods already provided, the break time will be unpaid, subject to applicable law.

Breast milk stored in the refrigerator must be labeled with the name of the employee and the date of expressing the breast milk. Any non-conforming products stored in the refrigerator may be disposed of by the University. Employees storing milk in the refrigerator assume all responsibility for the safety of the milk and the risk of harm for any reason, including improper storage, refrigeration, and tampering.

Employees will not be discriminated against or retaliated against for exercising their rights under this



policy.

3-6. WORKERS' COMPENSATION

On-the-job injuries are covered by the University of Dubuque's Workers' Compensation Insurance Policy; which coverage is provided to employees at no cost. Employees must report work-related injuries, illnesses, or disabilities of any kind to their supervisor immediately. Failure to follow University procedures may affect the ability of employees to receive Workers Compensation benefits.

This is solely a monetary benefit and not a leave of absence entitlement. Employees who need to miss work due to a workplace injury must also request a formal leave of absence if applies. See the Leave of Absence sections of this Handbook for more information.

3-7. JURY DUTY

The University of Dubuque realizes that it is the obligation of all U.S. citizens to serve on a jury when summoned to do so. All employees will be allowed time off to perform such civic service as required by law. Employees are required, however, to provide proper notice of a request to perform jury duty and verification of their service prior to the time off.

Employees also are required to keep supervisors informed of the expected length of jury duty service and to report to work for the major portion of the day if excused by the court. If the required absence presents a serious conflict for the supervisor, employees may be asked to try to postpone jury duty.

Exempt employees, and regular non-exempt employees of 50% time or greater, summoned to serve on a jury, or required by subpoena to appear as a witness in court, are paid by the University the difference between any fee received from the court (not including reimbursement for expenses) and the employee's normal base pay for the time period involved. In order to receive this pay differential, the employee must have been hired prior to receiving notice to appear in court, must inform the Office of Human Resources of his or her intention to be absent from work, and must present a certified statement of earnings from the court for the period of service. As jury duty often does not require a full-time commitment, employees are required to report to work on days or reasonable portions of days when attendance in court is not required.

An employee is not paid for witness duty when he or she is a party to the action.

3-8. BEREAVEMENT LEAVE

When the death of a family member occurs, the University encourages its employees to be with loved ones and families. If the employee is full-time and loses a close relative, the employee will be allowed paid time off of up to 4 days to assist in attending to obligations and commitments. For the purposes of this policy, a close relative includes a spouse, domestic/civil union partner, child, parent, grandparent, grandchild, sibling, immediate in-law, or any other relation required by applicable law. Paid time off of up to seven (7) days is available for the loss of a spouse or child. Paid time off of one (1) day is available for the loss of an employee's aunt, uncle, niece, or nephew.

Part-time employees will be granted bereavement leave on the same terms as full-time employees; however, part-time employees shall receive a proration of the leave granted to full-time employees



corresponding to the percentage time worked. For example, an 80%-time employee will receive 80% of the bereavement leave granted to a full-time employee under similar circumstances.

Paid leave days only may be taken on regularly scheduled, consecutive workdays following the day of death. Employees must inform their supervisor prior to commencing bereavement leave. In administering this policy, the University of Dubuque may require verification of death. For family members or close relationships not covered under the bereavement leave policy, you must notify the University in advance and obtain prior written approval from the Director of Human Resources as indicated above and advice of time off needed for unpaid bereavement time. The University retains the right to approve or not approve unpaid bereavement time if it is determined by the supervisor that an employee has misused this benefit.

If additional time away from work is required, an employee may utilize available paid time off or can contact the Director of Human Resources to determine if additional unpaid time off can be approved.

3-9. VOTING LEAVE

In accordance with Iowa law, any University employee entitled to vote at an election in the State of Iowa who does not have three (3) consecutive hours in the period between the time of the opening and the time of the closing of the polls during which the employee is not required to be present at work. For example, if the polls are open between 7:00am and 9:00pm, and the employee is required to be at work from 9:00am to 5:00pm, the University is not required to provide the employee with time off from work to vote because the employee can utilize the four (4) hour span after the end of the employee's workday. An employee whose schedule on Election Day is such that time off is required under the Iowa Code must apply in writing, prior to the date of the election, and the employee's supervisor will designate the period of time to be taken. The continuation of this benefit is subject to a continuation of the pertinent Iowa law. Where possible, supervisors should be notified at least two (2) days prior to the voting day. Please refer to your state laws.

3-10. INSURANCE PROGRAMS

Only regular employees, working at least thirty (30) hours per workweek on a regular basis or on schedule to work at least 75% of 2080 hours a year, are eligible to participate in the University of Dubuque's insurance programs (each employee is an "Eligible Employee"). Some benefits are prorated according to the hours worked. Under these plans, eligible employees will receive comprehensive health and other insurance coverage for themselves and their families, as well as other benefits.

Upon becoming eligible to participate in these plans, employees will receive summary plan descriptions (SPDs) describing the benefits in greater detail. Please refer to the SPDs for detailed plan information. Of course, feel free to contact the Director of Human Resources with any further questions.

Medical and Vision Insurance

Eligible employees may begin to participate in Medical and Vision Insurance on the beginning of the calendar month following the calendar month of hire. If an eligible employee declines insurance coverage at the commencement of employment, the next open enrollment opportunity will be the succeeding January 1, unless there is a qualifying event. At the age of 65 you are eligible for the benefit of Medicare. The University of Dubuque through its insurance company offers free consulting with a



Medicare representative. Please contact HR for assistance.

Dental Insurance

Eligible employees may begin to participate in Dental Insurance on the beginning of the calendar month following the calendar month of hire. If an eligible employee declines insurance coverage at the commencement of employment, the next open enrollment opportunity will be the succeeding January 1, unless there is a qualifying event; however, late enrollees will only be eligible for \$150.00 in benefits during the first twelve (12) months of coverage.

Flexible Spending Accounts

Eligible employees may begin to participate in Flexible Spending Accounts on the beginning of the calendar month following the calendar month of hire. If an eligible employee declines this benefit at the commencement of employment, the next open enrollment opportunity will be the succeeding January 1, unless there is a qualifying event.

Life Insurance (Employee & Dependents)

Eligible employees may begin to participate in Life Insurance on the beginning of the calendar month following the calendar month of hire. If an eligible employee declines insurance at the commencement of employment, the next open enrollment opportunity will be the succeeding July 1, and the employee/dependent will need to complete evidence of insurability and be accepted to enroll.

3-11. 403(B) RETIREMENT PLAN

All employees, except student employees, are eligible to participate. Eligible employees may begin to participate in the 403b Retirement Plan on the beginning of the calendar month following the calendar month of hire. Participation will not be effective until all applicable forms have been completed and the employee has established its investment firm account (please allow 2-3 weeks). If the employee declines to participate in the Plan at the commencement of employment, additional opportunities to enroll will be available at the beginning of each calendar month. All regular full-time and part-time employees, excluding adjunct employees, are eligible for a percentage match (% match amount located in HR). Other employees may enroll but there will be no match from the University.

3-12. LONG-TERM DISABILITY BENEFITS

Eligible employees may begin to participate in Long Term Disability (LTD) on the beginning of the calendar month following the calendar month of hire. If an eligible employee declines LTD at the commencement of employment, the next open enrollment opportunity will be the succeeding July 1, and the employee will need to complete evidence of insurability and be accepted to enroll.

This is solely a monetary benefit and not a leave of absence. Employees who will be out of work must also request a formal leave of absence. See the Leave of Absence sections of this handbook for more information.

3-13. TUITION REMISSION

Tuition remission eligibility for Tuition Remission and Exchange is set forth in the full Tuition Remission policy attached to this Handbook as Appendix A. Benefits are effective immediately for an eligible



employee's spouse and unmarried dependents, (as defined by the IRS), under the age of 24. This benefit is not effective until the first academic term following completion of one year (365 days from date of hire) of employment for employees. Please see the tuition remission policy for current guidelines.

3-14. COBRA

The Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA) requires that employers who sponsor group health plans offer employees and their families the opportunity for a temporary extension of health coverage where coverage under the plan would otherwise end. This is intended to provide a summary of rights and obligations under the continuation coverage provisions of COBRA.

An employee, the employee's spouse, or dependent child become Qualified Beneficiaries if they are covered under employer's group health plan prior to the occurrence of a Qualifying Event, which primarily include the following:

As to the employee

1. Termination of employment (for reasons other than gross misconduct).
2. Reduction of hours of a covered employee.

As to the spouse

1. Death of the covered employee.
2. Termination of employment (for reasons other than gross misconduct).
3. Divorce or legal separation of the covered employee from a spouse.
4. Entitlement of the covered employee for Medicare.
5. Reduction of hours of a covered employee.

As to the dependent child

1. Dependent ceases to be a "dependent child" or no longer eligible under the group health plan.

In such case, each Qualified Beneficiary would have the right to elect to choose continuation coverage between eighteen (18) and thirty-six (36) months, depending on the Qualifying Event. The employee, employee's spouse, or dependent children would each, as a qualified beneficiary have the option to select continuation of coverage for the eligible amount of time.

Both the University and its employees have a primary responsibility for notifying the group health plan administrator when a qualifying event occurs. The University must notify the plan administrator within thirty (30) days of a Qualifying Event, such events include but are not limited to termination, reduction in hours, death of the covered employee, and the covered employee's enrollment in Medicare. Covered employees or qualified beneficiaries must notify the plan administrator within sixty (60) days of a divorce, legal separation, or the date a child ceases to be a covered dependent under the plan. In fact, if the parties to a divorce or legal separation do not notify the group health plan administrator within sixty (60) days, the plan administrator's obligation to notify beneficiaries of their right to elect COBRA coverage may not be triggered.



Special notice requirements apply when a Qualified Beneficiary is found to be disabled under the Social Security Act. COBRA allows these disabled beneficiaries and their covered dependents to extend continuation coverage beyond the eighteen (18) month limit if they become disabled as of the date of a Qualifying Event or at any time during the first sixty (60) days of COBRA coverage. However, the Qualified Beneficiary or any covered dependent who wants to extend coverage beyond the eighteen (18) month period must notify the group health plan administrator before the end of the eighteen (18) month period and in the case of a disability, within sixty (60) days of receiving a determination of disability status from the Social Security Administration.

It is highly recommended that all notices required by COBRA be provided in writing.

To prevent a lapse in coverage, if COBRA is selected the premium must be paid within forty-five (45) days after the election and the beginning of each calendar month following. Failure to make payments to the University of Dubuque will result in termination of coverage.

For more information regarding COBRA rights and requirements, please contact the Office of Human Resources, or consult the U.S. Government, U.S. Department of Labor listing in your telephone directory for the office nearest you or call EBSA's Toll-Free Employee & Employer Hotline number at: 1-866-444-3272 and request a list of EBSA offices, or write to:

U.S. Department of Labor
Employee Benefits Security Administration
Division of Technical Assistance and Inquiries
200 Constitution Avenue NW, Suite N-5619
Washington, DC 20210

3-15. HEALTH INSURANCE PORTABILITY & ACCOUNTABILITY ACT (HIPAA) DISCLAIMER

In 2003, the federal government issued new requirements to protect individual/employee private health information, known as HIPAA. Your personal health information and that of your dependents is of utmost concern to the University; please understand that as a University, managers and/or supervisors are strictly limited in knowing any medical details and is protected under the HIPAA law and regulations. You should not discuss or provide personal health information to supervisors or managers unless the obligation to do so is confirmed by the Director of Human Resources. For that purpose, any health or medical issues, questions, or concerns, should only be directed to the Director of Human Resources as the designated HIPAA representative on behalf of University for assistance or to request or update leave of absence information.

3-16. ATHLETIC EVENTS

Employees and their immediate family (spouse and children) can generally attend on-campus University athletic events free of charge by showing their University ID.

3-17. RECREATION AND WELLNESS

Employees and their immediate family members may use the wellness facilities in the Chlapaty Recreation and Wellness Center subject to policies of that Center. Wellness Center policies, rates and operating hours are available at



<https://www.dbq.edu/campuslife/officeofstudentlife/studentactivities/campusrecreation/wellness/fitnesscenter/>



Section 4 - LEAVES OF ABSENCE

4-1. PERSONAL LEAVE

If employees are ineligible for any other University leave of absence, the University of Dubuque may, under certain circumstances and in the University's sole discretion, grant a personal leave of absence without pay. A written request for a personal leave must be presented to the Director of Human Resources at least two (2) weeks before the anticipated start of the leave. If the leave is requested for medical reasons and employees are not eligible for leave under the federal Family and Medical Leave Act (FMLA) or any state leave law, medical certification also must be submitted. The request will be considered on the basis of staffing requirements and the reasons for the requested leave, as well as performance and attendance records. Normally, a leave of absence will be granted for a period of up to eight (8) weeks. However, a personal leave may be extended if, prior to the end of leave, employees submit a written request for an extension to the Director of Human Resources and the request is granted. During the leave, employees will not earn vacation, personal days or sick days. University of Dubuque will continue health insurance coverage during the leave if employees submit their share of the monthly premium payments to the University in a timely manner, subject to the terms of the plan documents.

When the employees anticipate returning to work, they must notify the Director of Human Resources of the expected return date. This notification must be made at least one (1) week before the end of the leave.

Upon completion of the personal leave of absence, the University will attempt to return employees to their original job or a similar position, subject to prevailing business considerations. Reinstatement, however, is not guaranteed.

Failure to advise the Director of Human Resources of availability to return to work, failure to return to work when notified, or a continued absence from work beyond the time approved by the University will be considered a voluntary resignation of employment.

4-2. MILITARY LEAVE

The Uniformed Services Employment & Re-employment Act (USERRA) of 1994 provides protection to members of the uniformed services, including active military, Reservists, and National Guard. It also protects the rights of those making application to become members of the uniformed services. This policy is intended to conform to the terms of USERRA and shall be interpreted to accomplish that objective.

If employees are called into active military service or enlist in the uniformed services, they will be eligible to receive an unpaid military leave of absence. To be eligible for military leave, employees must provide the Director of Human Resources with advance notice of service obligations unless they are prevented from providing such notice by military necessity or it is otherwise impossible or unreasonable to provide such notice. Provided the absence does not exceed applicable statutory limitations, employees will retain reemployment rights and accrue seniority and benefits in accordance with applicable federal and state laws. Employees should ask the Director of Human Resources for further information about eligibility for Military Leave.



If employees are required to attend yearly Reserves or National Guard duty, they can apply for an unpaid temporary military leave of absence not to exceed the number of days allowed by law (including travel). They must give their supervisor as much advance notice of their need for military leave as possible so that the University of Dubuque can maintain proper coverage while employees are away.

Military leaves are unpaid leaves; however, an employee may voluntarily choose to apply eligible paid time off as part of the leave. Continuation of health insurance benefits is available, as required by USERRA, based on the length of the leave and subject to the terms, conditions, and limitations of the applicable plans for which the employee is otherwise eligible. You must make arrangements with the Office of Human Resources to pay premiums for your coverage in which you are already enrolled. Benefit accruals, such as vacation, sick leave, or holiday benefits, will be suspended during the leave and will resume upon the employee's return to active employment.

Employees on military leave including, but not limited to, leave related to an employee's duties as a reservist for the United States Armed Forces or any reserve component of the Iowa, Illinois, or Wisconsin State Militia, for less than 31 days are required to return to work for the first regularly scheduled shift after the end of service, allowing for 8 hours sleep and reasonable travel time. If the military leave was for less than 181 days but more than 30, the service member has 14 days to reapply. If the military leave was for more than 180 days, the service member has 90 days to reapply.

In the case of an injury or illness, USERRA gives up to two years (and in some cases longer) to recover before reapplying for the job. Under no circumstances may an employee's military leave exceed the length required by the applicable military services. Employees on military leave longer than 30 days must apply for reinstatement in accordance with USERRA and all applicable state laws.

Employees returning from military leave will be placed in the position they would have attained had they remained continuously employed or a comparable one depending on the length of military service in accordance with USERRA. They will be treated as though they were continuously employed for purposes of determining benefits based on length of service. Employees must provide advance notice of military leave. Notice must be in writing and submitted to the Director of Human Resources.

4-3. FAMILY AND MEDICAL LEAVE

Employees may be entitled to a leave of absence under the Family and Medical Leave Act (FMLA). This policy provides employees information concerning FMLA entitlements and obligations employees may have during such leaves. If employees have any questions concerning FMLA leave, they should contact the Director of Human Resources. This policy is intended to conform to the terms of FMLA and shall be interpreted to accomplish that objective.

Eligibility

FMLA leave is available to "eligible employees." To be an "eligible employee," the employee must:

- 1) have been employed by the University for at least 12 calendar months (which need not be consecutive);
- 2) have been employed by the University for at least 1,250 hours of service during the 12-calendar month period immediately preceding the commencement of the leave; and



- 3) be employed at a worksite where 50 or more employees are located within 75 miles of the worksite.

Entitlements

As described below, the FMLA provides eligible employees with a right to leave, health insurance benefits and, with some limited exceptions, job restoration.

Basic FMLA Leave Entitlement

The FMLA provides eligible employees up to 12 work weeks of unpaid leave for certain family and medical reasons during a 12-month period. The 12-month period is determined based on a 12-month period measured forward from the start date of the employee's first FMLA leave with a "month" meaning a full calendar month. Leave may be taken for any one, or for a combination, of the following reasons:

- To care for the employee's child after birth or placement for adoption or foster care;
- To care for the employee's spouse, son, daughter, or parent (but not in-law) who has a serious health condition;
- For the employee's own serious health condition (including any period of incapacity due to pregnancy, prenatal medical care, or childbirth) that makes the employee unable to perform one or more of the essential functions of the employee's job; and/or
- Because of any qualifying exigency arising out of the fact that the employee's spouse, son, daughter, or parent is a military member on covered active duty or called to covered active-duty status (or has been notified of an impending call or order to covered active duty) in the Reserves component of the Armed Forces for deployment to a foreign country in support of contingency operation or Regular Armed Forces for deployment to a foreign country.
- A serious health condition is an illness, injury, impairment or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents employees from performing the functions of their job or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, caring for the parents of the military member on covered active duty and attending post-deployment reintroduction briefings.

Additional Military Family Leave Entitlement (Injured Service Member Leave)

In addition to the basic FMLA leave entitlement discussed above, an eligible employee who is the spouse, son, daughter, parent or next of kin of a covered service member is entitled to take up to 26 weeks of leave during a single 12-month period to care for the service member with a serious injury or illness. Leave to care for a service member shall only be available during a single-12-month period and, when combined with other FMLA-qualifying leave, may not exceed 26 weeks during the single



12-month period. The single 12-month period begins on the first day an eligible employee takes leave to care for the injured service member.

A "covered service member" is a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status or is on the temporary retired list, for a serious injury or illness. These individuals are referred to in this policy as "current members of the Armed Forces." Covered service members also include a veteran who is discharged or released from military services under condition other than dishonorable at any time during the five years preceding the date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation or therapy for a serious injury or illness. These individuals are referred to in this policy as "covered veterans."

The FMLA definitions of a "serious injury or illness" for current Armed Forces members and covered veterans are distinct from the FMLA definition of "serious health condition" applicable to FMLA leave to care for a covered family member.

Intermittent Leave and Reduced Leave Schedules

FMLA leave usually will be taken for a period of consecutive days, weeks, or months. However, employees also are entitled to take FMLA leave intermittently or on a reduced leave schedule when medically necessary due to a serious health condition of the employee or covered family member or the serious injury or illness of a covered service member. Qualifying exigency leave also may be taken on an intermittent basis. When leave is needed for planned medical treatment, employees must make a reasonable effort to schedule treatment so as not to unduly disrupt the University's operations.

No Work While on Leave

The taking of another job while on family/medical leave or any other authorized leave of absence is grounds for immediate termination, to the extent permitted by law.

Protection of Group Health Insurance Benefits

During FMLA leave, eligible employees are entitled to receive group health plan coverage on the same terms and conditions as if they had continued to work.

Restoration of Employment and Benefits

At the end of FMLA leave, subject to some exceptions including situations where job restoration of "key employees" will cause the University substantial and grievous economic injury, employees generally have a right to return to the same or equivalent positions with equivalent pay, benefits, and other employment terms. The University will notify employees if they qualify as "key employees," if it intends to deny reinstatement, and of their rights in such instances. Use of FMLA leave will not result in the loss of any employment benefit that accrued prior to the start of an eligible employee's FMLA leave.

Notice of Eligibility for, and Designation of, FMLA Leave

Employees requesting FMLA leave are entitled to receive written notice from the University telling them whether they are eligible for FMLA leave and, if not eligible, the reasons why they are not



eligible. When eligible for FMLA leave, employees are entitled to receive written notice of 1) their rights and responsibilities in connection with such leave; 2) University's designation of leave as FMLA-qualifying or non-qualifying, and if not FMLA-qualifying, the reasons why; and 3) the amount of leave, if known, that will be counted against the employee's leave entitlement.

The University may retroactively designate leave as FMLA leave with appropriate written notice to employees provided the University's failure to designate leave as FMLA-qualifying at an earlier date did not cause harm or injury to the employee. In all cases where leaves qualify for FMLA protection, the University and employee can mutually agree that leave be retroactively designated as FMLA leave.

Employee FMLA Leave Obligations

Provide Notice of the Need for Leave

Employees who take FMLA leave must timely notify the University of their need for FMLA leave. An employee must provide the University thirty (30) days advance notice, when possible, on a form to be supplied by the Office of Human Resources. When the need for leave is foreseeable less than thirty (30) days in advance or is unforeseeable, employees must provide notice as soon as possible and practicable under the circumstances. The following describes the content and timing of such employee notices.

Content of Employee Notice

To trigger FMLA leave protections, employees must inform the Director of Human Resources of the need for FMLA-qualifying leave and the anticipated timing and duration of the leave, if known. Employees may do this by either requesting FMLA leave specifically or explaining the reasons for leave so as to allow the University to determine that the leave is FMLA-qualifying. For example, employees might explain that:

- a medical condition renders them unable to perform the functions of their job;
- they are pregnant or have been hospitalized overnight;
- they or a covered family member are under the continuing care of a health care provider;
- the leave is due to a qualifying exigency caused by a military member being on covered active duty or called to covered active-duty status to a foreign country; or
- if the leave is for a family member, that the condition renders the family member unable to perform daily activities or that the family member is a covered service member with a serious injury or illness.

Calling in "sick," without providing the reasons for the needed leave, will not be considered sufficient notice for FMLA leave under this policy. Employees must respond to the University's questions to determine if absences are potentially FMLA-qualifying.

If employees fail to explain the reasons for FMLA leave, the leave may be denied. When employees seek leave due to FMLA-qualifying reasons for which the University has previously provided FMLA-protected leave, they must specifically reference the qualifying reason for the leave or the need for FMLA leave.

Timing of Employee Notice

Employees must provide 30 days' advance notice of the need to take FMLA leave when the need is



foreseeable. When 30 days' notice is not possible, or the approximate timing of the need for leave is not foreseeable, employees must provide the University notice of the need for leave as soon as practicable under the facts and circumstances of the particular case. Employees who fail to give 30 days' notice for foreseeable leave without a reasonable excuse for the delay, or otherwise fail to satisfy FMLA notice obligations, may have FMLA leave delayed or denied.

Cooperate in the Scheduling of Planned Medical Treatment (Including Accepting Transfers to Alternative Positions) and Intermittent Leave or Reduced Leave Schedules

When planning medical treatment, employees must consult with the University and make a reasonable effort to schedule treatment so as not to unduly disrupt the University's operations, subject to the approval of the employee's health care provider. Employees must consult with the University prior to the scheduling of treatment to work out a treatment schedule that best suits the needs of both the University and the employees, subject to the approval of the employee's health care provider. If employees providing notice of the need to take FMLA leave on an intermittent basis for planned medical treatment neglect to fulfill this obligation, the University may require employees to attempt to make such arrangements, subject to the approval of the employee's health care provider.

When employees take intermittent or reduced work schedule leave for foreseeable planned medical treatment for the employee or a family member, including during a period of recovery from a serious health condition or to care for a covered service member, the University may temporarily transfer employees, during the period that the intermittent or reduced leave schedules are required, to alternative positions with equivalent pay and benefits for which the employees are qualified and which better accommodate recurring periods of leave.

When employees seek intermittent leave or a reduced leave schedule for reasons unrelated to the planning of medical treatment, upon request, employees must advise the University of the reason why such leave is medically necessary. In such instances, the University and employee shall attempt to work out a leave schedule that meets the employee's needs without unduly disrupting the University's operations, subject to the approval of the employee's health care provider.

Submit Medical Certifications Supporting Need for FMLA Leave (Unrelated to Requests for Military Family Leave)

Depending on the nature of FMLA leave sought, employees may be required to submit medical certifications supporting their need for FMLA-qualifying leave. As described below, there generally are three types of FMLA medical certifications: an initial certification, a recertification, and a return to work/fitness for duty certification.

It is the employee's responsibility to provide the University with timely, complete, and sufficient medical certifications. Whenever the University requests employees to provide FMLA medical certifications, employees must provide the requested certifications within 15 calendar days after the University's request, unless it is not practicable to do so despite the employee's diligent, good faith efforts. The University will inform employees if submitted medical certifications are incomplete or insufficient and provide employees at least seven calendar days to cure deficiencies. The University will deny FMLA leave to employees who fail to timely cure deficiencies or otherwise fail to timely submit requested medical certifications.

With the employee's permission, the University (through individuals other than the employee's direct supervisor) may contact the employee's health care provider to authenticate or clarify completed and



sufficient medical certifications. If employees choose not to provide the University with authorization allowing it to clarify or authenticate certifications with health care providers, the University may deny FMLA leave if certifications are unclear.

Whenever the University deems it appropriate to do so, it may waive its right to receive timely, complete and/or sufficient FMLA medical certifications.

Initial Medical Certifications

Employees requesting leave because of their own, or a covered relation's, serious health condition, or to care for a covered service member, must supply medical certification supporting the need for such leave from their health care provider or, if applicable, the health care provider of their covered family or service member. If employees provide at least 30 days' notice of medical leave, they must submit the medical certification before leave begins. A new initial medical certification will be required on an annual basis for serious medical conditions lasting beyond a single leave year.

If the University has reason to doubt initial medical certifications, it may require employees to obtain a second opinion at the University's expense. If the opinions of the initial and second health care providers differ, the University may, at its expense, require employees to obtain a third, final and binding certification from a health care provider designated or approved jointly by the University and the employee.

Medical Recertifications

Depending on the circumstances and duration of FMLA leave, the University may require employees to provide recertification of medical conditions giving rise to the need for leave. The University will notify employees if recertification is required and will give employees at least 15 calendar days to provide medical recertification.

Return to Work/Fitness for Duty Medical Certifications

Unless notified that providing such certifications is not necessary, employees returning to work from FMLA leaves that were taken because of their own serious health conditions that made them unable to perform their jobs must provide the University with medical certification confirming they are able to return to work and the employees' ability to perform the essential functions of the employees' position, with or without reasonable accommodation. The University may delay and/or deny job restoration until employees provide return to work/fitness for duty certifications.

Submit Certifications Supporting Need for Military Family Leave

Upon request, the first instance an employee seeks a leave due to qualifying exigencies arising out of the covered active duty or call to covered active-duty status of a military member, the University may require the employee to provide:

- 1) a copy of the military member's active-duty orders or other documentation issued by the military indicating the military member is on covered active duty or call to covered active-duty status and the dates of the military member's covered active-duty service; and
- 2) a certification from the employee setting forth information concerning the nature of the qualifying exigency for which leave is requested. Employees shall provide a copy of new active-duty orders or other documentation issued by the military for leaves arising out of qualifying exigencies arising out of a different covered active duty or call to covered active-



duty status of the same or a different military member.

When leave is taken to care for a covered service member with a serious injury or illness, the University may require employees to obtain certifications completed by an authorized health care provider of the covered service member. In addition, and in accordance with the FMLA regulations, the University may request that the certification submitted by employees set forth additional information provided by the employee and/or the covered service member confirming entitlement to such leave.

Substitute Paid Leave for Unpaid FMLA Leave

Employees must use any accrued paid time while taking unpaid FMLA leave.

The substitution of paid time for unpaid FMLA leave time does not extend the length of FMLA leave and the paid time will run concurrently with the employee's FMLA entitlement.

Leaves of absence taken in connection with a disability leave plan or workers' compensation injury/illness shall run concurrently with any FMLA leave entitlement. Upon written request, the University will allow employees to use accrued paid time to supplement any paid disability benefits.

Pay Employee's Share of Health Insurance Premiums

During FMLA leave, employees are entitled to continued group health plan coverage under the same conditions as if they had continued to work. Unless the University notifies employees of other arrangements, whenever employees are receiving pay from the University during FMLA leave, the University will deduct the employee portion of the group health plan premium from the employee's paycheck in the same manner as if the employee was actively working.

If FMLA leave is unpaid, employees must pay their portion of the group health premium through a method determined by the University upon leave.

Questions and/or Complaints about FMLA Leave

If you have questions regarding this FMLA policy, please contact the Director of Human Resources. The University is committed to complying with the FMLA and, whenever necessary, shall interpret and apply this policy in a manner consistent with the FMLA.

The FMLA makes it unlawful for employers to:

- 1) interfere with, restrain, or deny the exercise of any right provided under FMLA; or
- 2) terminate or discriminate against any person for opposing any practice made unlawful by FMLA or involvement in any proceeding under or relating to FMLA.

If employees believe their FMLA rights have been violated, they should contact the Director of Human Resources immediately. The University will investigate any FMLA complaints and take prompt and appropriate remedial action to address and/or remedy any FMLA violation. Employees also may file FMLA complaints with the United States Department of Labor or may bring private lawsuits alleging FMLA violations.

Coordination of FMLA Leave with Other Leave Policies

The FMLA does not affect any federal, state, or local law prohibiting discrimination, or supersede any State or local law that provides greater family or medical leave rights. For additional information



concerning leave entitlements and obligations that might arise when FMLA leave is either not available or exhausted, please consult the University's other leave policies in this handbook or contact the Director of Human Resources.



Section 5 - GENERAL STANDARDS OF CONDUCT

5-1. WORKPLACE CONDUCT

The University of Dubuque endeavors to maintain a positive work environment. Each employee plays a role in fostering this environment. Accordingly, we all must abide by certain rules of conduct, based on honesty, common sense, and fair play.

Because everyone may not have the same idea about proper workplace conduct, it is helpful to adopt and enforce rules all can follow. Unacceptable conduct may subject the offender to disciplinary action, up to and including termination, in the University's sole discretion. The following are examples of some, but not all, conduct which can be considered unacceptable:

1. Obtaining employment on the basis of false or misleading information.
2. Possession of weapons on University premises at any time.
3. Fighting on the premises at any time.
4. Stealing, removing, or defacing the University of Dubuque property or a co-worker's property, and/or disclosure of confidential information.
5. Completing another employee's time records.
6. Violation of safety rules and policies.
7. Violation of the University of Dubuque's Drug and Alcohol-Free Workplace Policy.
8. Fighting, threatening, or disrupting the work of others or other violations of the University of Dubuque's Workplace Violence Policy.
9. Violation of the Punctuality and Attendance Policy, including but not limited to irregular attendance, habitual lateness, or unexcused absences.
10. Gambling on University property.
11. Willful or careless destruction or damage to University assets or to the equipment or possessions of another employee.
12. Wasting work materials.
13. Performing work of a personal nature during working time.
14. Violation of the University of Dubuque's Harassment or Equal Employment Opportunity Policies.
15. Unsatisfactory job performance.
16. Theft or misappropriation of University funds or property, or the funds or property of employees, students, or guests of the University.
17. Scanning the timecard of another employee or having another employee scan your timecard, unless expressly authorized to do so by a department manager or supervisor, such authorization may be for only a single instance and may not be given or interpreted to apply on an ongoing basis.
18. Refusal or failure to perform your job assignment, failure to perform your work and follow lawful instructions of a supervisor.
19. Failure to report an accident resulting in a worker's compensable personal injury during working hours.
20. Inappropriate use of social media.
21. Disregard of safety rules or commonly accepted safety practices.
22. Posting, distribution or removal of notices, signs, or written material on University property at any time without specific approval from the Office of Human Resources is prohibited.
23. Abusive language to any employee, supervisor, manager, visitor, student, etc.



24. Smoking on University property and smoking other than during specified break or lunch periods.
25. Unauthorized disclosure of confidential information or information protected under the Family Educational Rights and Privacy Act (FERPA).
26. Unauthorized operation of machines, tools, or equipment or University vehicles.
27. Failure to clock out when leaving the University property during lunch break, failure to be at your assigned work area when the shift starts or overstaying or abusing prescribed break periods or other authorized periods of absence.
28. Violation of the Non-Discrimination, Anti-Harassment and Retaliation Policies in this handbook.
29. Any other violation of the University of Dubuque policy.

All works used in the foregoing list are subject to definition, interpretation, and application by the University in its sole discretion.

Obviously, not every type of misconduct can be listed. Note that all employees are employed at-will, and the University of Dubuque reserves the right to impose whatever discipline it chooses, or none at all, in a particular instance. The University will deal with each situation individually and nothing in this Handbook should be construed as a promise of specific treatment in a given situation.

However, the University of Dubuque will endeavor to utilize progressive discipline but reserves the right, in its sole discretion, to terminate the employee at any time for any reason.

The observance of these rules will help to ensure that our workplace remains a safe and desirable place to work.

5-2. PUNCTUALITY AND ATTENDANCE

Employees are hired to perform important functions at the University of Dubuque. As with any group effort, operating effectively takes cooperation and commitment from everyone. Therefore, attendance and punctuality are especially important. Unnecessary absences and lateness are expensive, disruptive and place an unfair burden on fellow employees and Supervisors. We require excellent attendance from all employees. Excessive absenteeism or tardiness will result in disciplinary action up to and including termination.

We do recognize, however, there are times when absences and tardiness cannot be avoided. In such cases, employees are required to notify Supervisors as early as possible, but no later than thirty (30) minutes after the employee's start of their workday for an absence, or before the start of the employee's workday, for tardiness. Employees must call, stating the nature of the illness and its expected duration, for every day of absenteeism.

Unreported absences of three (3) consecutive workdays generally will be considered a voluntary resignation of employment with the University.

Excused Absence

An excused absence occurs when all four of the following conditions are met:

1. the employee provides sufficient notice (see below) and justification to his or her supervisor,
2. the justification provided by the employee is found to be credible and acceptable by the employee's supervisor,



3. the absence request is approved by the employee's supervisor, and
4. the employee has sufficient accrued paid vacation or sick leave, as applicable, to accommodate the absence, or the supervisor approves an exception when sufficient accrued paid vacation or sick leave is not available and it is unpaid.

Sufficient notice for an excused absence is:

- For a scheduled absence, it is preferred employees give one (1) calendar week (7 days).
- For a scheduled absence of a partial shift/workday, employees must give a notice of no less than (2) working days.
- For an unscheduled absence, employees must give notice no later than thirty (30) minutes after the employee's start of their workday.

An employee's supervisor must approve any exceptions to this provision or any conflicts in scheduling (e.g., an emergency or other extenuating circumstances). No Supervisor may approve an employee's absence to accommodate any activity resembling vacation or personal time if the employee has insufficient accrued vacation, except as specifically permitted under Section 4 - Leaves of Absence. Under no circumstances may a supervisor allow an employee to use accrued sick leave to excuse absence from work due to activity that resembles vacation, personal or other leave of absence from work other than absence due to illness, except as specifically permitted under Section 4 - Leaves of Absence. Any supervisor that believes an employee has abused the excused absence or leave policies by claiming illness to secure an excused absence, or any other abuse of such policies, may demand proof of such claim as a condition for consideration and approval of such absence (e.g., doctor's note, etc.).

Employees must take accrued paid vacation or sick leave for every absence unless otherwise allowed by University policy (e.g., Bereavement Leave, Jury Duty, Holiday, etc.) or Supervisor exception.

Unexcused Absence

An unexcused absence occurs when any one or more of the four conditions in the excused absence procedure defined in this section is not met, as determined by the University. Unexcused absence or persistent tardiness will result in disciplinary action, up to and including termination.

5-3. USE OF COMMUNICATIONS AND COMPUTER SYSTEMS

The University of Dubuque's communication and computer systems are intended primarily for business purposes, however limited personal usage is permitted if it does not hinder performance of job duties or violate any other University policy. This includes the voice mail, e-mail, and Internet systems. However, users have no rights of privacy in regard to their use of the University of Dubuque systems and all use is subject to review and intervention by the University.

The University of Dubuque may access the voicemail and e-mail systems and obtain the communications within the systems, including past voicemail and e-mail messages, without notice to users of the system, in the ordinary course of business when the University deems it appropriate to do so. The reasons for which the University may obtain such access include but are not limited to maintaining the system; preventing or investigating allegations of system abuse or misuse; assuring compliance with software copyright laws; complying with legal and regulatory requests for information; and ensuring that University operations continue appropriately during the employee's



absence.

Further, the University of Dubuque may review Internet usage to ensure that such use with University property, or communications sent via the Internet with University property, are appropriate. The reasons for which the University may review employees' use of the Internet with University property include but are not limited to maintaining the system; preventing or investigating allegations of system abuse or misuse; assuring compliance with software copyright laws; complying with legal and regulatory requests for information; and ensuring that University operations continue appropriately during the employee's absence.

The University may store electronic communications for a period of time after the communication is created. From time to time, copies of communications may be deleted in the discretion of the University.

The University's policies prohibiting harassment, in their entirety, apply to the use of University's communication and computer systems. No one may use any communication or computer system in a manner that may be construed by others as harassing or offensive based on race, national origin, sex, sexual orientation, age, disability, religious beliefs, or any other characteristic protected by federal, state, or local law.

Further, since the University's communication and computer systems are intended for business use, all employees, upon request, must inform their supervisor of any private access codes or passwords. Unauthorized duplication of copyrighted computer software violates the law and is strictly prohibited. No employee may access, or attempt to obtain access to, another employee's computer systems without appropriate authorization.

The University of Dubuque Computer System is not a public forum and cannot be used for indiscriminate use. Use of the campus network (and all electronic components under the auspice of the Office of Technology, including voicemail) must be consistent with the Mission, Values, and Vision of the University. Any activity that does not reflect the University Mission will be considered a violation of this policy and can result in restricted or eliminated access to the computer system. Examples of activities that are not permitted are:

- Commercial Use – No employee can use the University of Dubuque Computer System, or other equipment to offer or provide products or services unless approved by the University Administrative Cabinet. Purchasing products and services via the campus system is at risk of the user. The University of Dubuque is not responsible for financial obligations from unauthorized use of the system by anyone.
- Political Lobbying – Although everyone is allowed to express opinions and analyze measures regarding legislative matters, using the University of Dubuque Computer System, or other equipment to engage in fund raising or other political lobbying must first be approved by a Vice President, or the University Administrative Cabinet. It is acceptable to use the Computer System to communicate opinions to elected officials via the Internet.
- Inappropriate Use
 - Criminal speech and/or speech or use, in the course of committing a crime—e.g., threats to persons, instructions on breaking into computer systems; child pornography; drug dealing; gang activity, etc.
 - Speech, or use, that is inappropriate:



- Inappropriate language, video, or graphics – obscene, profane, lewd, vulgar, disrespectful, threatening, or inflammatory language; harassment; personal attacks, including prejudicial or discriminatory attacks; or false or defamatory material about a person or organization.
- Dangerous information – information that if acted upon, could cause damage, or present a danger of educational or business operation disruption.
- Violations of privacy – revealing personal information about others.
- Abuse of resources – chain letters, “spamming,” jokes or other such mail. (Spamming is sending an annoying or unnecessary message to a large number of people)
- Sending messages for the purpose of selling goods or soliciting responses for goods or services. (This excludes sales announcements by administrative/academic departments and University related groups.)
- Copyright infringement or plagiarism.
- Pornographic material – electronic and print material which, by their design, are salacious, lascivious, lecherous, lustful, or demeaning to humans in their portrayal of aberrant sexual behavior.
- It is unacceptable to distribute a computer virus or engage in any procedure that interferes with the normal operation and delivery of services over the network.

Violators of this policy may be subject to disciplinary action, up to and including termination.

5-4. USE OF SOCIAL MEDIA

The University of Dubuque respects the right of any employee to maintain a blog or web page or to participate in social networking, such as Twitter, Facebook and other sites. However, to protect University interests and ensure employees focus on their job duties, employees must adhere to the following rules:

Employees may not post on a blog or web page or participate on a social networking platform, such as Twitter or similar site, during work time or at any time with University equipment or property.

All rules regarding confidential and proprietary business information apply in full to blogs, web pages and social networking platforms, such as Twitter, Facebook, LinkedIn, or similar sites. Any information that cannot be disclosed through a conversation, a note or an e-mail also cannot be disclosed in a blog, web page or social networking site.

Whether the employees are posting something on their own blog, web page, social networking, Twitter, or similar site or on someone else's, if the employee mentions the University and also expresses either a political opinion or an opinion regarding the University's actions that could pose an actual or potential conflict of interest with the University, the poster must include a disclaimer. The poster should specifically state that the opinion expressed is his/her personal opinion and not the University's position. This is necessary to preserve the University's good will in the marketplace.

Any conduct that is impermissible under the law if expressed in any other form or forum is impermissible if expressed through a blog, web page, social networking, Twitter, or similar site. For example, posted material that is discriminatory, obscene, defamatory, libelous, or violent is forbidden. University policies apply equally to employee social media usage.



The University of Dubuque encourages all employees to keep in mind the speed and manner in which information posted on a blog, web page, and/or social networking site is received and often misunderstood by readers. Employees must get approval from University relations before creating any social media sites for their departments. Employees must use their best judgment. Employees with any questions should review the guidelines above and/or consult with their manager. Failure to follow these guidelines may result in discipline, up to and including termination.

5-5. UNIVERSITY-ISSUED PROPERTY

Employees are required to maintain all University-issued property, including computers, cell phones, tools, equipment, uniforms, etc., in good condition and are accountable for University property in their possession. Failure to maintain University property in good condition may result in disciplinary action. Any sale, disposal or trade of University property must be approved by the Vice President of Finance.

When driving University vehicles or rental vehicles, you must abide by all laws and regulations.

University property of any kind must promptly be returned by an employee to her/his immediate supervisor or the Director of Human Resources upon termination of employment.

5-6. TECHNOLOGY

University technology resources are to be used to advance the University's Mission and in accordance with University Values. Employees and contracted parties may use these resources for purposes related to their studies or research, their teaching, the execution of their duties as University employees, their official business with or for the University, or other University-sanctioned activities. The University encourages the use of technology resources for these primary activities. These resources include, but are not limited to, hardware (including telephones, computers, and traditional media equipment) either owned or leased by the University, software, and consulting time (and expertise) of the staff of the Office of Technology or other University technology support staff. Unless approved in advance by the VP of Finance, non-faculty employee use of University technology resources for commercial purposes is prohibited.

The use of technology resources provided by the University for purposes not directly related to the primary activities indicated in the previous paragraph should be considered as secondary activities (i.e., personal or otherwise.) Should such secondary activities in any way interfere with primary activities, they may be terminated immediately.

Many of the University's technology resources are shared amongst the entire University community. The use of these may not violate law or the rights of others. Prohibited activities include, but are not limited to:

1. Activities that violate copyright or other intellectual property rights of others.
2. Activities that obstruct usage or deny access to technology resources.
3. Activities that could be considered as harassing, libelous or obscene.
4. Activities that violate the University of Dubuque policies.
5. Activities that violate local, state, or federal laws.
6. Unauthorized use of computer accounts.
7. Impersonating other individuals.
8. Attempts to explore or exploit security provisions, either at the University or elsewhere.



9. Activities that invade the right to privacy of others.
10. Destruction or alteration of data belonging to others.
11. Creating, using, or distributing computer viruses.
12. Allowing other individuals to use your account/password.
13. Disruption or unauthorized monitoring of electronic communications or of computer accounts.
14. Academic dishonesty (e.g., plagiarism, cheating).
15. Inappropriate and/or widespread distribution of electronic communications (e.g., "spamming").
16. Illegal file sharing.

Additionally, individuals may wish to use University-wide information systems including, but not limited to, the internet, intranet, and e-mail. Any person providing information through these resources or via connections to the data or telecommunications infrastructure must also abide by the general policy statements herein. These policy statements apply to information made available actively, as in e-mail, as well as passively, as on the internet. For further information, refer to the institution's computer use agreement or contact the IT department.

5-7. INSPECTIONS

The University of Dubuque reserves the right to require employees while on University property, or on client property, to agree to the inspection of their persons, personal possessions and property, personal vehicles parked on University or client property, and work areas. This includes lockers, vehicles, desks, cabinets, workstations, packages, handbags, briefcases and other personal possessions or places of concealment, as well as personal mail sent to the University or to its clients. Employees are required to cooperate in the conduct of any search or inspection.

5-8. SMOKING

Smoking, including the use of e-cigarettes vaping and any other use of tobacco or inhalant products for personal pleasure is prohibited on University premises and in all University vehicles.

5-9. PERSONAL VISITS AND TELEPHONE CALLS

Disruptions during work time can lead to errors and delays. Therefore, personal telephone calls must be kept to a minimum, and only be made or received after working time, or during lunch or break time.

For safety and security reasons, employees are prohibited from having personal guests visit or accompanying them anywhere in the University of Dubuque facilities other than the reception areas.

5-10. SOLICITATION AND DISTRIBUTION

To avoid distractions, solicitation by the employee of another employee is prohibited while either employee is on work time. "Work time" is defined as the time the employee is engaged, or should be engaged, in performing his/her work tasks for the University of Dubuque. Solicitation of any kind by non-employees on University premises is prohibited at all times.

Distribution of advertising material, handbills, printed or written literature of any kind in working areas of the University is prohibited at all times. Distribution of literature by non-employees on University premises is prohibited at all times.



5-11. BULLETIN BOARDS

Important notices and items of general interest are continually posted on the University of Dubuque bulletin boards. Employees should make it a practice to review bulletin boards frequently. This will assist employees in keeping up with what is current at the University of Dubuque. To avoid confusion, employees should not post or remove any material from the bulletin board.

5-12. CONFIDENTIAL UNIVERSITY INFORMATION

During the course of work, employees may become aware of confidential information about the University of Dubuque's business, including but not limited to information regarding University finances, pricing, products and new product development, software and computer programs, marketing strategies, suppliers and customers and potential customers. Employees also may become aware of similar confidential information belonging to the University's clients. It is extremely important that all such information remain confidential, and particularly not be disclosed to the University of Dubuque's competitors. Any employee who improperly copies, removes (whether physically or electronically), uses, or discloses confidential information to anyone outside of the University may be subject to disciplinary action up to and including termination. Employees may be required to sign an agreement reiterating these obligations.

5-13. CONFLICT OF INTEREST AND BUSINESS ETHICS

It is the University of Dubuque's policy that all employees avoid any conflict between their personal interests and those of the University. The purpose of this policy is to ensure that the University's honesty and integrity, and therefore its reputation, are not compromised. The fundamental principle guiding this policy is that no employee should have, or appear to have, personal interests or relationships that actually or potentially conflict with the best interests of the University.

It is not possible to give an exhaustive list of situations that might involve violations of this policy. However, the situations that would constitute a conflict in most cases include but are not limited to:

1. holding an interest in or accepting free or discounted goods from any organization that does, or is seeking to do, business with the University, by any employee who is in a position to directly or indirectly influence either the University's decision to do business, or the terms upon which business would be done with such organization;
2. holding any interest in an organization that competes with the University;
3. being employed by (including as a consultant) or serving on the board of any organization which does, or is seeking to do, business with the University or which competes with the University; and/or
4. profiting personally, e.g., through commissions, loans, expense reimbursements or other payments, from any organization seeking to do business with the University.

A conflict of interest would also exist when a member of the employee's immediate family is involved in situations such as those above.

This policy is not intended to prohibit the acceptance of modest courtesies, openly given, and accepted as part of the usual business amenities, for example, occasional business-related meals or promotional items of nominal or minor value.



It is the employee's responsibility to report any actual or potential conflict that may exist between the employee (and the employee's immediate family) and the University.

5-14. USE OF FACILITIES, EQUIPMENT AND PROPERTY, INCLUDING INTELLECTUAL PROPERTY

Equipment essential in accomplishing job duties is often expensive and may be difficult to replace. When using property, employees are required to exercise care, perform required maintenance, and follow all operating instructions, safety standards and guidelines.

Employees must notify their supervisor if any equipment, machines, or tools appear to be damaged, defective or in need of repair. Prompt reporting of loss, damages, defects, and the need for repairs could prevent deterioration of equipment and possible injury to employees or others.

Supervisors can answer any questions about the employees' responsibility for maintenance and care of equipment used on the job.

Employees also are prohibited from any unauthorized use of the University's intellectual property, such as audio and video tapes, print materials and software.

Employees must have approval for the use of University facilities and equipment for their own personal use.

Improper, careless, negligent, destructive, or unsafe use or operation of equipment can result in discipline, up to and including termination.

Further, the University is not responsible for any damage to employees' personal belongings unless the employee's supervisor provided advance approval for the employee to bring the personal property to work.

5-15. HEALTH AND SAFETY

The health and safety of employees and others on University property are of critical concern to the University of Dubuque. The University intends to comply with all health and safety laws applicable to our business. To this end, we must rely upon employees to ensure that work areas are kept safe and free of hazardous conditions. Employees are required to be conscientious about workplace safety, including proper operating methods, and recognize dangerous conditions or hazards. Any unsafe conditions or potential hazards must be reported to their supervisor immediately, even if the problem appears to be corrected. Any suspicion of a concealed danger present on the University's premises, or in a product, facility, piece of equipment, process, or business practice for which the University is responsible must be brought to the attention of their supervisor immediately.

Periodically, the University may issue rules and guidelines governing workplace safety and health. The University may also issue rules and guidelines regarding the handling and disposal of hazardous substances and waste. All employees should familiarize themselves with these rules and guidelines, as strict compliance will be expected.

Any workplace injury, accident, or illness must be reported to the employee's supervisor as soon as



possible, regardless of the severity of the injury or accident. Supervisors will complete the documents and notify HR to complete the investigation

The following principles serve as the University's foundation of safety:

- The majority of incidents and injuries can be prevented.
- Incidents and unsafe conditions are usually caused by unsafe acts.
- Working safely is an employee's primary role and responsibility.
- Working safely is a condition of your employment.
- Achieving our safety goal requires that we build a safety system that goes beyond minimum requirements.

Everyone's responsibility is to:

- Report all work-related injuries the day of the injury or as soon as possible even if the injury does not appear serious enough to justify consulting a doctor.
- Work safely at all times.
- Make safe decisions.
- Watch out for the safety of others.
- Recognize, prevent and/or address unsafe behaviors or conditions and contact department supervisors to assist with remediation.
- Abide by University and department safety policies, procedures, and requirements.

Emergency Evacuation

The University's emergency evacuation procedures include tornado, fire, or other evacuation needs. The University conducts periodic training programs and mock drills for all employees.

Hazard Communication –MSDS

The University's Hazard Communication Program provides a procedure for informing employees of any known potential chemical hazards in their work area. Material Safety Data Sheets (MSDS) are available in the maintenance department, in the University Science Center outside main office, or by contacting your immediate supervisor.

Incident & Unsafe Condition Reporting

Any unsafe condition or incident resulting in injury or near injury must be reported to department heads or security immediately to ensure first aid or other medical treatment is provided and prevent another incident from occurring.

Personal Protective Equipment (PPE)

Details about PPE requirements will be explained to employees during training and is identified in the Job Safety Analysis (JSA) for specific tasks. Employees should consult their supervisors for additional information.

Safety Rules

Employees are required to abide by the following general safety rules; however, these are not all inclusive of every safety policy or procedure within our University:



- University vehicles and trucks may never be driven over posted speed limits.
- Personal protective equipment (PPE) must be worn at all times where required.
- Materials or other obstructions are not to be placed in front of electrical panels & controls, exits, doors, stairs, walkways, or other areas that may result in tripping or other safety hazard.
- Emergency exits must always be accessible and free from obstructions.
- Removal of cautionary, warning, danger or other tags, locks, warnings or informational signage on any machinery or equipment on campus by unauthorized personnel is prohibited.
- Employees must report malfunctioning equipment to their immediate supervisor.
- Electrical repairs are to be performed by qualified personnel only.

Incident Reporting

The University of Dubuque is committed to providing a safe campus. To assure this the University has a confidential third-party reporting service. Its purpose is to provide a convenient tool to anonymously and confidentially report activities that may represent criminal, unethical or otherwise inappropriate behavior in violation of college University policies. Reports may be made 24/7 to Anonymous Hotline 833-290-0001 or www.lighthouse-services.com/dbq

Duty to Report Child Abuse

The University of Dubuque provides meaningful educational opportunities for people of all ages. The University understands the importance of a safe environment for children. One aspect of a safe environment is the proper reporting of potential issues. The purpose of this policy is to outline the responsibility of University employees for reporting suspected child abuse.

Consistent with Iowa Code all University employees who in the course of employment receive information related to physical or sexual abuse of children must immediately report such information to Campus Safety and Security 563-589-3333.

Any student or visitor who suspects physical or sexual abuse of a child on campus or relating to a University program or activity should provide a report to Campus Safety and Security 563-589-3333. In the case of incidents not on the University of Dubuque campus, local police authorities should be called in order to avoid any delay in response.

There should be no retaliation against a person who makes a good faith report of physical or sexual abuse of a child under this policy. More information on the University of Dubuque's policy, please go to Appendix D.

5-16. HIRING RELATIVES/EMPLOYEE RELATIONSHIPS

A familial relationship among employees can create an actual or at least a potential conflict of interest in the employment setting, especially where one relative supervises another relative. To avoid this problem, the University prohibits the employment of relatives in positions when the same administrative or one relative participates in making recommendations or decisions affecting the appointment, retention, tenure, work assignments, promotion, demotion, or salary of the other relative. No preferential policy towards a relative may be used to deny equal opportunity.

In other cases, such as personal relationships where a conflict or the potential for conflict arises, even if there is no supervisory relationship involved, the parties may be separated by reassignment or



terminated from employment, at the discretion of the University. Accordingly, all parties to any type of intimate personal relationship must inform the Director of Human Resources.

If two employees marry, become related, or enter into an intimate relationship, they may not remain in a reporting relationship or in positions where one individual may affect the compensation or other terms or conditions of employment of the other individual. The University generally will attempt to identify other available positions, but if no alternate position is available, the University retains the right to decide which employee will remain with the University.

For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage.

5-17. EMPLOYEE DRESS AND PERSONAL APPEARANCE

Employees are required to report to work well groomed, clean, and dressed according to the requirements of their position. Some employees may be required to wear uniforms or safety equipment/clothing. Employees should contact their supervisor for specific information regarding acceptable attire for their position.

In general:

- Clothing must be clean.
- Dress code is business casual.
- Profanity, offensive advertising, or other offensive statements on clothing is prohibited.
- Friday is casual dress day; jeans may be worn but must be in good condition and contain no holes.
- Clothing must not create offensive or unwelcome environment based on common mores and expectations.

In addition to any specific apparel requirements or limitations in this policy, supervisors reserve the right to send employees home, if in their discretion, an employee's appearance is determined to be unacceptable. Employees may be counseled or sent home to change or may be subject to other disciplinary action.

Questions or clarifications regarding the dress code should be directed to the Director of Human Resources.

5-18. PUBLICITY/STATEMENTS TO THE MEDIA

All media inquiries regarding the position of the University as to any issues must be referred to the President. Only the President is authorized to make or approve public statements on behalf of the University. No employees, unless specifically designated by the President, are authorized to make those statements on behalf of University. Any employee wishing to write and/or publish an article, paper, or other publication on behalf of the University must first obtain approval from the President.

5-19. OPERATION OF VEHICLES

All employees authorized to drive University-owned or leased vehicles or personal vehicles in



conducting University business must possess a current, valid driver's license and an acceptable driving record. Any change in license status or driving record must be reported to the Director of Human Resources immediately. Anyone signing out a UD vehicle must provide a valid driver's license to Maintenance office manager prior to signing out.

Employees must have a valid driver's license in their possession while operating a vehicle off or on University property. It is the responsibility of every employee to drive safely and obey all traffic, vehicle safety, and parking laws or regulations. Drivers must demonstrate safe driving habits at all times.

University-owned or leased vehicles may be used only as authorized by their supervisor. In general, non-employee passengers are not allowed to ride in vehicles being used on University business due to the additional liability exposure which they pose.

The university will do MVRs on a regular basis for employees whose position requires continuous driving of University vehicles. The University may run an employee's MVR (Motor Vehicle Record) at any time.

Minimum Driving Requirements for approved use:

- Must have a valid driver's license.
- Must have minimum of two years licensed driving experience (not including instructional experience) University-owned or leased vehicles.
- Must be eighteen (18) years of age.

A driver may be disqualified from use of University-owned or leased vehicles for the following reasons:

- Three or more moving violations and/or at-fault accidents in the past two years.
- An Operating While Intoxicated (OWI)/Driving Under the Influence (DUI) citation within 12 calendar months.
- Expired license.
- Suspension or revocation of driver's license.
- Possession of an occupational license only.
- Less than two years driving experience.
- License reinstated for less than one year.

Portable Communication Device Use While Driving

Some states, counties and/or cities may have laws prohibiting or restricting the use of handheld and/or hands-free wireless telephones and other electronic communication devices while driving (e.g., cell and mobile telephones, personal digital assistants, iPods, on-board computers, laptops, etc.). An employee is responsible for becoming familiar with and complying with those laws while driving any University of Dubuque vehicle at any time and while driving any vehicle (including personal and rental vehicles) during work hours or in connection with University of Dubuque business. In addition, and regardless of whether permitted by law, the University permits cell phone use only with a hands-free device while the vehicle is in motion. Texting is strictly prohibited while driving a University-owned vehicle or a personal vehicle on University business.

Regardless of the circumstances, including slow or stopped traffic, if any use is permitted while driving, employees should proceed to a safe location off the road and safely stop the vehicle before



placing or accepting a call. If acceptance of a call is absolutely necessary while the employees are driving, and permitted by law, they must use a hands-free option and advise the caller that they are unable to speak at that time and will return the call shortly.

Under no circumstances should employees feel that they need to place themselves at risk to fulfill business needs.

Since this policy does not require any employee to use a PCD while driving, employees who are charged with traffic violations resulting from the use of their PCDs while driving will be solely responsible for all liabilities that result from such actions.

5-20. BUSINESS EXPENSE REIMBURSEMENT

Employees will be reimbursed for reasonable approved expenses incurred in the course of business. These expenses must be approved by the employee's Supervisor, and may include air travel, hotels, motels, meals, cab fare, rental vehicles, or gas and car mileage for personal vehicles. All expenses incurred must be submitted to Accounting along with the receipts in a timely manner.

Employees are required to exercise restraint and good judgment when incurring expenses. Employees can contact their Supervisor in advance if they have any questions about whether an expense will be reimbursed.

5-21. REFERENCES

The University of Dubuque will respond to reference requests through the Human Resources Department. The University will provide general information concerning the employee such as date of hire, date of termination, and positions held. Requests for reference information must be in writing, and responses will be in writing. Please refer all requests for references to the Human Resources Department.

Only the Human Resources Department may provide references.

5-22. IF YOU MUST LEAVE US

Should any employees decide to leave the University, we ask that they provide their Supervisor and Human Resource department at least two (2) weeks advance notice of departure. Thoughtfulness will be appreciated. All University property including, but not limited to, keys, security cards, parking passes, laptop computers, fax machines, uniforms, etc., must be returned at separation. Employees also must return all of the University's Confidential Information upon separation. To the extent permitted by law, employees will be required to repay the University (through payroll deduction, if lawful) for any lost or damaged University property or any unpaid fees owed to the University (parking violations, etc.). As noted previously, all employees are employed at-will and nothing in this handbook changes that status.

5-23. EXIT INTERVIEWS

Employees who resign are requested to participate in an exit interview with the Human Resources Representative, if possible.



5-24. FERPA COMPLIANCE

The University adheres to all applicable federal, state, and local regulations governing the production, use and maintenance of student records including, but not limited to, the Family Educational Rights and Privacy Act (FERPA). Employees are required to strictly comply with the University's FERPA policy in their administration and use of student education records and personally identifiable information.

A copy of the University policy is set forth at Appendix B.

5-25. PRIVACY AND PRIVATE PROPERTY

The University assumes no liability whatsoever for the damage, loss or theft caused by third parties to the personal property of employees.

All storage facilities, offices, workspaces, and desks are the property of the University, and the University reserves the right to have access to these areas and to such property at any time, without advance notice to any employee. Therefore, employees should not expect that such property would be treated as private and personal to the employee. Likewise, electronic mail and voicemail are also company property and are to be used only for business purposes. Internet accounts are also to be used only for company business. The University reserves the right to inspect, monitor and have access to company computers, electronic mail, voicemail messages and Internet communications.

5-26. INTELLECTUAL PROPERTY

The University of Dubuque, subject to the rights of government and other sponsors as well as any exceptions contained in this policy, owns all intellectual property arising from University work. Creators of intellectual property have an obligation to disclose intellectual property arising from University work in the manner prescribed within this policy. In consideration of employment with the University or by otherwise engaging in University work as described in this Intellectual Property Policy, Creators automatically assign to the University all intellectual property rights arising from such University work and agree to assist the University in legally protecting that intellectual property. The University owns or retains an interest in, as applicable, any portions, modifications, extensions, derivations, improvements, or translations of intellectual property as it would in the original work. The University and the Creator share in any royalty income resulting from the intellectual property as described in this policy.

Patents

The University owns all rights to all patentable inventions arising from University work. The University will normally make an initial decision whether to pursue a patent or other legal protection within six months of the initial disclosure of such potential invention to the University by the Creator. If the University elects to pursue a patent or other legal protection, all costs shall be borne by the University or by a sponsor or licensee.

Copyrights

The University owns all copyrightable materials (including computer programs, software, or multi-media productions) that are works made for hire under copyright law or that are developed pursuant to University work unless otherwise provided in this policy. Consistent with long-standing academic tradition, the University does not normally claim ownership of works such as textbooks, articles, papers, scholarly



monographs, or artistic works. Creators therefore retain copyright in such works, unless such works are created under a grant or sponsored program that specifies ownership rights in some entity other than the Creator, such works are the subject of a contract modifying ownership rights, or rights in such works are otherwise addressed in this policy.

Educational Materials

Educational materials produced in the normal course of the University's educational mission will generally be owned by the Creators of the materials. Certain circumstances, however, may give rise to ownership by the University, e.g., educational materials that are works made for hire, such as those produced by non-faculty employees within the specific scope of their employment with the University. Because all possible circumstances cannot be envisioned in this policy, the President will evaluate, or if he/she deems necessary, identify another appropriate office of the University to evaluate each particular situation to determine ownership interests and who may have the right to use the educational materials. The University intends for this evaluation of ownership interests and rights to use educational materials to take place prior to production of the materials, consistent with this policy.

Educational Materials Developed as Works Made for Hire: The University owns all educational materials (including computer programs, software, mobile apps, games, or multi-media productions) that are works made for hire under copyright law, unless otherwise specified in this policy, or that are required to be assigned to the University by contract terms with third parties or by the terms of a grant or sponsored program under which the University is a recipient.

Educational Materials Developed on the Initiative of the Creator with less than Substantial Use of University Facilities and Resources: This category includes a faculty member developing learning materials, whether printed, video, digital or in another format, to supplement a new or existing University of Dubuque course, with incidental or less than substantial use of University-provided facilities or resources. In this situation, the educational materials would be owned by the Creator.

Educational Materials Developed on the Initiative of the Creator with a Substantial use of University Facilities and Resources: Educational materials that require greater than incidental use of University-provided facilities or resources, such as extensive video production, custom software development, course development with third-party vendors, and the like, making substantial use of University resources are owned by the University. The Creator maintains ownership of the underlying creative content of the materials while the University owns the tangible works developed. Creators of this type of educational materials grant to University a paid-up, royalty-free, nonexclusive license for the use, reproduction, and creation of derivative works of the underlying creative content for the University's purposes. The tangible educational materials owned by the University may be used by the Creator while still employed by the University. When the University engages Creators to use these types of educational materials within a partnership, consortium, or other arrangement for external distribution, entered into by the University, the rights and responsibilities of both the University and the Creator shall be governed by a written agreement. This written agreement will address issues such as compensation for production of the materials, sharing of any potential revenues resulting from commercial distribution of the Educational Materials, the relationship of the assignment to other duties, the use of the Educational Materials on an ongoing basis by the University and the Creator's involvement in such use, and any other relevant issues related to the production of the educational materials. For any other use of these educational materials outside the University, however, specific written permission of the University is required.



Educational Materials Commissioned for Production by the University: Educational materials commissioned for production at the initiative of the University, or with learning outcomes and creative content authored or designed by the University, are works made for hire, and as such are owned by the University. When the production of such a commissioned work is anticipated, a written agreement will be entered into in advance of production between the University and the Creator, acknowledging University's ownership rights in the educational materials. This written agreement will address issues such as compensation for production of the materials, sharing of any potential revenues resulting from commercial distribution of the educational materials, the relationship of the assignment to other duties, and any other relevant issues related to the production of the educational materials. Commissioned educational materials may be used by the Creator outside the University only with specific written permission of the University.

Educational Materials Funded by an External Sponsor: Ownership of externally funded educational materials will be governed by the terms of the sponsor's agreement with the University. In the absence of specific ownership terms for educational materials in the sponsorship agreement, educational materials developed through external funding will be treated as though commissioned for production by the University.

Changes to Educational Materials: The owner of educational materials has the right to change or make derivative works of his or her educational materials. Educational materials owned by the University may only be changed, and derivative works of University-owned educational materials may only be made, with the written permission of the University.

Other Intellectual Property

The University owns all other forms of intellectual property arising from University work, including trade secrets, trademarks, and know-how (unless the know-how is related to intellectual property not otherwise owned by the University.) The University also owns or retains an interest in any portions, modifications, extensions, or translations of intellectual property as it would the original work, educational materials, or invention, consistent with the treatment of derivative works under copyright law.

Waivers

The University may grant a waiver of any provision of this policy on a case-by-case basis. All waivers must be approved in writing and signed by the President. Any decision to grant a waiver should take into account the best interests of the University and the facts of the particular situation involved. This paragraph shall not relieve the University of its obligations under this policy. Any waiver granted pursuant to this paragraph will apply only to obligations imposed on the Creator, unless otherwise agreed to by the Creator.

A FEW CLOSING WORDS

This handbook is intended to give employees a broad summary of things they should know about the University of Dubuque. The information in this handbook is general in nature and, should questions arise, your supervisor should be consulted for complete details. While we intend to continue the policies, rules and benefits described in this handbook, the University of Dubuque, in its sole discretion, may always amend, add to, delete from, or modify the provisions of this handbook and/or change its interpretation of any provision set forth in this handbook. Employees should not hesitate to speak to their supervisor or the Director of Human Resources if they have any questions about the



University or its personnel policies and practices.



APPENDIX A – TUITION REMISSION

Eligibility

Faculty and staff who are eligible for benefits and employed full-time, their spouse, and unmarried dependents, (as defined by the IRS), under the age of 24, at the beginning of a semester, are eligible for 100% tuition remission benefits as outlined below. Faculty and staff who are eligible for benefits and employed less than full-time but with a minimum of 30 hours of continuous authorized service, their spouse, and dependents (as defined by the IRS), under the age of 24 are eligible for a prorated benefit according to their percentage of full-time, (2080 hours), status at the University.

Benefits are effective immediately for an eligible employee's spouse and unmarried dependents, (as defined by the IRS), under the age of 24. This benefit is not effective until the first academic term following completion of one year of employment for employees.

Degree-seeking students and those students who per University policy have not declared a major register based on class rank. Non-degree seeking students register last and are only eligible for classes with open spaces.

Before enrolling or continuing in a program, students are subject to all current institutional academic regulations and must be in good financial standing with the University. Persons deemed not to be in good academic and/or financial standing with the University will be ineligible for tuition remission until such time as the status is returned to good standing as determined by the appropriate office(s).

Upon termination of employment from the University this benefit terminates for the employee and/or the employee's spouse effective at the beginning of the then-current semester/session. For non-spouse dependents this benefit terminates at the end of the then-current semester/session. If termination is a result of the employee's death or disablement, spouses and dependents under the age of 24, (as defined by the IRS), that are already receiving remission benefits remain eligible for the benefit as long as they are compliant with all other sections of this policy.

I. Employees

Eligible employees are eligible for 100% tuition remission for eligible undergraduate study until the completion of the requirements of an undergraduate degree, or the completion of 150 undergraduate credits (including any transfer credits); whichever comes first, for the first earned undergraduate degree. Eligible undergraduate study includes all degrees offered at the University that do not prevent the employee from being unable to fulfill their job description. If an employee is currently enrolled in a program as of June 1, 2008, that as part of the degree will require the employee to be away from their duties, thus unable to fulfill their job description, they are grandfathered and will receive the remission benefit.

The employee will also be eligible for 50% tuition remission for graduate programs if a previous graduate degree has not been earned from either the University of any other Institution. This remission will cease at the completion of one graduate degree.

Tuition remission for employees is further limited by the concern for balance in an employee's pursuit of educational goals and the operating efficiency of the department in which the employee is employed. Therefore, tuition remission benefits will only be provided for seven credit hours, (including non-



remission covered courses) of instruction per fall or spring semesters and 4 credit hours of instruction during each summer session. Further, no more than 4 credits may fall within an employee's normal work schedule during a semester or summer and any time taken off must be made up within the pay period. Each semester/session, prior to enrollment, employees must obtain signature approval in writing by their immediate supervisor and cabinet member prior to registration.

II. Spouses

The eligible employee's spouse is eligible for 100% tuition remission for undergraduate study until the first of completion of the requirements of a first earned undergraduate degree, or the completion of 150 undergraduate credits (including any transfer credits) for the first earned undergraduate degree.

The eligible employee's spouse will also be eligible for 50% tuition remission for graduate programs if a previous graduate degree has not been earned from either the University of any other Institution and a second degree has not been covered under this program. This remission will cease at the completion of one graduate degree.

Spouses of employees who are students will be charged the employee fee rate for University services such as but not limited to daycare, parking, Wellness Center, etc.

III. Dependent Children

The eligible employee's dependents under the age of 24, (as defined by the IRS), are eligible for 100% tuition remission benefits for undergraduate study. Tuition remission benefits will cease at the soonest of the following events: completion of the requirements of an undergraduate degree, completion of 150 undergraduate credits (including any transfer credits) or attainment of age 24.

Limitations/stipulations

I. An employee who has received any benefit from this policy who leaves the University or has a change in the percentage of full-time status within two years of last receiving benefits under this policy is required to reimburse the University tuition remission 100%.

II. A change in the percentage of an employee's full-time status will affect the tuition remission eligibility at the beginning of the next academic term following the change.

III. Families using the tuition remission benefit for undergraduate courses must file for federal and state financial aid using the Free Application for Federal Student Aid (FAFSA). This form must be sent to the proper federal processor prior to the University of Dubuque priority deadline.

IV. Tuition remission is applicable to the base tuition only and will not cover room or board fees, books, independent study, music lessons, flight time or special or additional fees. Independent study requirements that are a requirement of a degree are covered by the remission policy. Professional skills practicum, and capstone courses are covered.

V. Employer reimbursement program for both undergraduate and graduate level courses will be applied to base tuition first, with tuition remission covering only that part of the base tuition not covered by the employer.

VI. Cross-registration for any course at any institution is not covered by tuition remission.



VII. It is understood and agreed that in the event any laws enacted or regulation adopted pursuant to law which imposes any income tax liability, federal or state, upon any employee, their spouse or dependent by reason of this tuition remission policy, that such income tax liability shall be paid by such employee, their spouse or dependent.

VIII. This revised program is effective August 1, 2008 for all employees, spouses and eligible dependents, including those currently receiving the benefit unless otherwise indicated.

IX. Certain programs or certifications may be excluded from tuition remission or exchange benefits due to the higher support cost of the program. Currently, this includes Aviation- Flight Operations and the Physician Assistant Program. Please contact the Director of Human Resources for a current listing of programs excluded.



APPENDIX B – FERPA POLICY

Policy Statement Family Educational Rights and Privacy Act

The Family Educational Rights and Privacy Act of 1974, as amended (the "Act"), is a federal law which requires that (a) a written institutional policy must be established and (b) a statement of adopted procedures covering the privacy rights of students must be made available. The University of Dubuque shall maintain the confidentiality of Education Records in accordance with the provisions of the Act and shall accord all the rights under the Act to eligible students who are or have been in attendance at the University of Dubuque.

Persons Protected

The rights of privacy provided herein are accorded to all students who are or have been in attendance at the University of Dubuque. The rights do not extend to persons who have never been admitted to the University of Dubuque. A student who has been in attendance at one component of the University of Dubuque does not acquire rights with respect to another component of the University of Dubuque to which the student has not been admitted. A "component" is an organizational unit which has separately administered admissions and matriculation policies and separately maintains and administers Education Records.

Rights of Inspection

The Act provides students with the right to inspect and review information contained in their Education Records, to challenge the contents of those Records which students consider to be inaccurate, misleading, or otherwise in violation of their privacy or other rights, to have a hearing if the outcome of the challenge is unsatisfactory, and to submit explanatory statements for inclusion in their Records if the decision of a hearing officer or panel is unacceptable. The Registrar or Associate Dean for Academic Affairs at the University of Dubuque has been assigned the responsibility to coordinate the inspection and review procedures for Education Records.

Education Records: Definition

The term "Education Records" encompasses all recorded information, regardless of medium, which is directly related to a student, and which is maintained by the University of Dubuque. Education Records include, but are not limited to, admissions, personal, academic, certain personnel, financial aid, cooperative education, and placement records. Education Records do not include the following:

1. Records of instructional, supervisory, and administrative personnel, and ancillary educational personnel which are in the sole possession of the maker and are not accessible or revealed to any other individual except a substitute who may temporarily perform the duties of the maker;
2. Records of a law enforcement unit of the University of Dubuque which are maintained separate from Education Records, are maintained solely for law enforcement purposes, and are not disclosed to individuals other than law enforcement officers of the same jurisdiction, provided that Education Records of the University of Dubuque may not be disclosed to the law enforcement unit;
3. Records relating to individuals who are employed by the University of Dubuque which are made and maintained in the normal course of business, relate exclusively to individuals in their capacity as employees and are not available for another purpose. Note: Employment records of persons who are employed solely as a consequence of college attendance, e.g., teaching/graduate assistants, work-study students, student interns, are Education Records.
4. Records created and maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional, acting or assisting in a professional capacity, such as student health



records, to be used solely in connection with the provision of treatment to the student and not disclosed to anyone other than for treatment purposes, provided that records may be disclosed to a physician or professional of the students' choice. Note: Treatment in this context does not include remedial education activities or other activities which are part of the program of instruction at the University of Dubuque.

5. Records of an institution which contain only information relating to a person after that person is no longer a student at the institution; e.g., accomplishments of alumni.

Request for Review

Students who desire to review their Education Records must present a written request to the (Name of office or official), listing the item or items to be reviewed. Only those Education Records subject to inspection under this policy will be available for review. The items requested which are subject to review shall be made available for review no later than 45 calendar days following receipt of a written request. Students have the right to a copy of an Education Record which is subject to review when failure to provide a copy of the Record would effectively prevent the student from inspecting and reviewing the Education Record, as determined in the reasonable discretion of the University of Dubuque. A copy of an Education Record otherwise subject to review may be refused if a "hold" for non-payment of financial obligations exists. Copies shall be made at the student's expense. The fee for making copies of an Education Record is \$1.00 per page and must be paid at the time copies are requested.

Limitations on Student Rights

There are some limitations on the rights of students to inspect Education Records. Students shall have no right of inspection or review of:

1. Financial information submitted by their parents;
2. Confidential letters and/or recommendations placed in the student's file prior to January 1, 1975, if such documents were intended to be confidential and are used only for the purpose(s) for which they were specifically intended;
3. Confidential letters and/or recommendations placed in the student's file subsequent to January 1, 1975, associated with admissions, employment, or job placement or the receipt of an honor or honorary recognition if the student has voluntarily waived his/her right to inspect the confidential letters and/or recommendations in writing; and
4. Education Records containing information about more than one student. In such a case the University of Dubuque will permit access only to that part of the Education Record pertaining to the inquiring student.

Waiver of Student Rights

A student may waive any or all of his/her rights under this Policy. The University of Dubuque does not require waivers and no institutional service or benefit shall be denied a student who fails to supply a waiver. All waivers must be in writing and signed by the student. A student may waive his/her rights to inspect and review either individual documents (e.g., a letter of recommendation) or classes of documents (e.g., an admissions file). The items or documents to which a student has waived his/her right of access shall be used only for the purpose for which they were collected. If used for other purposes, the waiver shall be void and the documents may be inspected by the student. A student may revoke a waiver in writing, but by revoking it, the student does not regain the right to inspect and review documents collected while the waiver was validly in force.



Consent Provisions

No person outside of the University of Dubuque shall have access to, nor shall the University of Dubuque disclose any personally identifiable information from a student's Education Records without the written consent of the student. The consent must specify the Education Records to be disclosed, the purpose of the disclosure, the party or class of parties to whom disclosure may be made and must be signed and dated by the student. A copy of the Education Record disclosed or to be disclosed shall be provided to the student upon request.

There are exceptions to this consent requirement. The University of Dubuque reserves the right, as permitted by law, to disclose Education Records or components thereof without written consent to:

1. "School officials" who have a "legitimate educational interest." "School officials" shall mean any person who is a trustee, officer, agent, or employee of the University of Dubuque. "Legitimate educational interest" shall mean any authorized interest, or activity undertaken in the name of the University of Dubuque for which access to an Education Record is necessary or appropriate to the proper performance of the undertaking. It shall include, without limitation, access by a student's instructor, department head, dean, the chief academic and student affairs administrator, the President, a trustee, the custodian of the University of Dubuque records, the alumni administrator, legal counsel, the financial aid administrator, administrators charged with maintaining Education Records, the staff and subordinates of the foregoing, and others authorized by the President, to the extent the foregoing persons are acting within the course and scope of their employment or authority.
2. Officials of other educational agencies or institutions in which a student seeks to enroll.
3. Officials of other educational agencies or institutions in which the student is currently enrolled.
4. Persons or organizations providing student financial aid in order to determine the amount, eligibility, conditions of award, and to enforce the terms of the award.
5. Accrediting organizations carrying out their accrediting functions.
6. Authorized representatives of the Comptroller General of the United States, the Secretary of the U.S. Department of Education, and state or local educational authorities, only if the information is necessary for audit and evaluation of federal, state or locally supported programs and only if such agencies or authorities have a policy for protecting information received from redisclosure and for destroying such information when it is no longer needed for such purposes (unless access is authorized by federal law or student consent).
7. State or local officials to whom disclosure is required by state statute adopted prior to November 19, 1974.
8. Organizations conducting studies for or on behalf of educational agencies or institutions to develop, validate, and administer predictive tests, to administer student aid programs, or to improve instruction, so long as there is no further external disclosure of personally identifiable information, and the information is destroyed when no longer necessary for the projects.
9. Parents of a "dependent student" where the student's status as a dependent as defined in Section 152 of the Internal Revenue Code of 1954, as amended, has been established to the satisfaction of the University of Dubuque.



10. Persons in order to comply with a judicial order or a lawfully issued subpoena, provided a reasonable effort is made to notify the student in advance of compliance.
11. Appropriate persons in a health or safety emergency if the information is necessary to protect the health or safety of the student or other individuals.
12. An alleged victim of any crime of violence (as that term is defined in section 16 of title 18, United States Code), but only the results of any disciplinary proceeding conducted by the University of Dubuque against the alleged perpetrator of such crime with respect to such crime.

With respect to items 2 and 3, above, the student shall be entitled to receive a copy of any disclosed Education Record upon request.

Institutional Record of Disclosure

The University of Dubuque shall keep a written record of all Education Record disclosures and the student shall have the right to inspect such record. The record shall include the names of parties or agencies to whom disclosure is made, the legitimate reason for the disclosure, and the date of the disclosure. No record of disclosure shall be required for those disclosures made to a student for his/her own use, disclosures made with the written consent of a student, disclosures made to a University of Dubuque "official" with a "legitimate educational interest," disclosures of "Directory Information," or for disclosures to persons or parties identified in the section entitled "Consent Provisions," item 6, for purposes of auditing the University of Dubuque's recordkeeping practices.

Records of disclosure prepared pursuant to this section, or the following section shall be subject to review only by the student, the custodian, and his/her/its staff, "school officials" as defined in the section titled "Consent Provisions," item 1, and federal, state, or local government officials conducting audits of compliance by the University of Dubuque with the Act.

Redisclosure of Student Records

Any disclosure of Education Records authorized under this Policy (whether with or without student consent) shall be made on the conditions that the recipient shall not redisclose the Education Records without consent or authorization as required herein and shall not permit or condone any unauthorized use.

Authorization for redisclosure, without consent, for purposes and to persons and parties permitted by law, may be given to a person or party designated in the section titled "Consent Provisions," above, provided, such authorization must include a record of:

1. The name of the person or party to whom redisclosures can be made; and
2. The legitimate interests which the additional person or party has for receiving the information and the purposes for which it may be used.

Such redisclosures must be on the conditions set forth in the first paragraph of this section.

Directory Information

In its discretion, the University of Dubuque may disclose, publish, or provide Directory Information concerning a student without consent or a record of disclosure. Directory Information shall include: a student's name, address, telephone number, date and place of birth, major field of study, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended by the student, participation in officially recognized activities and sports, weight and height of members of athletic teams, and



(other similar information). Students may withhold Directory Information by notifying (Name of office or official) in writing within 10 calendar days after the first scheduled day of class of the fall term of such election. All written requests for non-disclosure will be honored by the University of Dubuque for only one (1) academic year, therefore, authorization to withhold Directory Information must be filed annually. (Alumni may request non-disclosure of Directory Information concerning them at any time. Such request will be honored continuously).

Challenge of Contents of Education Records

Any student who believes that his/her Education Records contain information that is inaccurate or misleading or is otherwise in violation of his/her privacy or other rights may discuss his/her concerns informally with the Registrar or Associate Dean for Academic Affairs. If the decision of the Registrar or Associate Dean for Academic Affairs is in agreement with the student's request, the appropriate Education Records shall be amended, and the student shall be notified in writing of the amendment. If the decision is not in agreement, the student shall be notified within 15 calendar days that the Education Records will not be amended, and the student shall be notified by the officer or official of the student's right to a hearing.

Student requests for a formal hearing must be made in writing within 10 calendar days after receipt of the notice from the Registrar or Associate Dean for Academic Affairs. Within 10 calendar days after receipt of the written request the Registrar or Associate Dean for Academic Affairs shall notify the student of the date, time and place of the hearing which shall not be held sooner than five (5) calendar days after issuance of said notice.

The student shall be afforded a full and fair opportunity to present evidence relevant to the issue(s) raised. If the student desires, he/she may be assisted or represented at the hearing by one or more persons of his/her choice, including an attorney, at the student's expense.

The hearing shall be conducted by a person (or persons) designated by the President who does not have a direct interest in the outcome of the hearing. The decision of the hearing officer or panel shall be final, shall be based solely on the evidence presented at the hearing, and shall be in writing, summarizing the evidence and stating the findings of fact and conclusions which support the decision. The written report shall be mailed to the student and any concerned party no later than thirty (30) calendar days after the date of the hearing.

If the hearing officer or panel determines that the Education Records at issue are inaccurate, misleading, or otherwise in violation of the privacy or other rights of the student, the Education Records shall be amended in accordance with the decision and the student shall be so informed in writing.

If the hearing officer or panel determines that the Education Records at issue are not inaccurate, misleading, or otherwise in violation of the privacy or other rights of the student, the student may place in the Education Records a statement commenting on the information in the Education Records, or a statement setting forth any reasons for disagreeing with the decision of the hearing officer or panel. The statement shall be placed in the Education Records and shall be maintained as part of the Education Records so long as the Education Records are maintained and shall be disclosed whenever the Education Records in question are disclosed.

Note: Rights of challenge cannot be used to question substantive educational judgments which are correctly recorded (e.g., course grades with which the student disagrees).

A student who believes that the determination made concerning his/her challenge was unfair or not in keeping with the provisions of this Policy or the Act may request, in writing, assistance from the President of the University of Dubuque to aid him/her in filing a complaint with the Family Policy and Regulations Office, U.S.



Department of Education, Washington, D.C. 20202.

Destruction of Records

Once a student has requested access to his/her Education Records, such records shall not be destroyed until inspection and review have been provided or, if denied, until all complaint proceedings have been completed. Subject to the foregoing condition, the obligation to maintain student statements of clarification exists only so long as the underlying Education Records are maintained. Subject to other applicable laws, policies or regulations, the University of Dubuque reserves the right to dispose of Education Records when it deems appropriate.



APPENDIX C – TITLE IX

Sexual Harassment

The University of Dubuque is committed to providing a learning, working, and living environment that promotes personal integrity, civility, and mutual respect in an environment free of discrimination on the basis of sex; which includes all forms of sexual misconduct. Sexual misconduct violates an individual's fundamental rights and personal dignity. The University of Dubuque considers sexual misconduct in all its forms to be a serious offense. This policy refers to all forms of sexual misconduct, including but not limited to: sexual discrimination, sexual harassment, sexual assault, and sexual violence by employees, students, or third parties.

The University of Dubuque does not discriminate on the basis of race, color, creed, age, gender, sexual orientation, religion, national origin, veteran status, physical or mental disability, genetic information, or any other basis of prohibited discrimination in its programs and activities. This policy extends to employment with and admission to the University.

Please refer to the Sexual Misconduct Policy, which can be found at:
<https://www.dbq.edu/media/AboutUD/Title-IX.pdf>

Jeanne Clery Act

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act requires the distribution of an Annual Security Report and Annual Fire Safety Report to all current faculty, staff, and students and notice of its availability to prospective students, faculty, and staff no later than October 1st of each year. This document, referred to as the "Annual Security Report and Annual Fire Safety Report" or "ASR," is one of many mechanisms designed to inform current and potential University of Dubuque community members of crime, arrest and referral statistics, of current crime response, reporting, prevention and awareness policies, including policies regarding sexual assault, domestic violence, dating violence and/or stalking, of campus disciplinary policies and relevant state laws, and of campus safety and security. This ASR includes crime, arrest, and referral statistics for the previous three calendar years concerning reported crimes that occurred on campus, in certain off-campus buildings or property owned or controlled by the University of Dubuque, and on public property within, or immediately adjacent to and accessible from, the campus. The Fire Report at the end the document contains current University of Dubuque Housing fire safety protocols and fire statistics for the previous three calendar years.

This report is prepared by the University of Dubuque (UD). To gather policies for this report, UD collaborated with the Deans of Student Life, Residence Life, Human Resources office, Counseling Services, Intercollegiate Athletics Department, the Title IX Coordinator(s) and other divisions and departments on campus.

Statistics are gathered through reports to the Campus Safety and Security, the Deans of Student Life, Residence Life, the Title IX Coordinator(s), and reports submitted by other Campus Security Authorities. UD also requested crime statistics from outside law enforcement agencies that may have jurisdiction over UD's non-campus property. Please refer to the Annual Security Report and Fire Safety Report, which can be found here at: <https://www.dbq.edu/SafetySecurity/JeanneCleryAct/>



APPENDIX D – DUTY TO REPORT CHILD ABUSE

The University of Dubuque provides meaningful educational opportunities for people of all ages. The University understands the importance of a safe environment for children. One aspect of a safe environment is the proper reporting of potential issues. The purpose of this policy is to outline the responsibility of University employees for reporting suspected child abuse.

Consistent with Iowa Code all University employees who in the course of employment receive information related to physical or sexual abuse of children must immediately report such information to Campus Safety and Security 563-589-3333.

Any student or visitor who suspects physical or sexual abuse of a child on campus or relating to a University program or activity should provide a report to Campus Safety and Security 563-589-3333. In the case of incidents not on the University of Dubuque campus, local police authorities should be called in order to avoid any delay in response.

There should be no retaliation against a person who makes a good faith report of physical or sexual abuse of a child under this policy.

The report to Campus Safety and Security should include all of the relevant facts known to the person who is making the report, including:

1. The child's name, contact information, and/or description;
2. The name and/or description of the person suspected of the abuse;
3. The person/reporter's name and contact information;
4. The time, date, and location of the suspected abuse; and
5. A description of the suspected abuse, with all relevant information, and any supporting evidence.

Campus Safety and Security will provide report information to the Dubuque Police department as well as the University President as soon as possible. The University President will work with appropriate University administrative offices and employees immediately to provide safety to the child and deal with the situation, including the person suspected of the abuse.

This policy is intended to implement Code of Iowa section 261.9(1)h.

[Note: A mandatory reporter of "child abuse" under Iowa law would also be obligated to report physical or sexual abuse of a child to the Iowa Department of Human Services (DHS) as provided under the Iowa Code sections 232.67 – .70. The definition of "child abuse" in section 232.68 includes more than physical or sexual abuse. Any employee, student, or visitor who is not a mandatory reporter is encouraged to report any type of "child abuse" to DHS as provided by Iowa law.]

Definitions

Child means a person under the age of eighteen years.

Mandatory reporter means a person as described in Iowa Code section 232.69(1). In general, this includes a person who in the scope of her or his professional or employment responsibilities examines, attends, counsels, or treats a child, and who is a health practitioner; social worker; certified psychologist; licensed school employee, certified para-educator, or holder of a coaching authorization under Iowa Code section 272.31; employee or operator of a licensed child care center; employee or operator of a mental health center; peace



officer; counselor or mental health professional; or employee or operator of a provider of services to children funded under a federally approved medical assistance home and community-based services waiver.

Physical abuse means any non-accidental physical injury, or injury which is at variance with the history given of it, suffered by a child as a result of the acts or omissions of a person responsible for the care of the child. Common indicators could include unusual or unexplained burns, bruises, or fractures.

Sexual abuse means the commission of a sexual offense with or to a child as a result of the acts or omissions of the person responsible for the care of the child. The commission of a sexual offense includes any sexual offense with or to a person under the age of 18 years. Sexual abuse includes but is not limited to lascivious acts with a child, indecent exposure, assault with intent to commit sexual abuse, indecent contact with a child, incest, and sexual exploitation.

Key Numbers

Department of Human Services, <https://dhs.iowa.gov/contact-us>
1-800-362-2178

Dubuque Police Department, <https://www.cityofdubuque.org/209/Police>
563-589-4415
770 Iowa St., Dubuque, IA 52001

Campus Safety and Security, <https://www.dbq.edu/SafetySecurity/>
563-589-3333
Smith Hall, Room 112, at 2205 Grace Street

Human Resources department, <https://www.dbq.edu/AboutUD/Employment/Staff/>
563-589-3619
Charles and Romona Myers Center (MTAC), room 336, at 2205 Grace Street



GENERAL HANDBOOK ACKNOWLEDGMENT

This Employee Handbook is an important document intended to help employees become acquainted with the University of Dubuque. This document is intended to provide guidelines and general descriptions only; it is not the final word in all cases. Individual circumstances may call for individual attention.

Because the University's operations may change, the contents of this Handbook may be changed at any time, with or without notice, in an individual case or generally, at the sole discretion of the University.

Please read the following statements and sign below to indicate your receipt and acknowledgment of this Handbook.

I have received and read a copy of the University of Dubuque's Employees Handbook. I understand that the policies, rules, and benefits described in it are subject to change at the sole discretion of the University at any time.

I further understand that my employment is terminable at will, either by myself or the University, with or without cause or notice, regardless of the length of my employment or the granting of benefits of any kind.

I understand that no representative of the University of Dubuque other than the President may alter "at will" status and any such modification must be signed in writing by the President.

I understand that my signature below indicates that I have read and understand the above statements and that I have received a copy of the University's Employee Handbook.

Employee's Printed Name: _____

Employee's Signature: _____

Position: _____

Date: _____

The signed original copy of this acknowledgment must be given to the Director of Human Resources - it will be filed in your personnel file.



RECEIPT OF NON-HARASSMENT POLICY

It is the University of Dubuque's policy to prohibit intentional and unintentional harassment of or against job applicants, contractors, interns, volunteers or employees by another employee, supervisor, vendor, customer or any third party on the basis of actual or perceived race, color, creed, religion, national origin, ancestry, citizenship status, age, sex or gender (including pregnancy, childbirth and pregnancy-related conditions), gender identity or expression (including transgender status), sexual orientation, marital status, military service and veteran status, physical or mental disability, genetic information or any other characteristic protected by applicable federal, state or local laws (referred to as "protected characteristics"). Such conduct will not be tolerated by the University of Dubuque.

The purpose of this policy is not to regulate our employees' personal morality, but to ensure that no one harasses another individual in the workplace, including while on University premises, while on University business (whether or not on University premises) or while representing the University. In addition to being a violation of this policy, harassment or retaliation based on any protected characteristic as defined by applicable federal, state, or local laws also is unlawful. For example, sexual harassment and retaliation against an individual because the individual filed a complaint of sexual harassment or because an individual aided, assisted or testified in an investigation or proceeding involving a complaint of sexual harassment as defined by applicable federal, state, or local laws are unlawful.

Harassment Defined

Harassment generally is defined in this policy as unwelcome verbal, visual or physical conduct that denigrates or shows hostility or aversion towards an individual because of any actual or perceived protected characteristic or has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Harassment can be verbal (including slurs, jokes, insults, epithets, gestures, or teasing), visual (including offensive posters, symbols, cartoons, drawings, computer displays, text messages, social media posts or e-mails) or physical conduct (including physically threatening another, blocking someone's way, etc.). Such conduct violates this policy, even if it does not rise to the level of a violation of applicable federal, state, or local laws. Because it is difficult to define unlawful harassment, employees are required to behave at all times in a manner consistent with the intended purpose of this policy.

Sexual Harassment Defined

Sexual harassment can include all of the above actions, as well as other unwelcome conduct, such as unwelcome or unsolicited sexual advances, requests for sexual favors, conversations regarding sexual activities and other verbal, visual or physical conduct of a sexual nature when:

- submission to that conduct or those advances, or requests is made either explicitly or implicitly a term or condition of an individual's employment; or
- submission to or rejection of the conduct or advances or requests by an individual is used as the basis for employment decisions affecting the individual; or



- the conduct or advances or requests have the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Examples of conduct that violate this policy include:

1. unwelcome flirtations, leering, whistling, touching, pinching, assault, blocking normal movement;
2. requests for sexual favors or demands for sexual favors in exchange for favorable treatment;
3. obscene or vulgar gestures, posters, or comments;
4. sexual jokes or comments about a person's body, sexual prowess, or sexual deficiencies;
5. propositions or suggestive or insulting comments of a sexual nature;
6. derogatory cartoons, posters, and drawings;
7. sexually explicit e-mails, text messages or voicemails;
8. uninvited touching of a sexual nature;
9. unwelcome sexually related comments;
10. conversation about one's own or someone else's sex life;
11. conduct or comments consistently targeted at only one gender, even if the content is not sexual; and
12. teasing or other conduct directed toward a person because of the person's gender.

Reporting Procedures

If the employee has been subjected to or witnessed conduct which violates this policy, the employee must immediately report the matter to the Director of Human Resources. If the employee is unable for any reason to contact this person, or if the employee has not received an initial response within five (5) business days after reporting any incident of what the employee perceives to be harassment, the employee must contact VP for Operations. If the person toward whom the complaint is directed is one of the individuals indicated above, the employee must contact any higher-level manager in the reporting hierarchy.

Investigation Procedures

Every report of perceived harassment will be fully investigated, and corrective action will be taken where appropriate. All complaints will be kept confidential to the extent possible, but confidentiality cannot be guaranteed. All employees must cooperate with all investigations conducted pursuant to this policy.

Retaliation Prohibited

In addition, the University will not allow any form of retaliation against individuals who report unwelcome conduct to their supervisor or a member of Human Resources or who cooperate in the investigations of such reports in accordance with this policy. If the employee has been subjected to any such retaliation, the employee must report it in the same manner in which the employee would report a claim of perceived harassment under this policy.

Violation of this policy including any improper retaliatory conduct will result in disciplinary action, up to and including termination.



I have read and I understand the University of Dubuque's Non-Harassment Policy.

Employee's Printed Name: _____

Employee's Signature: _____

Position: _____

Date: _____

The signed original copy of this receipt must be given to the Director of Human Resources - it will be filed in your personnel file.